Pearson
BTEC Level 3 Diploma in Business Administration

Specification

Combined (Competence and Knowledge) qualification

First registration September 2014

Issue 4

Edexcel, BTEC and LCCI qualifications

Edexcel, BTEC and LCCI qualifications are awarded by Pearson, the UK's largest awarding body offering academic and vocational qualifications that are globally recognised and benchmarked. For further information, please visit our qualifications website at qualifications.pearson.com. Alternatively, you can get in touch with us using the details on our contact us page at qualifications.pearson.com/contactus

About Pearson

Pearson is the world's leading learning company, with 35,000 employees in more than 70 countries working to help people of all ages to make measurable progress in their lives through learning. We put the learner at the centre of everything we do, because wherever learning flourishes, so do people. Find out more about how we can help you and your learners at qualifications.pearson.com

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

This qualification was previously known as:

Pearson BTEC Level 3 Diploma in Business Administration (QCF)

The QN remains the same

Summary of Pearson BTEC Level 3 Diploma in Business Administration Issue 4 changes

Summary of changes made between previous issue 3 and this current issue 4	Page number
UNIT 3 AC1.2 amendment to amplification for Approaches to negotiation. Changed to 'disruptive (win-lose); integrative (win-win); lose-lose, compromise. Addition of amplification to cover; Features of lose-lose negotiation, Uses of lose-lose negotiation, Features of compromise negotiation and Uses of compromise negotiation.	47
UNIT 3 AC2.5 addition to amplification for 'Use of feedback on a presentation' to cover 'make amendments to content, delivery and environment'.	50
UNIT 3 AC3.2 addition to amplification for 'factors to be taking into account in presenting bespoke documents' to cover 'presentation method; audience; agreed deadlines'	50
UNIT 3 AC3.3 addition to 'Legal requirements' to cover 'intellectual property'. Replaced 'recording sources' with 'referencing sources'.	51
UNIT 3 AC3.4 addition to 'bespoke document brief' to cover 'agreeing content' and addition to 'providing design options' to cover 'document structure'.	51
UNIT 3 AC4.1 change to wording for information systems, to cover 'customer relationship management systems (CRM)' instead of 'customer support systems'.	52
UNIT 3 Books – List has been updated	54
UNIT 4 AC1.1 addition to Legislation to cover 'managing information, equality and diversity'. Primary legislation updated to cover 'Data Protection Act 1998; Equality Act 2010'. Removed 'SixPack' Regulations relating to HASAWA and Other regulations.	59
UNIT 4 AC2.2 changes to wording for Safe working practices. Amended from 'alert to effect of own acts on others' to 'demonstrate appropriate behaviours that protect self and others from harm'.	62
UNIT 4 AC3.5 amplification added to include video or audio recordings, identify non-attendance of delegates and apologies, agreed actions to progress activities, person(s) responsible, timelines, any other business, date of next meeting.	64
UNIT 4 AC4.1 amendment to amplification for Company annual general meeting to cover 'at least 14 days' notice must be given for private companies and at least 21 days for a non-traded public company including agenda' instead of 'at least 10 days' notice must be given including agenda'.	64
UNIT 4 Books and websites – Lists have been updated	70
UNIT 70 AC3.2 Correction of AC heading	478

UNIT 70 AC4.5 correction of error in amplification for management accounts to cover financial and non-financial accounting data related to business processes and activities (product sales and distribution, stock, debtors, creditors, purchase and sale of fixed assets, employee records, customer transactions); prepared on a frequency to match the business needs; forward-looking and predictive. Removed 'Cash Flow; Statement of Financial Position/Balance Sheet; Income Statement/Profit and Loss Account'. Change under management accounts uses, to 'uses historical data; instead of 'provides historical data'. Addition of assists business planning and strategy development.	482
UNIT 75 AC4.2 Change "eight" to "8"	544

Earlier issues shows previous changes.

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

Contents

Purpose of this specification

This specification sets out:

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

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

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

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

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

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

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

- Award – a qualification with a TQT value of 120 or less (equivalent to a range of 1–12 credits)

- Certificate – a qualification with a TQT value in the range of 121–369 (equivalent to a range of 13–36 credits)

- Diploma – a qualification with a TQT value of 370 or more (equivalent to 37 credits and above).

2 Qualification summary and key information

Qualification title	Pearson BTEC Level 3 Diploma in Business Administration
Qualification Number (QN)	601/3406/9
Regulation start date	29/05/2014
Operational start date	01/09/2014
Approved age ranges	16-18 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please refer to the qualification Assessment Strategy in *Annexe A*.
Credit value	58
Assessment available	Portfolio of Evidence (internal assessment) **and** Pearson-devised assessment (onscreen testing)
Total Qualification Time (TQT)	580
Guided learning hours	282
Grading information	The qualification and units are graded pass/fail.

Qualification title	Pearson BTEC Level 3 Diploma in Business Administration
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however, it is likely that they will be seeking work within the business administrative sector, or they may already be employed in a cross-sector role of function that involves responsibility for carrying out and managing business administrative operations and functions. 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. 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 3 Diploma in Business Administration is for learners who work in, or who want to work in the business administration roles such as:

- Personal Assistant, Office Executive, or Office Supervisor

The qualification gives learners the opportunity to:

- develop and demonstrate technical and wider sector-related knowledge to underpin competence in the job roles stated above. This includes the knowledge covering the broader cross-organisation processes such as business innovation, financial management and marketing, as well as the principles and practices underpinning the tasks and responsibilities related to the job roles above such as methods of communication and information management.

- develop and demonstrate a range of technical skills and behaviours that supports competence in the job roles stated above. These include developing and managing administrative systems, processes and staff. For example, using a range of internal and external communication methods and the systems that support them, organising diaries, meetings and travel, managing resources and facilities, managing administrative processes and systems and supervising staff.

- develop their own 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 3 qualification

Apprenticeships

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

Progression opportunities

Learners who achieve the Pearson BTEC Level 3 Diploma in Business Administration can progress to Pearson Edexcel Level 4 NVQ Diploma in Business Administration and/or the Pearson BTEC Level 4 Diploma in Business Administration, which are within the Level 4 Higher Apprenticeship in Business Administration. Alternatively, learners may progress into the following job roles, for example, Office manager, Executive Assistant or Business Development Manager.

Industry support and recognition

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

Relationship with National Occupational Standards

This qualification is based on the National Occupational Standards (NOS) in Business & Administration (January 2013), which were set and designed by Skills CFA, the Sector Skills Council for the sector

4 Qualification structure

Pearson BTEC Level 3 Diploma in Business Administration

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	58
Minimum number of credits that must be achieved at level 3 or above	40
Number of mandatory credits that must be achieved	27
Number of optional credits that must be achieved from group B	13
Number of optional credits that can be achieved from group B, C or D (A maximum of 10 credits from Group C and a maximum of 8 from group D)	18

Unit	Unit reference number	Mandatory units – Group A (27 Credits required from Group A)	Level	Credit	Guided learning hours
1	Y/506/1910	Communicate in a Business environment	3	4	24
2	T/506/2952	Manage Personal and Professional Development	3	3	12
3	R/506/1940	Principles of Business Communication and Information	3	4	27
4	Y/506/1941	Principles of Administration	3	6	27
5	D/506/1942	Principles of Business	3	10	74
Unit	Unit reference number	Optional units – Group B (a minimum of 13 credits required from units in Group B)	Level	Credit	Guided learning hours
6	D/506/1911	Contribute to the Improvement of Business Performance	3	6	33
7	H/506/1912	Negotiate in a Business Environment	3	4	18
8	K/506/1913	Develop a Presentation	3	3	11
9	M/506/1914	Deliver a Presentation	3	3	17
10	T/506/1915	Create Bespoke Business Documents	3	4	23
11	A/506/1916	Contribute to the Development and Implementation of an Information System	3	6	21
12	F/506/1917	Monitor Information Systems	3	8	43

Unit	Unit reference number	Optional units – Group B	Level	Credit	Guided learning hours
13	J/506/1918	Evaluate the Provision of Business Travel or Accommodation **Barred combination with Unit 31**	3	5	30
14	L/506/1919	Provide Administrative Support in Schools	3	5	33
15	F/506/1920	Administer Parking and Traffic Challenges, Representations and Civil Parking Appeals	3	5	31
16	R/506/1923	Administer Statutory Parking and Traffic Appeals	3	6	42
17	T/506/1932	Administer Parking and Traffic Debt Recovery	3	5	35
18	J/506/1935	Administer Legal Files	3	5	31
19	L/506/1936	Build Legal Case Files	3	5	32
20	Y/506/1938	Manage Legal Case Files	3	5	32
21	K/506/1944	Manage an Office Facility	3	4	21
22	M/506/1945	Analyse and Present Business Data	3	6	24
23	Y/506/1809	Produce Business Documents	2	3	24
24	R/506/1811	Store and Retrieve Information	2	4	19
25	Y/506/1812	Produce Minutes of Meetings	2	3	13
26	D/506/1813	Handle Mail	2	3	15
27	M/506/1816	Prepare Text from Shorthand	2	6	46
28	T/506/1817	Prepare Text from Recorded Audio Instruction	2	4	15
29	Y/506/2295	Maintain and Issue Stationery and Supplies	2	3	18
30	L/506/1869	Contribute to the Organisation of an Event	2	3	23
31	D/506/1875	Organise Business Travel or Accommodation **Barred combination with Unit 13**	2	4	23
32	H/506/1876	Provide Administrative Support for Meetings	2	4	28
33	T/506/1879	Administer Human Resource Records	2	3	28

Unit	Unit reference number	Optional units – Group B	Level	Credit	Guided learning hours
34	A/506/1883	Administer the Recruitment and Selection Process	2	3	25
35	R/506/1887	Administer Parking Dispensations	2	3	25
36	R/506/1890	Administer Finance	2	4	21
37	M/506/1895	Buddy a Colleague to Develop their Skills	2	3	19
38	L/506/1905	Employee Rights and Responsibilities	2	2	16
39	R/506/1954	Support Environmental Sustainability in a Business Environment	4	4	38
40	D/506/1956	Resolve Administrative Problems	4	6	56
41	H/506/1957	Prepare Specifications for Contracts	4	4	23
42	K/506/1815	Prepare Text from Notes Using Touch Typing	2	4	26
Unit	Unit reference number	Optional units – Group C (a maximum of 10 credits from Group C)	Level	Credit	Guided learning hours
43	T/506/1820	Promote Equality, Diversity and Inclusion in the Workplace	3	3	15
44	A/506/1821	Manage Team Performance	3	4	21
45	J/506/1921	Manage Individuals' Performance	3	4	20
46	L/506/1922	Manage Individuals' Development in the Workplace	3	3	10
47	Y/506/1924	Chair and Lead Meetings	3	3	10
48	J/506/2292	Encourage Innovation	3	4	14
49	M/506/1928	Procure Products and/or Services	3	5	35
50	T/506/1929	Implement Change	3	5	28
51	K/506/1930	Implement and Maintain Business Continuity Plans and Processes	3	4	25
52	F/506/1934	Participate in a Project **Barred combination with Unit 58**	3	3	19
53	J/506/1949	Develop and Maintain Professional Networks	4	3	15
54	Y/506/1955	Develop and Implement an Operational Plan	4	5	24

Unit	Unit reference number	Optional units – Group C	Level	Credit	Guided learning hours
55	K/506/1989	Manage Physical Resources	4	4	26
56	K/506/1992	Prepare for and Support Quality Audits	4	3	17
57	A/506/1995	Manage a Budget	4	4	26
58	R/506/1999	Manage a Project **Barred combination with Unit 52**	4	7	38
59	L/506/2004	Manage Business Risk	4	6	27
60	R/506/2909	Recruitment, Selection and Induction Practice	4	6	33
61	L/506/2150	Organise and Deliver Customer Service	3	5	27
62	R/506/2151	Resolve Customers' Complaints	3	4	22
63	T/502/4301	Using Email	3	3	20
64	Y/502/4629	Word Processing Software	3	6	45
65	Y/502/4632	Website Software	3	5	40
66	J/502/4626	Spreadsheet Software	3	6	45
67	T/502/4623	Presentation Software	3	6	45
68	J/502/4397	Bespoke Software	3	4	30
69	T/502/4556	Database Software	3	6	45
Unit	Unit reference number	Optional units – Group D (a maximum of 8 credits from Group D)	Level	Credit	Guided learning hours
70	F/506/2596	Principles of Leadership and Management	3	8	50
71	K/502/9933	Principles of Market Research	3	5	40
72	T/502/9935	Principles of Marketing and Evaluation	3	7	50
73	F/502/9937	Principles of Digital Marketing and Research	3	7	50
74	J/502/9938	Principles of Marketing Stakeholder Relationships	3	3	16

Unit	Unit reference number	Optional units – Group D	Level	Credit	Guided learning hours
75	Y/506/2152	Understand the Customer Service Environment	3	5	40
76	D/506/1939	Understand the Legal Context of Business	3	6	44
77	R/503/9324	Principles of Social Media within a Business	3	6	42

5 Programme delivery

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

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

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 C* 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 3 Diploma in Business Administration

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.

Where possible, delivery models should be integrated across mandatory and optional units to avoid duplication and repetition.

The mandatory knowledge-based units, i.e. *Unit 3: Principles Business Communication and Information, Unit 4: Principles of Administration* and *Unit 5: Principles of Business* are best delivered through off-the-job training, where underlying principles of business and administration can be delivered, explored, examined and discussed. Classes, tutorials and seminars can be used to deliver the knowledge components of the units. This will provide learners with a sound knowledge base for the development of practical skills that can be evidenced in the workplace. It is suggested that the delivery of these units can be enriched and extended by the use of teaching and learning methods and activities that draw on current and best practice in a generic range of contexts as well as the specific context of the work environment. Delivery may include the use of:

- vocationally specific workplace case-study materials
- expert visiting speakers/in-house tutors and staff
- visits to different types of companies
- group and individual problem solving activities
- peer learning
- presentations
- questioning and discussions
- role-plays
- virtual learning environments and online learning resources.

A range of case studies could be developed or sourced and made available to learners in study packs and/or in a computer-based learning environment that relate to managing an office facility, health and safety in a business environment, taking minutes of meetings, how to chair, lead and management meetings, supervising an administration team and organising events (Unit 4). These can be integrated with optional Units from Group B, e.g. *unit 30: Contribute to the Organisation of an Event; Unit 31: Organise Business Travel or Accommodation; Unit 13: Evaluate the Provision of Business Travel or Accommodation; Unit 21: Manage an Office Facility; Unit 21: Maintain and Issue Stationery and Supplies; Unit 32: Provide Administrative Support for Meetings; Unit 25: Produce Minutes of Meetings; Unit 37: Buddy a Colleague to Develop Their Skills; Unit 39:Support Environmental Sustainability in a Business Environment; Unit 40: Resolve Administrative Problems* and *Unit 41: Prepare Specifications for Contracts.* Integration is also possible with optional units from Group C, e.g. *Unit 43: Promote Equality, Diversity and Inclusion in the Workplace; Unit 44: Manage Team Performance; Unit 45: Manage Individuals' Performance; Unit 46: Manage Individuals' Development in the Workplace* and *Unit 47: Chair and Lead Meetings.*

There are strong links between *Unit 5*: *Principles of Business* and optional knowledge-based units: *Unit 76: Understand the Legal Context of Business*; *Unit 71: Principles of Market Research; Unit 72: Principles of Marketing and Evaluation; Unit 73: Principles of Digital Marketing and Research* and *Unit 77: Principles of Social Media within a Business*. Research and case studies relating to small and large companies could be used to expand learners' knowledge of business markets and how different types of companies manage finance, innovation, sales and marketing. By discussing a range of contexts, using speakers and visits to companies, learners' knowledge can be extended and enhanced. These activities could be followed up with presentations to other learners or employees, which could in turn integrate with other mandatory or optional units (or components of an apprenticeship), for example 'Functional Skills' or Personal Learning and Thinking Skills (PLTS).

Optional units such as the following have affinities and links with mandatory units 1 and 3, which relate primarily to communication and information systems: *Unit 7: Negotiate in a Business Environment; Unit 8: Develop a Presentation; Unit 9: Deliver a Presentation; Unit 23: Produce Business Documents; Unit 10: Create Bespoke Business Documents; Unit 24: Store and Retrieve Information; Unit 11: Contribute to the Development and Implementation of an Information System; Unit 12: Monitor Information Systems* and *Unit 53: Develop and Maintain Professional Networks.* Customer service related units also offer links to these units and role-plays could play an important part in developing learners' awareness and skills in a safe environment that can then be transferred to the workplace. Learners could be teamed with experienced professionals who could act as mentors providing help and support as the learner develops the necessary skills. Units 1 and 3 can also be integrated with the IT units in Optional Group C. Coaching and mentoring of learners in the workplace is an effective method of providing training and support at the point of delivery, for example, house-style, legal and regulatory restrictions and naming and saving conventions.

There are a number of financially related optional units that could be integrated, depending on learner job roles, e.g. *Unit 36: Administer Finance* and *Unit 57: Manage a Budget.* An understanding of relevant financial terminology would also allow learners to speak about finance and budgeting confidently and enable application to real life situations or to the mathematics component of an apprenticeship programme.

The qualification also includes a number of personnel related optional units, e.g. Unit 33: Administer Human Resource Records; Unit 34: Administer the Recruitment and Selection Process; Unit 37: Buddy a Colleague to Develop their Skills; Unit 43: Promote Equality, Diversity and Inclusion in the Workplace; Unit 44: Manage Team Performance; Unit 45: Manage Individuals' Performance; Unit 46: Manage Individuals' Development in the Workplace and Unit 60: Recruitment, Selection and Induction Practice. These could be considered in the delivery of to mandatory units 1 and 3.

The speciality routes, e.g. school administration and parking, traffic and legal administration can be incorporated into the delivery of mandatory units and other optional units that are appropriate to learners' job roles. It is important to consider on- and off-the job training for the knowledge-based criteria, which could consist of role-plays and discussions to provide a range of contexts.

Tutors should make use of a range of teaching and learning approaches and materials, including the suggested resources within each unit, to suit the learning style of individual learners and to ensure a breadth of research and development material.

Components of understanding employers' expectations and employees' responsibilities could also be built into the learning for Unit 2, which also explores the learning and development processes that underpin the development of personal and professional skills. Links to employer appraisal and performance review models are also encouraged. Delivery can also incorporate relevant aspects of the ERR unit such as training, career pathways, professional bodies and networks, trends and developments, statutory rights and responsibilities and employer standards.

Formative assessments are a useful learning tool and in the mandatory units can help learners to identify gaps in their knowledge and any additional learning that may be required. The use of learning journals and reflective accounts is to be encouraged and with guidance, these could be structured to support their achievement of relevant assessment criteria. Links could be made to on-the-job training and development that may in turn contribute to the competence-based mandatory unit, *Unit 2*: *Manage Personal and Professional Development.* There are many on-line tools, that are available for learners to access to evaluate their current skill levels and these may prove useful in promoting discussions, whether through on-the-job or off-the-job training, that can help learners to undertake skills gap analysis to prepare and review personal and professional development plans.

Units relating to business improvement, quality improvement and management such as *Unit 6: Contribute to the Improvement of Business Performance; Unit 50: Implement Change; Unit 51: Implement and Maintain Business Continuity Plans and Processes; Unit 52: Participate in a Project; Unit 54: Develop and Implement an Operational Plan; Unit 58: Manage a Project; Unit 56: Prepare for and Support Quality Audits* and *Unit 59: Manage Business Risk* can be integrated with the knowledge-based *Unit 70: Principles of Leadership and Management* and could be considered alongside the delivery of *Unit 5*: *Principles of Business*. Case studies relating to the use of theory models outlined within each unit would be useful in extending learners' knowledge further.

Opportunities to integrate the delivery and assessment of 'Personal Learning and Thinking Skills' (PLTS) will arise naturally through the delivery of the knowledge and competence outcomes, particularly in the mandatory units. *Unit 5: Manage Personal Performance and Development* may be seen as an example where PLTS could be delivered through off the job training but evidenced through the learner's work products. Centres should plan and make full use of the opportunities to integrate PLTS that are available in *Annexe C*.

Wherever possible, the knowledge learning outcomes and competence outcomes should mutually reinforce learning of the subject matter.

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

No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification, however it is likely that they will be seeking work within the business administrative sector, or they may already be employed in a cross-sector role of function that involves responsibility for carrying out and managing business administrative operations and functions.

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 qualifications.pearson.com

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

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

- a combination of the above.

Assessment Strategy

The Assessment Strategy for the business administration specific competence units in this qualification is given in *Annexe A*. It sets out the overarching assessment principles and the framework for assessing these 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.

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

Types of evidence

To achieve a 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 Strategies in *Annexe A* and *Annexe B*.

In line with the Assessment Strategies, 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)

- 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 Strategies in *Annexe A* and *Annexe B*. 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 3: Principles of Business Communication and Information

Unit 4: Principles of Administration

Unit 5: Principles of Business

Unit 70: Principles of Leadership and Management

Unit 75: Understand the Customer Service Environment

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 units are assessed internally through a Portfolio of Evidence only.

Unit 38: Employee Rights and Responsibilities

Unit 71: Principles of Market Research

Unit 72: Principles of Marketing and Evaluation

Unit 73: Principles of Digital Marketing and Research

Unit 74: Principles of Marketing Stakeholder Relationship

Unit 76: Understand the Legal Context of Business

Unit 77: Principles of Social Media within a Business

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

Unit 4: Principles of Administration	
Length of assessment	The external assessment will be 60 minutes
Number of marks	45
Assessment availability	On demand
First assessment availability	October 2014

Unit 5: Principles of Business	
Length of assessment	The external assessment will be 45 minutes
Number of marks	30
Assessment availability	On demand
First assessment availability	October 2014

Unit 70: Principles of Leadership and Management	
Length of assessment	The external assessment will be 60 minutes
Number of marks	50
Assessment availability	On demand
First assessment availability	October 2014

Unit 75: Understand the Customer Service Environment	
Length of assessment	The external assessment will be 45 minutes
Number of marks	30
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 qualifications.pearson.com

Dealing with malpractice

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

Reasonable adjustments to assessment

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 qualifications.pearson.com

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 NVQs, SVQs and competence-based qualifications – Delivery Requirements and Quality Assurance Guidance* on our website at qualifications.pearson.com

11 Unit format

Each unit has the following sections.

Unit title

This is the formal title of the unit that will appear on the 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 defined by Ofqual, the qualifications regulator.

Credit value

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

Guided learning hours

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

Unit summary

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

Learning outcomes

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

Assessment criteria

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

Unit amplification

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

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

Relationship between amplification and assessment criteria

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

Amplification structure

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

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

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

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

Legislation

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

Information for tutors

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

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

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

Unit 1: Communicate in a Business Environment

Unit reference number: Y/506/1910

Level: 3

Credit value: 4

Guided learning hours: 24

Unit type: Competence

Unit summary

Effective Communication is incredibly important in keeping a business functioning. It helps us to better understand a person or situation and is at the heart of customer service, sales, marketing, and relationships with colleagues, visitors, suppliers and other business associates. Understanding how to communicate in a business environment is a key skill for all administrators.

In this unit you will investigate a range of business communication models, systems and processes and will explore different methods of communication including written, verbal, and non-verbal. You will acquire knowledge of more advanced communication techniques including skills to effectively apply communications theories and communication channels. You will look at how you should use appropriate spoken language, tone of voice and body language during verbal discussions, and when responding to others. You will identify barriers to effective communication and explore strategies to overcome these when communicating with others in a business environment. You will also consider language, content, structure and accuracy of information in written communications relevant to your role and place of work.

You will demonstrate the ability to communicate effectively in writing by presenting clear, accurate and timely communications that follow agreed practices for format and style.

Finally, you will demonstrate the ability to communicate effectively and respond appropriately to different situations using verbal and non-verbal communication, including the appropriate use of language and body language.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand business communication models, systems and process	1.1 Analyse the communication needs of internal and external stakeholders
	1.2 Analyse the different communication models that support administration
	1.3 Evaluate the effectiveness of different communication systems
	1.4 Explain the factors that affect the choice of communication media
	1.5 Explain the importance of using correct grammar, sentence structure, punctuation, spelling and conventions in business communications
	1.6 Explain the factors to be taken into account in planning and structuring different communication media
	1.7 Explain ways of overcoming barriers to communication
	1.8 Explain the use of communications theories and body language
	1.9 Explain proof-reading techniques for business communications
2 Be able to communicate in writing in business	2.1 Identify the purpose and audience of the information to be communicated
	2.2 Select communication media that are appropriate to the audience and information to be communicated
	2.3 Present information in the format, layout and style that is appropriate to the information to be communicated
	2.4 Follow agreed business practices when communicating in writing
	2.5 Adapt the style and content of a communication, appropriate to specific audiences

Learning outcomes	Assessment criteria
	2.6 Present written communications that are clear, expressed in correct grammar and reflect what is intended
	2.7 Meet agreed deadlines in communicating with others
3 Be able to communicate verbally in business	3.1 Identify the nature, purpose, audience and use of the information to be communicated
	3.2 Use language that is correct and appropriate for the audience's needs
	3.3 Use appropriate body language and tone of voice to reinforce messages
	3.4 Identify the meaning and implications of information that is communicated verbally
	3.5 Confirm that a recipient has understood correctly what has been communicated
	3.6 Respond in a way that is appropriate to the situation and in accordance with organisational policies and standards

Unit amplification

AC1.1:   Analyse the communication needs of internal and external stakeholders

- *Stakeholders:* internal, e.g. team members, management, other departments; external, e.g. customers, product/service suppliers, regulatory bodies
- *Communication requirements:* purpose, appropriate communication methods (formal, informal, verbal, written), language, organisation standards and protocols, customer expectations
- *Communication channels:* direct, indirect, chain of command
- *Methods of communication*: face-to-face, e.g. one-to-one, team meetings; voice, e.g. telephone, teleconferencing; paper based, e.g. letter, report;, electronic and digital, e.g. email, short messaging systems (SMS); social media, e.g. Twitter, Facebook, LinkedIn; Intranet and Internet

AC1.2:   Analyse the different communication models that support administration

- *Communication:* models e.g. Shannon, Berlo, Schramm; communication process, e.g. source, message, encoding, channels, decoding, recipient, context, noise, feedback

AC1.3:   Evaluate the effectiveness of different communications systems

- *Organisation communications systems*: definition; types, e.g. chain, wheel, star, all-channel, circle, top down, bottom up, one way, two way
- *Effectiveness of communications systems:* strengths and weaknesses; organisational requirements, e.g. formality, accuracy, speed, control, efficiency; contextual factors, e.g. organisational hierarchy, authority and responsibility, organisational culture, decision making

AC1.4:   Explain the factors that affect the choice of communication media

- *Communication media:* i.e. the written, oral or methods used to communicate a message
- *Factors that affect communication media choice:* audience; purpose, cost, speed of communication, subject matter of information, how much information is to be communicated, whether feedback is required, whether a permanent record of the information is required, intrusiveness of communication method, accuracy, safety and information security, distance

AC1.5: **Explain the importance of using correct grammar, sentence structure, punctuation, spelling and conventions in business communications**

- *Business communications:* email, letters, reports, presentations
- *Conventions:* paragraphs, format, formality, language, style, terminology, e.g. technical terms, use of jargon, abbreviations, acronyms
- *Importance:* e.g. accuracy, own standards of work, professional image, customer perception

AC1.6: **Explain the factors to be taken into account in planning and structuring different communication media**

Planning communication media
- *Factors:* e.g. audience, communication objective, message, channel, timing, preparation

Structuring different communication media
- *Factors:* introduction, e.g. background, basics; details, e.g. facts and figures; response or action, e.g. conclusion; close

AC1.7: **Explain ways of overcoming barriers to communication**

- *Barriers to communication:* use of jargon, emotions, taboo topics, lack of interest or relevance, distraction, perception and viewpoint; physical disabilities, e.g. hearing problems, speech difficulties, body language; language differences, e.g. understanding accents; expectations and prejudices, e.g. false assumption and stereotyping; cultural differences
- *Ways of overcoming barriers:* focus on the receiver, take the receiver more seriously, crystal clear message, skilfully delivered messages, multiple communication channels, awareness of own emotions and attitude, seven Cs of communication (clarity, credibility, content, context, continuity, capability, channels)

AC1.8: **Explain the use of communications theories and body language**

- *Communications theories:* Mehrabian's 'Silent Messages', Birdwhistell's theory of kinesics, Argyle's communication cycle; uses; benefits; application of these theories
- *Body language:* types, e.g. facial expressions, eye contact, gestures, posture, touch; uses, e.g. mirroring others, enhancing verbal communication; benefits, application

AC1.9: Explain proof-reading techniques for business communications

- *Business communication:* definition; formats: text, e.g. documents, emails; numbers, e.g. spreadsheets; graphical representations, e.g. charts, graphs, diagrams; images, e.g. photographs
- *Proof-reading techniques:* check SPAG (spelling, punctuation and grammar), check facts, figures and names, review hard copy, use a dictionary, sense check the copy, create proof-reading checklists

Information for tutors

Suggested resources

Books

Atkinson I - *FT Essential Guide to Business Writing: How to Write to Engage, Persuade and Sel*l, 1st edition (Pearson, 2012) ISBN 9780273761136

Butterfield J - *Illustrated Course Guides: Verbal Communication*, 2nd edition (Cengage Learning, 2012) ISBN 9781133526520

Websites

www.data-protection-act.co.uk - data Protection Act made easy

qualifications.pearson.com - Pearson webpages, which provide guidance for Functional Skills English; Essential Skills Wales Communication; Core Skills (Scotland) Communication

www.skillsscfa.org - the Council for Administration

Assessment

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

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

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.

It is recommended that assessment of communication in a business environment is holistic and is assessed simultaneously with other mandatory and optional units where communication skills are essential to fulfil assessment criterion.

Assessors should also consider holistic assessment with appropriate transferrable skills qualifications such as Functional Skills (English) or Essential Skills Wales (Communication) however, evidence for this unit must be contextualised with the role and responsibilities of the learner and work place.

The assessment of learning outcome1 should be integrated with the competence evidence wherever possible to give the learner the opportunity to link and apply their knowledge and understanding to their work activities. The learner could expand on this evidence through professional discussion and/or reflective account to meet the assessment criteria. For example, the learner could explain how they overcame any communication barriers faced and the proof-reading techniques that they used or could have used in checking the accuracy of their communications. Similarly, through the use of a reflective account, the learner could also explain how they have used the principles from different communication theories in their communications or how they can apply these in the future to improve the effectiveness of their communications.

At this level, learners are expected to provide responses to knowledge assessment criterion which should contain sufficient content to effectively respond to the more advanced command verbs such as 'analyse' and 'evaluate'. Guidance may be required to clarify requirements of command verbs before assessment activities being planned. Planned assessments should provide learners with the opportunity to respond appropriately to command verbs.

For learning outcomes 2 and 3, the assessment criteria are most effectively assessed through direct assessment of learner activities in a business environment, particularly assessor observations. Learners can present naturally occurring opportunities to demonstrate competence when communicating verbally and in writing in the context of their own work and responsibilities.

Learners could present examples of written communication such as emails, letters, reports or presentations already available to submit as evidence. Such evidence must be assessed, as work product therefore, is accompanied by additional learner-led evidence such as professional discussion, personal statements and annotation.

Assessors should assess the content of any written business communication surrounding data protection and commercial sensitivity and make decisions as to whether it is appropriate to submit in a portfolio or signpost to its original location.

Where evidence presented is generated from workplace activities and is used to communicate with others in a business environment, or outside the business environment, assessment must ensure correct spelling, punctuation and grammar is appropriately applied.

Assessors could consider capturing competence of verbal communication skills using methods such as audio, video or witness testimony as well as direct observation. Assessors are encouraged to capture the skills and competences demonstrated by the learner as well as the contextualised information and content of discussions, presentations and situations where verbal communication skills are applied.

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

Unit 2: Manage Personal and Professional Development

Unit reference number: T/506/2952

Level: 3

Credit value: 3

Guided learning hours: 12

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

Information for tutors

Suggested resources

Books

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

Websites

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

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

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

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

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

Evidence of Recognition of Prior Learning (RPL) can 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: Principles of Business Communication and Information

Unit reference number: R/506/1940

Level: 3

Credit value: 4

Guided learning hours: 27

Unit type: Knowledge

Unit summary

The ability to communicate effectively verbally and in writing with internal and external people is vital to the success of any business. Understanding different types of information, user needs and requirements and being able to produce high-quality bespoke documentation are crucial to managing information effectively in a business environment.

In this unit, you will learn how to negotiate with people to achieve planned objectives in a business environment. You will gain understanding of how to develop and deliver presentations and to use feedback to improve your skills. You will explore a range of information sources and systems and learn how they can be developed to support business operations such as the processing, storing and sharing of information, analysing and reporting data, processing transactions and supporting decision-making. You will go on to learn how to design and produce a range of bespoke, fit-for-purpose business documents. Finally, you will consider the legal, security and confidentiality requirements in a business environment.

Learning outcomes and assessment criteria

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

Learning outcomes		Assessment criteria	
1	Understand negotiation in a business environment	1.1	Explain the importance of negotiation in a business environment
		1.2	Explain the features and uses of different approaches to negotiation
		1.3	Identify the components of negotiation tactics
2	Understand how to develop and deliver presentations	2.1	Explain the different types of presentation and their requirements
		2.2	Explain how different resources can be used to develop a presentation
		2.3	Explain different methods of giving presentations
		2.4	Explain best practice in delivering presentations
		2.5	Explain how to collect and use feedback on a presentation
3	Understand how to create bespoke business documents	3.1	Explain the characteristics of bespoke documents
		3.2	Explain the factors to be taken into account in creating and presenting bespoke documents
		3.3	Explain the legal requirements and procedures for gathering information for bespoke documents
		3.4	Explain techniques to create bespoke business documents
		3.5	Explain how to gain approval of bespoke documents

Learning outcomes	Assessment criteria
4 Understand information systems in a business environment	4.1 Explain the typical stages of information system development
	4.2 Analyse the benefits and limitations of different information systems
	4.3 Explain legal, security and confidentiality requirements for information systems in a business environment
	4.4 Explain how to monitor the use and effectiveness of an information system

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 importance of negotiation in a business environment

- *Importance of negotiation*: develop a strategy (forcing, fostering, escape), understand perspective of others; resolve conflict; understand cultural differences; reach agreement and achieve compromise; fair process ('win/win'); effective business relationships, smooth running of organisation and business efficiency

AC1.2:   Explain the features and uses of different approaches to negotiation

- *Approaches to negotiation:* disruptive (win-lose);integrative (win-win); lose-lose, compromise
- *Features of disruptive negotiation:* competitive; 'win-lose''; parties' interests are opposing; adoption of extreme positions; inflexible negotiating position; use of manipulation; use of bluff; concealing information; use of brinkmanship; negative approach
- *Uses of disruptive negotiation:* gaining competitive advantage; maximising own interests; fixed resources to be divided; disruption of competitors
- *Features of integrative negotiation:* collaborative; 'win-win' approach, creating value; interests are aligned; compromise sought; flexible; cooperative; information shared; mutual problem solving; honesty
- *Uses of integrative negotiation:* maximising joint outcomes; all parties 'happy' with outcomes; building relationships and trust; sufficient resources to be divided; positive approach
- *Features of lose-lose negotiation: no resolution for either party, no positive outcome, unavoidable losses*
- *Uses of lose-lose negotiation: budget cut meetings*
- *Features of compromise negotiation: achieve a fair balance, splitting the difference; equitable deal, agree to disagree, may not resolve the problem*
- *Uses of compromise negotiation: purchasing goods or services, resolving contract disputes*

AC1.3: **Identify the components of negotiation tactics**

Components of negotiation tactics

- *Preparation:* timescales; resources; collecting facts and data; common ground; organisation policies and procedures; legal and ethical requirements; other considerations (setting scope, establishing priorities and objectives and those of the other party, strategy, establishing barriers and negotiation stances and those of the other party, evaluating starting point, concessions and implications, use of third party, record keeping)

- *Negotiation styles:* competing; collaborating; avoiding; accommodating; compromising

- *Negotiation behaviours:* tact and diplomacy; awareness of body language; effective listening and questioning skills; assertiveness; other considerations (influence and persuasion, mediation, patience)

- *Exchanging information:* focus; goals; proposals

- *Bargaining:* problem solving; leverage; use of concessions; achieving mutual agreement

AC2.1: **Explain the different types of presentation and their requirements**

- *Different types of presentation:* informative; instructional; inspirational; persuasive; decision making

- *Informative presentation requirements*: brief and to the point; factual; avoid complicated information; emphasis on visuals; audience understanding

- *Instructional presentation requirements: specific directions or orders; thorough topic coverage; clear learning objectives; demonstration; explanation; audience practice; question and answer; presenter and peer feedback*

- *Inspirational presentation requirements:* 'motivational'; use of storytelling; use of vivid language; emotional connection with audience; resolution to problem offered; clear directive to audience

- *Persuasive presentation requirements:* proposal to be accepted; logic and evidence; clear introduction stating the problem; description of advantages to solving the problem; description of how product/service will meet the audience needs; call to action; clearly stated decision; clear course of action

- *Decision making presentation requirements*: move audience to take suggested action; presentation of ideas and suggestions; presentation of persuasive arguments; audience told what to do and how to do it; consequences of not following suggestion; use of storytelling; need to solve problem; solution offered; comparison of two worlds with the problem solved/unsolved; call to action

AC2.2: Explain how different resources can be used to develop a presentation

Different resources:

- *Use of software packages*: creation of text; importing or creating images; creating graphs; creating charts; creating tables; importing video; importing sound; linking to intranet pages; web links; use of master slide and design templates; accuracy checking functions (spelling, grammar)

- *Use of speaker notes and cue cards:* prompts for speaker; additional information for speaker; summary of key points and consideration

- *Use of audience hand-outs:* copy of presentation slides; additional sources of information; useful contacts; future reference material

- *Use of boards and flip charts:* audience participation; interactive activities; immediate feedback to presenter

- *Use of props:* demonstration of physical concepts; physical examples

- *Develop a presentation*: use of resources listed above; use of software functions (text and non-text, slide transitions, effects, animations); stages of presentation development (initial proposal, drafts, edits, final agreed presentation)

AC2.3: Explain different methods of giving presentations

Different methods of giving presentation

- *Face-to-face:* presenter and audience in one physical location; seating/standing arrangement; one or more presentation screens; PA system; flip chart or board

- *Webinar:* remote presentation; internet-based online workshop; real- time communications; multicast communications; text-based messaging; voice and video chat; shared simultaneously

- *Video conferencing:* remote presentation; audio and video communications; simultaneous two-way video; point-to-point or multipoint; webcams; videoconferencing systems

AC2.4: Explain best practice in delivering presentations

Best practice in delivering presentations

- *Planning:* storyboard the presentation; focus on audience, quality of information to be presented; use of text; use of graphics; slide transitions and timings

- *Preparation and organisation skills:* print and review presentation; write a script or cue cards with key notes; create hand-outs for audience; check any other resources required

- *Practise delivery and timings:* practise reading script alongside presentation slides; formality of delivery; flow and understanding of language used; edit script if required

- *Effective communication:* use of language; voice tone; pace; volume; body language; posture; presence and confidence; gesture; other considerations (use of technology and presenter aids, professional behaviour and appropriate use of humour, anticipate questions, seamless and confident presentation, contingency plans for potential equipment and resource failure)

AC2.5:   Explain how to collect and use feedback on a presentation

- *Collect feedback on a presentation:* evaluation sheets; verbal feedback; surveys; activities; tasks
- *Types of feedback:* purpose; timescales; verbal and written feedback; constructive and evaluative feedback from stakeholders and audience on content and structure; presentation skills; visuals and interaction with audience; self-assessment; achievement of aims and objectives
- *Use feedback on a presentation:* recording and distribution of feedback; review purpose; strengths and areas for improvement; personal and professional development; make amendments to content, delivery and environment

AC3.1:   Explain the characteristics of bespoke documents

- *Bespoke documents:* forms; handbooks; specifications for products or services; publicity materials; questionnaires; spreadsheets; databases; slideshows; presentations; no template exists or an existing template is modified significantly to create something different
- *Characteristics of bespoke documents:* corporate/professional image; brand image; ease of use; fit-for-purpose; consistent house style; impact; appeal to potential customers; distinct from competitors; attractive; security in editing; maintains reputation of organisation; customised to meet a specific requirement

AC3.2:   Explain the factors to be taken into account in creating and presenting bespoke documents

Factors to be taken into account in creating bespoke documents

- *Corporate factors:* corporate/professional image; brand; use of text and non-text; legislation and regulation; clear brief; quality standards; design options
- *Available resources:* software; hardware; paper; staff; cost
- *Ease of use:* needs of the user; layout and style; fit-for-purpose; file format; security; consistency; timescales
- *Other considerations:* limits of authority and competence; proofreading; review and feedback from users and stakeholders; user guide and training where appropriate; document control and management; communication and training where appropriate
- *Factors to be taken into account in presenting bespoke documents:* accuracy (spelling, punctuation, grammar, quality of final document, meets specification and organisational standards); approval of final document; presentation method; audience; agreed deadlines

AC3.3: **Explain the legal requirements and procedures for gathering information for bespoke documents**

- *Legal requirements:* Data Protection Act 1998, Copyright Designs and Patents Act 1988; common law duty of confidentiality; intellectual property; remit and limits of research; referencing sources
- *Procedures for gathering information:* finalised document brief; information required for document; intended readership; sources of information; research corporate requirements; research legal requirements; consultation and approval of information gathered

AC3.4: **Explain techniques to create bespoke business documents**

Techniques to create bespoke business documents
- *Bespoke document brief:* consulting on brief; establishing requirements; agreeing content
- *Research:* sources of information, planning research; conducting research; organising and recording research
- *Providing design options:* knowledge and application of legislation and regulations; efficient use of software applications and resources; appropriate document type; document size and style; document structure; combining information; accurate data input; image size and quality; format; appropriate use of naming conventions
- *Approval of document:* checking and proofreading skills; editing skills; consultation; feedback; final approval

AC3.5: **Explain how to gain approval of bespoke documents**

- *How to gain approval*
  - *Methods for gaining approval*: face-to-face meetings; on-line meetings, conference calls; use of technology (sharing documents, editing documents, tracking changes to documents)
  - *Stages of approval*: initial proposal; draft versions; edited versions; agreement of changes; final approval

AC4.1:   Explain the typical stages of information system development

Information systems:

- *Manual:* card index; filing systems; categorisations
- *Electronic:* office support systems; customer relationship management systems (CRM); data processing systems; decision support systems; intranet

Typical stages of information system development

- *Analysis:* types of data and information to be managed (employee records, customer records, internal policies and procedures, records of meetings, correspondence, market information, promotional materials, financial records, technical information, research)

- *Feasibility study:* potential for success; strengths and weaknesses; resources for development (staffing, equipment, materials, time, cost); legal and technical constraints and requirements; access, security; confidentiality, retention of information/documentation, archive procedures

- *Design:* detailed features and operations; business rules; process diagrams; system requirements (input, output, storage, processing, system control, backup and recovery)

- *Development:* develop specification (meeting identified needs, budgetary controls and needs of users); other considerations (checks against original specification, reviewing progress, guidance and training)

- *Testing:* fit for purpose; checking reliability and accuracy; qualitative/quantitative information; reporting systems; records of issues identified; workflow

- *Deployment*: acceptance of specification; installation of system; creation of operations procedures; hand over from project team to operations

- *Evaluation:* analysis of testing; costs and benefits against original specification; feedback from users/stakeholders; review, modifications; approval

- *Maintenance:* performance monitoring; problem solving; customisation to changing user needs; additions to functionality

AC4.2:   Analyse the benefits and limitations of different information systems

- *Benefits of manual information systems:* capital investment; everyone has experience of using manual systems; relevance to user; reduce information overload; data entry errors; lower risk of data loss; simplicity

- *Benefits of electronic information systems*: storage capacity; time, simultaneous multiple access to records; combination of other data; presentation of information; business efficiency, integration of multiple systems (reporting systems, strategic information system, management information system, performance monitoring systems); report generation; document management; ease of amendment; addition and deletion of records

- *Limitations of manual information systems:* speed; time; efficiency; physical space requirements; file naming conventions; archiving requirements; degradation of physical records

- *Limitations of electronic information systems:* capital investment; up-to-date software and technological change; data loss through technology failure and security threats; system upgrades; server storage space; file naming conventions; quality of data input; resistance to change; may require training; information overload; duplicate copies of records

AC4.3:   Explain legal, security and confidentiality requirements for information systems in a business environment

- *Legal requirements:* laws protecting public and private sector information (Data Protection Act 1998, Freedom of Information Act 2000 and Copyright Designs and Patents Act 1988); licensing arrangements; accuracy and currency of information

- *Security and confidentiality requirements:* levels of access; lockable security facilities; security of keys; use of organisational policies and procedures to monitor and improve systems (audits, security of usernames and passwords, use of identification cards/badges, visitor access, personal information held on manual/computer records, protection of computer systems, screensavers)

- *Transfer of information:* internal and external to the organisation; codes of practice including clear desk policy

AC4.4:   Explain how to monitor the use and effectiveness of an information system

- *Monitor use and effectiveness of an information system:* develop plan that specifies objectives; scope of system (coverage, utilisation, performance); timescales for implementation and review, resource implications; obtain feedback from users (ease of use, functionality, performance), levels of usage (individuals and groups, specific areas of system used, frequency of usage); timing of usage (peak usage times, potential for overload, system down times); fit-for-purpose (achieving planned functionality and outputs); gain early knowledge of faults; reporting systems; legal and organisational requirements; user training requirements; adaptations

Information for tutors

Suggested resources

Books

Ahmed T and Cox J – Developing Information Systems: Practical Guide for IT Professionals (BCS, The Chartered Institute for IT, 2014) ISBN 9781780172453

Frohnmayer D and Donaldson MC - *Negotiating for Dummies*, 2nd edition (John Wiley & Sons, 2007) ISBN 9780470045220

Hasson G - *Brilliant Communication Skills:* What the Best Communicators Know, Do and Say (Brilliant Business), (Pearson Education Ltd, 2012) ISBN 9780273761747

Krieger S - *Documents, Presentations, and Workbooks: Using Microsoft Office to Create Content That Gets Noticed*, (Microsoft Press, 2011) ISBN 9780735651999

Websites

www.acas.org.uk - information on employment relations

www.businessballs.com - skills for personal and professional development

www.cipd.co.uk - professional body for improving practices in people and organisation development

www.ico.org.uk - personal information, data protection and freedom of information

www.mindtools.com - essential skills for career development

www.skillscfa.org - standards setting body that promotes skills and qualifications in the workplace

www.skillsyouneed.com - skills development information

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 45 minutes and is worth 30 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

The following are the required assessment methods for this unit.

All learning outcomes in this unit must only be assessed by structured written assessment or written learner reflective accounts that cover the unit content and meet the level of demand of the assessment criteria. If structured 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 and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria. Written learner reflective accounts should only be used if the learner is also completing any combination of the following optional units to achieve the qualification:

- *Negotiate in a Business Environment*
- *Develop a Presentation*
- *Deliver a Presentation*
- *Create Bespoke Business Documents*
- *Contribute to the Development and Implementation of an Information System*

The reflective account for each learning outcome must be underpinned by the learner's evidence of competence from the relevant competence-based unit stated above. The learner reflective account must be at the appropriate depth to meet the assessment requirements.

Unit 4: Principles of Administration

Unit reference number: Y/506/1941

Level: 3

Credit value: 6

Guided learning hours: 27

Unit type: Knowledge

Unit summary

In their day-to-day job, an administrator will have responsibilities for a number of important processes such as managing office facilities, supervising the work of an administrative team, ensuring the maintenance of health and safety, and chairing or taking minutes of meetings. Each of these responsibilities is underpinned with a number of important administrative principles that are crucial not just to the content of this unit, but also to a number of other units in the Business Administration qualification.

In this unit you will learn about the administrative support services, for example dealing with correspondence, making and receiving telephone calls, monitoring the use of office resources, working in a team and supporting colleagues.

You will explore the key legal requirements affecting the work of an office facility. You will investigate procedures for managing office resources, procedures and workflows. You will explore the health and safety requirements that an office facility must meet, including the legal obligations, procedures and staff responsibilities.

You will gain an understanding of business meetings, including the process, purpose, implications and importance of taking meeting minutes, and the requirements, responsibilities and techniques for chairing meetings. You will explore how techniques and targets can be used by administrative team supervisors to help manage both team and individual performance.

Finally, you will consider what information, resources and planning processes are needed in order to organise a business event.

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 an office facility	1.1 Explain the legal requirements relating to the management of office facilities
	1.2 Describe the typical services provided by an office facility
	1.3 Explain how to establish office management procedures
	1.4 Explain how to manage office resources
	1.5 Explain techniques to monitor and manage work flows
	1.6 Explain typical support and welfare facilities for office workers
2 Understand health and safety in a business environment	2.1 Explain the legal obligations of the employer for health and safety in the workplace
	2.2 Explain an individual's responsibilities for health and safety in the workplace
	2.3 Describe accident and emergency procedures
3 Understand how to take minutes of meetings	3.1 Explain the purpose of meeting minutes
	3.2 Explain the legal implications of meeting minutes
	3.3 Explain the importance of accuracy in minute taking
	3.4 Describe what should and should not be included in different types of meeting minutes
	3.5 Describe how to take notes during meetings

Learning outcomes	Assessment criteria
4 Understand how to chair, lead and manage meetings	4.1 Explain the features and purpose of different types of formal and informal meeting
	4.2 Explain the role and responsibilities of the chair
	4.3 Explain the role of others in a meeting
	4.4 Explain techniques to facilitate a meeting
	4.5 Explain the information requirements of a meeting before, during and after a meeting
5 Understand how to supervise an administration team	5.1 Explain the use of targets and budgets to manage workloads
	5.2 Explain how to allocate work to individual team members
	5.3 Explain different quality management techniques to manage the performance of an administrative team
	5.4 Explain the techniques used to identify the need for improvements in team outputs and standards
6 Understand how to organise events	6.1 Explain the characteristics, requirements and purposes of different types of events
	6.2 Explain the types of information and information sources needed to organise an event
	6.3 Explain how to plan an event
	6.4 Explain how to identify the right resources from an event plan
	6.5 Describe the likely types of information needed by delegates before, during and after an event

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 legal requirements relating to the management of office facilities

- *Legislation:* statutory duties of employers and employees relating to health, safety and welfare, managing information, equality and diversity

- *Primary legislation:* Health and Safety at Work Act 1974 (HASAWA); Data Protection Act 1998; Equality Act 2010; *Management of office facilities:* interpretation of legal requirements identified in legislation; implementation of policies to meet legal requirements; establishing office procedures to meet legal requirements; reporting procedures; key personnel responsible for health and safety (health and safety officer, fire wardens), ensuring a safe working environment; employee responsibilities to work safely, risk assessments, staff training; welfare facilities

- *Risk assessments:* purposes (protection of employees while at work, protection of public, protection of business's resources, identifying sources of risk); problems brought about by legislation change; accessibility requirements; conducting a risk assessment, proposing remedial action, implementing changes, notifying others of change

AC1.2:   Describe the typical services provided by an office facility

- *Definition of services offered by an office facility:* agreed organisational procedures that support management

- *Services:* maintain diaries; receive and send messages; deal with correspondence; make and receive telephone calls; organise meetings and events; receive visitors; take minutes; monitor stationery, order new stock; maintain good customer service; work in a team and support colleagues, deputise for manager as appropriate

AC1.3:   Explain how to establish office management procedures

- *Communications:* telephone systems (external and internal); electronic communication systems (shared diaries, organising meetings, email, websites, intranet, information databases)
- *Staffing:* ICT and communication systems support
- *Resources:* office equipment (printers, photocopiers, computers), stationery
- *Management procedures:* communication systems; setting staff responsibilities to meet corporate policies (external and internal customer service); reporting problems; risk assessments; following instructions; training on systems; health and safety responsibilities; managing stationery; storage of materials for office equipment; following security and confidentiality procedures; diary and meetings management electronic systems

AC1.4:   Explain how to manage office resources

- *Resources:* office equipment; stationery; staffing
- *Office equipment:* assess what is needed; cost/budget; research suppliers; order/install; workload dependency; regular maintenance and electrical checks; train staff on correct use; safety and security; ICT support staff
- *Stationery:* record of suppliers; cost/budget; quantity discounts; assess quantities required; workload related; maintain stock control minimum and maximum stock levels, order/re-order, check quality; standard forms/letterheads; recycling policy; confidentiality and security of electronic resources
- *Staffing:* workload dependency; meeting deadlines; full time or part time or specific contract timescales; recruitment procedures; job descriptions/specifications; liaison with human resources department dependent on size of organisation; induction training; integration into team; absence, illness, annual leave

AC1.5:   Explain techniques to monitor and manage work flows

Planning and managing work flows
- *Business-wide techniques:* organisational/strategic plans, resource planning (staff and equipment), monitoring availability of resources, cost/budget analysis, scheduling activities to meet business objectives;
- *Department/team techniques:* departmental plans; setting SMART team objectives (specific, measurable, achievable, realistic, time-bound), negotiating realistic targets and setting timescales; scheduling activities within departmental/project timescales; prioritising work; scoping work
- *Individual techniques:* understand the aims and objectives of task(s)/project; allocating tasks; using skills and attributes of individual team members; negotiating realistic individual targets, setting SMART individual action plans; awareness of own responsibilities

- *Monitoring work flows*
  - motivating team members: achieving objectives and working together as a team; reporting progress systems; meeting interim deadlines; meeting budget requirements; meeting quality objectives; analysing and evaluating progress; recording progress made (using spread sheets, GANTT charts)
  - dealing with problems: not meeting deadlines; changes in scope of activities; insufficient budget or changes in costs scoped; member of team removed from activity; regular team meetings to discuss progress and any issues

AC1.6:   **Explain typical support and welfare facilities for office workers**

- *Human resources department:* recruitment/promotional vacancies, job descriptions and specifications; workplace culture; employer/employee relationships; be approachable, fostering open and candid communication; mediate on any staff issues; encourage training opportunities; performance management; setting dress code); equality and diversity legislation

- *Operations and facilities:* managing operational services, heating, lighting, access, security, cleaning, catering, routine maintenance, non-routine maintenance, parking, IT support

- *Welfare:* healthy, safe and secure workplace environment, maintain a clean and hygienic workplace; regular risk assessments; toilets and washing/drying facilities, showers and changing rooms; restaurant, drinks machines or facilities for making hot drinks, drinking water; first aid supplies, resident or part time medical support; crèche; secure access to workplace, secure and safe reception facilities , visitor badges; outside facilities for smoking

AC2.1:   **Explain the legal obligations of the employer for health and safety in the workplace**

Employer's legal obligations

- *Legislation:* meet the obligations of the health and safety legislation (maintain safe equipment, safe use, handling, storage and transport of articles and substances (COSHH legislation), risk assessment, first aid

- *Legal processes, documents and notices:* health and safety policy document (including management of health and safety, responsibility of individuals, commitment to health and safety), displaying health and safety law poster, complying with external health and safety Inspections (Fire Service, Health and Safety Executive)

- *Health and safety information:* how to identify and assess risks; provide training (assessing risks, using specific equipment and materials, keeping self and others safe); provide adequate protective clothing; facilitate eye checks

- *Maintain a safe workplace:* conduct regular risk assessment, address any risks identified; safe access to emergency exits; safe use of equipment in the workplace regular testing of electrical equipment, regular computer risk assessment (position of monitor, height of chair, position of arms); fire drills, testing fire extinguishers

- *Health and safety staff:* overall responsibility, employee representative(s), reporting hazards, dangerous occurrences, fire wardens (to support fire drills and give health and safety advice) first aider(s), security staff

AC2.2: Explain an individual's responsibilities for health and safety in the workplace

Employee responsibilities

- *Safe working practices:* take reasonable care of own health and safety, demonstrate appropriate behaviours that protect self and others from harm, follow manufacturers' instruction manuals, wear protective clothing provided, follow procedures when accidents occur, maintain personal hygiene, behave in a safe manner, store equipment and materials without causing a hazard to self or others, use correct lifting techniques

- *Co-operate with employer:* comply with company health and safety procedures, attend training on the correct use of equipment, report hazards, report accidents in the accident book, take part in fire drills, have regular eye checks

- *Additional responsibilities:* health and safety officer (health and safety policy review, risk assessment, report to employer on hazards, dangerous occurrences, general matters affecting groups of employees); fire warden responsibility (checking areas are clear, encouraging others to leave the building, feeding back any issues on the evacuation process)

AC2.3: Describe accident and emergency procedures

- *Accidents:* falls, cuts, fainting, objects falling causing injury,

- *Emergencies:* serious injuries, fire, electrocution, chemical spillage

- *Procedures:* trained and competent staff (technical for machinery); first aider; nominated staff to take control; regular training and practice (fire drills, use of specialist equipment); fire safety notices and policies in staff handbooks; procedures for raising alarms; contact(s); details of emergency and location; staff meeting point on evacuation; emergency lighting; sufficient emergency unblocked exit routes; needs of staff with disabilities; re-entry procedures

AC3.1: Explain the purpose of meeting minutes

- *Purpose:* minutes are a written record of notes taken at a meeting of items discussed, used to confirm to delegates attending or as information for staff not attending, of decisions taken, actions agreed are recorded, the staff allocated to each agreed action is agreed, the timeline of each action to be taken is recorded, serves as a record of the meeting's procedures and outcomes

AC3.2: **Explain the legal implications of meeting minutes**

- *Legal purpose of meeting minutes*: to protect the organisation, to protect the meeting participants, to provide a record of the actions taken, evidence that the actions were taken according to proper procedure
- *Legal implications of meeting minutes:* minutes may be examined in the event of legal action, minutes may be examined in the event of financial audit, minutes can be subject to Freedom of Information Act 2000 requests, if actions are challenged, liability for an action may be shifted from the individual taking the action to the decision agreed by a group, decisions need to demonstrate that all members of the group agreed an action

AC3.3: **Explain the importance of accuracy in minute taking**

- *Accuracy:* one official version of decisions made to avoid misunderstandings, clarity on agreements made; minute note taking role includes checking accuracy at meeting, ensures all delegates agree on items recorded, action points agreed checked at next meeting, clarity on status of outstanding items recorded, challenges completion of actions before the meeting; minutes of board meetings may be required for auditing and tax purposes; minutes shared with non-attendees for information
- *Note-taker:* usually delegated by the person leading the meeting, allows the leader to concentrate on chairing the meeting, records decisions, action items and discussion clearly and concisely; minutes

AC3.4: **Describe what should and should not be included in different types of meeting minutes**

- *Formal company meeting minutes:* title of meeting, time, date, location, number of persons present, proxy voters (usually for company annual general meeting), names of persons attending, confirmation of a quorum(required number when voting on a resolution), telephone attendees (conference call), details of actions taken, exact wording of a resolution made, names of nominator and seconder of motion, outcome of resolution voting or a nomination (re-election of a director), any other matters, time and reason meeting adjourned, signed off by chairperson
- *Informal company meeting minutes:* title of meeting, time, date, location, names and roles of persons present, purpose of the meeting, telephone attendees (conference call), accurate notes, clear actions to be taken and agreed, date of next meeting, signed off by meeting leader/chairperson
- *Not included in minutes (all types of meeting):* verbatim transcript of discussions, unclear actions, details of any presentations given, resources used

AC3.5: Describe how to take notes during meetings

- *Taking meeting minutes:* paper-based minutes; electronic minutes; video or audio recordings; monitor signing in of attendance sheet listing all persons expected, identify individuals (name badges, place cards), identify non-attendance of delegates and apologies, note who is speaking, recording speaker's name and points made, start time, note main ideas and discussion points (avoid verbatim notes), agreed actions to progress activities, person(s) responsible, timelines, motions that will be voted on at a future meeting, clarify action points discussed and agreed to ensure accuracy, any other business, date of next meeting, end of meeting time

AC4.1: Explain the features and purpose of different types of formal and informal meetings

Formal meetings

- *Company annual general meeting:* (shareholders' meeting to elect or re-elect the board of directors, present annual report and accounts); needing a default quorum requirement of majority voting shareholders; at least 14 days' notice must be given for private companies and at least 21 days for a non-traded public company including agenda

- *Board of directors' meeting:* (senior management of the organisation); establish broad policies and objectives, review performance of chief executive and directors, adequacy of financial resources, approve the annual budget, annual report and accounts to shareholders, take decisions on changes to business (mergers, dissolutions); quorum requirement for voting on resolutions

Informal meetings

- *Department (staff working in a functional area) team meetings:* work related to that team; chairperson manager of that department; updates on company information or department specific, discussions on department or other projects, allocation of workloads, staffing requirements

- *Project meetings (specific to targeted work):* all staff involved normally attend; progress updates, targets being met, phased deadline slippage, re-scheduling, costings/budget reviewed, sufficient resources checked (staffing and physical); continues to end of project

- *Standing meetings (regular meetings held weekly, fortnightly or monthly):* specific targeted work related (project meetings); particular aspects of the business (health and safety with department representatives attending); common format for agenda and minutes

- *Ad hoc meetings (meetings adjourned to solve a specific problem or task):* no set schedule; no set membership; no set agenda; not intended to be adapted to other purposes; items may be improvised

AC4.2: Explain the role and responsibilities of the chair

- *Role of the chair:* to lead and control a meeting
- *Responsibilities:* check all persons invited have arrived and signed in, review the agenda, outline the purpose of the meeting, control the meeting (agenda order, persons dominating discussion, interruptions, refocus discussion, set the pace, keep to time), all comments are addressed through the chair, indicate progress made, conclude one point before the next, emphasize main points, support the note-taker, clarify any misunderstanding, summarise achievements and actions agreed, arrange time and date of next meeting, sign off minutes

AC4.3: Explain the role of others in a meeting

- *Before the meeting:* review agenda and minutes of last meeting, make any necessary preparation ready for the meeting
- *During the meeting:* listen to other opinions, take part in discussions, avoid dominating the proceedings, avoid conflict situations, avoid side discussions to distract others, ask questions to clarify understanding, note down any action agreed
- *After the meeting:* brief others as appropriate, undertake actions given or delegate to others, ensure actions are completed within deadline given, report back at next meeting

AC4.4: Explain techniques to facilitate a meeting

- *Preparation:* plan agenda, discuss with staff making contributions to meeting, date, time, venue, staff to invite and availability; send meeting invitation and agenda with any pre-reading information; collate responses, prepare final list of staff attending, note staff unable to attend; receive advance preparation from staff, distribute as appropriate
- *Agenda:* items to be covered, list staff responsible to report against relevant item, sufficient time allocated to discuss each item, order of items (first to give clear focus to meeting and participation of staff)
- *During the meeting:* set clear expectations, manage time and relevance, intermittent summaries to keep on track, formalise agreements and actions, manage disagreements, summarise agreed actions, arrange next meeting

AC4.5: **Explain the information requirements of a meeting before, during and after a meeting**

- *Before a meeting:* meeting room booking (internal or external venue, time, date, catering, accommodation, car parking), staff invited, invitations, agenda, minutes of last meeting, presentations or documentation from staff contributing, advance distribution of discussion information; resources

- *During a meeting:* Attendance list for signing in, name badges, copies of agenda, copies of discuss documentation (in case staff forget to bring advance copies with them), contributors' presentation materials, presentation equipment

- *After a meeting:* Minutes of meeting, results of actions given at meeting (progress report, completion details, further consultations to develop targeted action(s), any necessary amendments made to targeted action(s), arrangements for next meeting)

AC5.1: **Explain the use of targets and budgets to manage workloads**

- *Targets:* company objectives to achieve specific outcomes; achievable work projects; sales figures; production figures; research developmental work

- *Budgets:* control of finances; keep companies on track to meet current commitments; future planned work or targeted projects; enable decisions to meet objectives within allocated finances, allow allocation of appropriate resources to projects (workloads); used when monitoring performance (keeping within allocated budget); identify shortcomings before they occur, take early appropriate action, manage finances effectively; break-even analysis used (analysing costs against budget, on, below or over budget)

AC5.2: **Explain how to allocate work to individual team members**

- *Team members' strengths:* Belbin's theory (plant to solve problems, monitor to give logical view, co-ordinator to focus on objectives and distribution of workload, resources investigator to ensure all resources needed are available, implementer to make practical plans, completer to ensure end objective is effective and accurate, team-workers to work together and follow through targeted work, shapers to drive forward and keep team moving)

- *Allocating work in the team environment:* communicate clearly on objectives of work; agree tasks; motivate using team members' strengths; develop team cohesion; value team members; listen to feedback; encourage recommendations for improvements; use consistent decision making; arrange training if needed; set realistic targets; review performance against targets; praise achievements; solve problems as they arise (conflicts within team, re-order low resources); foster creativity; extend team members' potential

AC5.3: **Explain different quality management techniques to manage the performance of an administrative team**

Quality management techniques

- *For quality control:* provide consistent systems; consistent customer service procedures; checks that company procedures are being followed; encouraging pride in own work; staff ownership of quality of work

- *For quality assurance:* feedback processes; measurement of performance levels, performance evaluation 'get it right first time' target, 'fit for purpose' target

- *For quality improvements:* ongoing training for staff (new systems, procedures and equipment); change management systems discussed with staff (allow staff involvement in any changes, 'grass roots' experience support management decisions); Six Sigma, TQM; staff appraisals to support personal development, preparation of personal development plans, support personal development training for succession planning

- *Quality standards:* National Occupational Standards (NOS), ISO 9001 standards

AC5.4: **Explain the techniques used to identify the need for improvements in team outputs and standards**

- *Techniques for team outputs and standards:* assessment of staff working as a team to meet required outputs and standards, review of progress against planned outputs, review of progress in meeting targeted deadlines, analysis of time taken to complete tasks, review of the standard of completed work, identification of any conflicts within the team, analysis of team leadership (strong, weak, efficient, inefficient), implementation of standards expected to identify strengths and weaknesses

- *Techniques measuring individual contribution to team outputs and standards:* analysis of individual team members' strengths and weaknesses, recognition of individual contributions, ability to follow instructions; analysis of individual weaknesses (skills, communication, understanding, motivation); identification of reasons for not meeting targets

- *Identifying improvements needed:* team cohesion; individual weak contributions; unfair distribution of tasks; rationalising and resolving team conflicts; improved utilisation of individual skills; re-training on standards expected; improve communications with the team for clearer understanding of team objectives

AC6.1: Explain the characteristics, requirements and purposes of different types of events

Purposes of different types of events

- *Staff training, workshops and presentations:* in house (new procedures or systems, practical skills, company information presentation), giving one-to-one experience or training several staff at one time; external training on new equipment; demonstrations; arranged for individuals or several staff

- *Exhibitions, trade fair stands and product launches:* arranged to bring company and product information to customers; demonstrations/ product and services literature/presentations by sales staff to give understanding and awareness to customers and members of the public; facility to answer questions and gain feedback from customers, gain market research

- *Conferences:* internal or external; brings large groups together (staff and/or customers); outside speakers, different workshops giving options to attend more than one; information giving

- *Requirements for events*: dependent on type and size of event, location (internal or external), costs and budget, facilities (rooms, catering, presentation equipment) and resources needed, alternative venues, overnight accommodation; transport, car parking; presenter, presentation materials, information documentation, product samples; marketing to external companies or invitations to internal staff; event programme

AC6.2: Explain the types of information and information sources needed to organise an event

- *Information required:* clear objectives of event, event plan; current legal requirements; law of contract (with venue, outside speakers, suppliers), agreements, consumer protection, health and safety; cost analysis, allocated budget, comparing costs, final costs; number of delegates

- *Information sources:* alternative available venues and costs, availability of required facilities; information on relevant and available trainers/speakers/external companies, presentation materials from outside organisations, materials from staff contributing; contact details for delegates

AC6.3: Explain how to plan an event

- *Planning an event:* set event objectives and event programme; liaise with presenters (internal or external depending on event); location for event, compare costs of different venues providing size, facilities, catering, adjacent accommodation, accessibility to public transport and resources required; plan all costs and agree final budget; make bookings; send out invitations with event programme and any other relevant information; record acceptances; prepare or receive event presentation materials; final delegate list; advise venue final numbers

AC6.4:   Explain how to identify the right resources from an event plan

- *Resource planning:* the event itself identifies location and size of
  venue, the purpose and number of delegates expected or invited
  indicates size and number of room(s) required (lecture theatre and/or
  breakout rooms), layout of rooms dependent on style of presentation
  (lecture, participation of delegates, workshop/discussions, theatre,
  boardroom, small tables for discussion groups); equipment for
  presentations depends on type of materials being used (projector,
  laptop, flip chart, display stands); delegate packs (information
  documents, printouts, pens, papers, goodies) (depends on number of
  delegates attending); catering requirements (dependent on number of
  delegates attending, dietary requirements, formality of event, time of
  event)

**AC6.5:   Describe the likely types of information needed by delegates
before, during and after an event**

Types of information

- *Before the event:* invitations including all event details of programme,
  time, date, venue, location map, catering arrangements,
  accommodation if relevant and available, transport details, pre-event
  documentation, how to book and deadline for returning booking,
  confirmation of booking, special requirements

- *During the event:* direction signs at the venue to event room, signing-
  in attendance sheet, name badge, delegate pack; domestic
  arrangements during the event, including any fire drills and emergency
  exit routes; any additional information at time of presentations

- *After the event:* follow up minutes if event is a meeting;
  supplementary information promised by presenters; evaluation
  questionnaire on the actual event; feedback on questions raised

Information for tutors

Suggested resources

Books

Capell L - *Event Management for Dummies*, 1st edition (Wiley, 2013)
ISBN 9781118591123

Conway D - *The Event Manager's Bible: The Complete Guide to Planning and Organising a Voluntary or Public Event*, 3rd edition (How To Books, 2009)
ISBN 9781845283032

Petz J - *Boring Meetings Suck: Get More out of Your Meetings, or Get Out of More Meetings*, 1st edition (Wiley, 2011) ASIN: B004V4FGVO (Kindle edition)

Websites

www.healthyworkinglives.com - NHS Scotland website that gives information and advice to help improve health and safety and the wellbeing of everyone at work

www.hse.gov.uk - Health and Safety Executive information on all aspects of health and safety

www.infoentrepreneurs.org - information on business targets and budgets

www.legislation.gov.uk - information on responsibilities related to the Health and Safety at Work Act 1974

www.themeetingminutes.com - information on the purpose of minutes and the legalities around keeping accurate minutes

Assessment

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

External assessment

External assessment is through an onscreen test. Pearson will set and mark this test. The test lasts for 60 minutes and is worth 45 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

The following are the required assessment methods for this unit.

All learning outcomes in this unit must only be assessed by structured written assessment or written learner reflective accounts that cover the unit content and meet the level of demand of the assessment criteria. If structured 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 and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria. Written learner reflective accounts should only be used if the learner is also completing any combination of the following optional units to achieve the qualification:

- *Manage an Office Facility*
- *Employee Rights and Responsibilities*
- *Produce Minutes of a Meeting*
- *Chair and Lead Meetings*
- *Manage Team Performance*
- *Contribute to the Organisation of an Event*

The reflective account for each learning outcome must be underpinned by the learner's evidence of competence from the relevant competence-based unit stated above. The reflective accounts must be at the appropriate depth to meet the assessment requirements.

Unit 5: Principles of Business

Unit reference number:	**D/506/1942**
Level:	**3**
Credit value:	**10**
Guided learning hours:	**74**
Unit type:	**Knowledge**

Unit summary

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

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

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

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand business markets	1.1 Explain the characteristics of different business markets
	1.2 Explain the nature of interactions between businesses within a market
	1.3 Explain how an organisation's goals may be shaped by the market in which it operates
	1.4 Describe the legal obligations of a business
2 Understand business innovation and growth	2.1 Define business innovation
	2.2 Explain the uses of models of business innovation
	2.3 Identify sources of support and guidance for business innovation
	2.4 Explain the process of product or service development
	2.5 Explain the benefits, risks and implications associated with innovation
3 Understand financial management	3.1 Explain the importance of financial viability for an organisation
	3.2 Explain the consequences of poor financial management
	3.3 Explain different financial terminology
4 Understand business budgeting	4.1 Explain the uses of a budget
	4.2 Explain how to manage a budget
5 Understand sales and marketing	5.1 Explain the principles of marketing
	5.2 Explain a sales process
	5.3 Explain the features and uses of market research
	5.4 Explain the value of a brand to an organisation
	5.5 Explain the relationship between sales and marketing

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 characteristics of different business markets

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

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

In a perfect competition market

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

Interactions in an imperfect competition market

Monopolies: all consumers will purchase a specific product from one business, the business: will set the price for that product

Monopolistic competition: consumers will purchase differentiated products that are similar but not identical from different businesses, businesses will compete to sell their product, demand for the product will affect the price

Oligopoly: consumers buy from a small number of large businesses, high interdependence between the businesses, businesses must take into consideration the reaction of the market to their actions

Monopsony: consumer has the power to dictate price to the business selling, one large consumer interacting with many smaller businesses

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

Organisations operating under a market of perfect competition

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

Organisations operating under a market of imperfect competition

- *Primary organisational goals:* profit maximisation, profitability, sales (value, volume), growth, internationalisation, market share, market power, satisfying stakeholders, return on capital employed (ROCE), service level, customer satisfaction, corporate responsibility; ethical issues, welfare
- *Additional organisational goals:* achieving a state of monopoly, i.e. when a specific organisation is the only supplier of a particular commodity, to join a state of oligopoly, i.e. a market that is dominated by a small number of sellers
- *Organisations operating under both perfect and imperfect competition markets*
- *Market factors affecting an organisation's goals:* demand, supply, costs, revenues, price determination, profit, output determination, elasticity, inelasticity, equilibrium

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

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

AC2.1: **Define business innovation**

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

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

Uses of models of business innovations

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

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

Sources of support and guidance for business innovation

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

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

Eight stage process for new product development

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

- *Review of market performance and product pricing:* customer reaction, impact of the product on existing portfolio, value analysis (internal, external) competition response analysis, analysis of value segments (price, value, demand), review of production costs, forecast of unit volumes, revenue and profit, review of after-sales service

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

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

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

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

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

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

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

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

AC4.1: Explain the uses of a budget

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

AC4.2: Explain how to manage a budget

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

AC5.1: Explain the principles of marketing

- *Marketing:* a process that identifies and anticipates customer needs and satisfies those needs profitably
- *Principles of marketing (marketing mix: the 7 Ps)*
- *Product:* features and appearance of goods and services
- *Price:* how much customers pay for products
- *Place:* point where products are made available to customers
- *Promotion:* how customers are informed about products
- *People:* those responsible for all aspects of marketing
- *Physical presence:* how customers view the product, service, staff, organisation, brand
- *Process:* how products and services are delivered to customers

AC5.2: Explain a sales process

Sales process

- *Prospecting for sales:* identify target market, identifying possible leads, networking, initial contact, business to business referrals; social media
- *The approach:* sales calls, mailings, e-shots, qualifying leads, arranging the sales meeting; establish rapport and trust
- *Establish customer needs:* identifying needs and requirements, questioning, listening, gaining understanding
- *The presentation:* meeting the established customer needs, explanation, demonstration, establishing the benefits of the product/service
- *Overcome objections:* negotiating, fine-tuning
- *The close:* deal, agreement, next steps
- *Follow-up:* after-sales contact, relationship management

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

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

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

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

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

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

Information for tutors

Suggested resources

Books

Brassington F and Pettitt S - *Essentials of Marketing*, 3rd edition, (Pearson, 2012) ISBN 9780273727644

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

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

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

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

Websites

www.acas.org.uk - a government-funded agency that advise on industrial relations and employment issues

www.accountingweb.co.uk - accounting news, information and case studies

www.bbc.co.uk/business - BBC business website:

www.businessballs.com - information on skills for personal and professional development

www.gov.uk - government services and information

www.youtube.com - community site for videos

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 45 minutes and is worth 30 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

The following is the required assessment method for this unit.

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

Unit 6: Contribute to the Improvement of Business Performance

Unit reference number: D/506/1911

Level: 3

Credit value: 6

Guided learning hours: 33

Unit type: Competence

Unit summary

Problem solving and decision-making are important skills for business and life. Problems that arise in any aspect of a business could lead to disagreements, work errors, poor quality and loss of profits. There are processes and techniques to improve decision-making, the quality of potential solutions and decisions that deliver tangible benefits and an overall improvement in the efficiency and effectiveness of the business.

This unit covers the knowledge and skills required to solve problems in any context and contribute to the achievement of process and quality improvements. You will consider the types of problems that can arise at work and ways that these can be resolved using a decision-making approach. You will be required to contribute to the identification of the root cause of problems, examine the key stages in the decision-making process and determine the corrective actions that need to be implemented to meet organisation, legal or regulatory requirements.

You will use a variety of business improvement models, such as Kaizen and Six Sigma, and a range of techniques including 5 Whys, Boston Matrix, Ishakawa (Fishbone) Diagram to solve problems and develop a resource plan (master schedule) that will establish quantifiable objectives and targets for the improvement activity. You will contribute to the development of standard operating procedures (SOPs) that could relate to the maintenance of equipment, health and safety practices and procedures, process procedures or quality improvements.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of resolving business problems	1.1 Explain the use of different problem-solving techniques
	1.2 Explain the organisational and legal constraints relating to problem-solving
	1.3 Describe the role of stakeholders in problem-solving
	1.4 Describe the steps in the business decision-making process
	1.5 Analyse the implications of adopting recommendations and implementing decisions to solve business problems
2 Understand improvement techniques and processes	2.1 Describe the purpose and benefits of continuous improvement
	2.2 Analyse the features, use and constraints of different continuous improvement techniques and models
	2.3 Explain how to carry out a cost-benefit analysis
	2.4 Explain the importance of feedback from customers and other stakeholders in continuous improvement
3 Be able to solve problems in business	3.1 Identify the nature, likely cause and implications of a problem
	3.2 Evaluate the scope and scale of a problem
	3.3 Analyse the possible courses of action that can be taken in response to a problem
	3.4 Use evidence to justify the approach to problem-solving
	3.5 Develop a plan and success criteria that are appropriate to the nature and scale of a problem
	3.6 Obtain approval to implement a solution to a problem

Learning outcomes	Assessment criteria
	3.7 Take action to resolve or mitigate a problem
	3.8 Evaluate the degree of success and scale of the implications of a solved problem
4 Be able to contribute to the improvement of activities	4.1 Identify the nature, scope and scale of possible contributions to continuous improvement activities
	4.2 Measure changes achieved against existing baseline data
	4.3 Calculate performance measures relating to cost, quality and delivery
	4.4 Justify the case for adopting improvements identified with evidence
	4.5 Develop standard operating procedures and resource plans that are capable of implementing agreed changes

Unit amplification

AC1.1: Explain the use of different problem-solving techniques

- *Problem-solving techniques:* brainstorming, workshops; SWOT analysis (strengths, weaknesses, opportunities, threats); PESTLE analysis (political, economic, social, technological, legal, environmental); risk analysis, RCA (root cause analysis); Pareto Principle; PDCA (plan, do, check, act); 5-why analysis
- *Use:* e.g. to create new ideas, to improve decision-making, to improve quality of decisions

AC1.2: Explain the organisational and legal constraints relating to problem-solving

- *Organisational and legal constraints:* contracts and agreements; employee relations; skills and experience of staff; existing policies and procedures; budget; technology; values and ethics; legal or regulatory barriers, e.g. health and safety, equality, data protection

AC1.3: Describe the role of stakeholders in problem-solving

- *Internal:* team leader, oversees and takes responsibility for problem solving; team members, affected by the problem, provide feedback, options, solutions; senior managers, agree solutions and finance
- *External:* potential users/customers ,feedback; suppliers, feedback; competitors, sales; regulatory bodies, compliance checking

AC1.4: Describe the steps in the business decision-making process

Steps
- *Identify the problem:* recognising the problem, symptoms, recognising waste
- *Gather data and information:* fact finding, use of management reports and performance indicators
- *Consider options and solutions:* advantages and disadvantages of each option; potential problems and risks; analysis, 5 Whys, cause and effect
- *Adopt the recommendation:* make the decision, responsibility for decision
- *Implement the decision:* act on the chosen solution; set standard operating procedures, set SMART objectives (specific, measurable, attainable, realistic, timely); identify additional problems
- *Monitoring and seeking feedback:* checking success and achievement against objectives; gaining feedback from users and other stakeholders involved in the process; recording outcomes

AC1.5: **Analyse the implications of adopting recommendations and implementing decisions to solve business problems**

- Implications*:* how the solution will be implemented; responsibility for implementation; risks of implementing the solution; avoiding recurrence of problem(s); developing monitoring system; communication (internal, external)

AC2.1: **Describe the purpose and benefits of continuous improvement**

- *Continuous improvement:* definition
- *Purpose:* e.g. improve standards, improve quality, improve productivity, reduce waste
- *Benefits:* business efficiency, effective team working, motivated employees, effective resource management, customer satisfaction

AC2.2: **Analyse the features, use and constraints of different continuous improvement techniques and models**

Continuous improvement models: Kaizen, PDCA, Six Sigma, DMAIC
- *Features:* structured approach to problem solving, improvements based on smaller changes, ideas generated from within the organisation
- *Uses:* continuous improvement, innovation, develop a design, reduce waste, improvement in productivity and efficiency
- *Constraints:* commitment over time, change in mind-set, resistance to change

Continuous improvement techniques
- *Planning*
  - o *Features:* master schedule, SIPOC, problem and goal statements, time bound visual plans, commercial and bespoke software task management systems, responsibility and accountability
  - o *Use:* to determine the 'what, why, how and when', to provide structure
  - o *Constraints:* limits of stakeholder engagement, timescales
  - o Stakeholders identification/engagement
  - o *Features:* key stakeholder involvement, RACI Matrix, Boston Matrix
  - o *Use:* to capture ideas, to remove barriers, to ensure individual buy-in and engagement throughout the process, to prioritise areas to be addressed and timescales required, to identify the significance/extent of a problem
  - o *Constraints:* networking skills, communication skills, lack of ownership or accountability, lack of hard data/evidence, differing attitudes and objectives

- *Visual management*
  - *Features:* effective communication processes, visual aids, e.g. signs, charts, display or performance boards, company handbooks, key performance indicators, standard operating procedures, voice of the customer
  - *Use:* to provide current status at a glance, standardisation of approach, identification of non-standard approaches, to increase employee involvement and motivation, to raise productivity and quality, to facilitate faster decision-making
  - *Constraints:* currency and value if not maintained, timely dissemination of information to participants
- *Problem solving*
  - *Features:* brainstorming, affinity diagram, Ishakawa Fishbone diagram, 5 Whys, RCA, data gathering
  - *Use:* to eliminate problems, to treat the cause not the symptoms, to add value by improving business processes, e.g. efficiency, service, health and safety
  - *Constraints:* timescales, knowledge of the problem, desire to jump to the solution

AC2.3: Explain how to carry out a cost-benefit analysis

- *Brainstorm costs and benefits:* costs, actual costs, unexpected costs; benefits, staff, stakeholders, environment, business efficiency, service
- *Assign monetary value to costs:* physical resources, labour, additional staffing costs, training costs
- *Assign monetary value to benefits:* minimising future loss, return on investment, profit
- *Compare costs and benefits:* costs vs. benefits, break-even point

AC2.4: Explain the importance of feedback from customers and other stakeholders in continuous improvement

- *Importance of feedback:* gathers different viewpoints, enables reflection, resolves further problems, confirms solution is fit-for-purpose, celebrates success, motivational, maintains continuous improvement cycle

Information for tutors

Books

Evans V - *Key Strategy Tools: The 80+ Tools for Every Manager to Build a Winning Strategy*, 1st edition (FT Publishing International, 2013) ISBN 9780273778868

Liker J - *The Toyota Way: Fourteen Management Principles from the World's Greatest Manufacturer*, Reissue edition (McGraw-Hill Education, 2004) ISBN 9780071392310

Weiss AE - *Key Business Solutions: Essential Problem-Solving Tools and Techniques That Every Manager Needs to Know*, 1st edition (FT Prentice Hall, 2011)
ISBN 9780273750291

Websites

www.bbc.co.uk/news/business - the BBC website, including a business news section

www.bized.co.uk - website providing business education resources

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

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

www.thecqi.org – the Chartered Quality Institute: quality management approach based on planning, measurement and improvement

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

www.managers.org.uk – the Chartered Management Institute: professional body promoting management and leadership excellence

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

Assessment

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

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

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the improvement of business performance. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

For AC1.1; AC1.2; AC1.3; AC1.4 and AC2.2, learners could provide examples of the types of problems that exist in their workplace with an explanation of the techniques used to determine the cause. Learners could provide a description of the stakeholders involved in this process and their roles. Learners could explain the limitations of problem-solving from an organisation and legal point of view. Professional discussion or reflective accounts could be used demonstrate the learners' achievement of the knowledge-based criteria that could also link to AC2.1; AC2.3 and AC2.4. Learners could describe the purpose and benefits of continuous improvements in their work environment and provide an analysis of the features, use and limitations of a range of business improvement techniques and models and justify the preferred solution. This could also be linked to the competence-based criteria. Learners could provide a cost-benefit analysis and provide an explanation of how this was carried out.

Work products could include evidence of minutes of meetings, process maps and diagrams, master schedules, feedback from stakeholders, presentation notes, reports to management/sponsors, resource plans and performance measures relating to cost, quality, delivery and responsibilities, analysis and evaluation, standard operating procedures showing agreed changes. Evidence could also include photographic evidence of Kaizen events and information centres. This assessment method could be used for all competence-based assessment criteria in learning outcomes 3 and 4 to demonstrate the learner's use of a range of business improvement techniques and models when solving business problems and contributing to improvement activities.

For AC1.5 and AC2.3 learners could analyse the various business improvement models available in their work environment. Learners could review product evidence of the possible solutions to problems, such as minutes of meetings, diagrams and process maps and workshop recommendations to provide an analysis of the implications involved in adopting recommendations and decisions.

To provide corroborating evidence for the assessment criteria in learning outcome 3 and 4 a reflective account could be used to document the learner's own role, responsibilities and skills. For example the learner could reflect on the criteria or standards they used to evaluate the scope of a particular problem, discuss the advantages and disadvantages of the different courses of action to solve the problem and explain the rationale for action chosen to solve the problem.

Witness testimony could be used to support the evidence from direct observation or work products.

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

Unit 7: 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

http://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 that 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.

Unit 8: 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*
  - *Audience:* invitation to presentation, resource and/or support needs, receipt of any pre-presentation materials
  - *Colleagues:* line manager, e.g. pre-defined content, communication protocols, agreeing objectives; immediate colleagues, e.g. providing content, providing feedback
  - *Supporting functions:* IT Department, e.g. providing audio visual equipment, telecommunications support; reprographics department, e.g. providing printed material and resources
  - *External stakeholders:* venue, catering, guest speakers

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

Factors

- *Preparation:* establishing purpose, setting objectives, audience, venue
- *Objectives:* intended presentation outcomes, e.g. intended learning, intended understanding, intended actions to follow presentation
- *Audience:* prior knowledge of topic, linking new material, winning them over
- *Venue:* location, room arrangement, atmosphere, audio visual resources
- *Presentation remit/brief:* presentation purpose, allotted time, specified format/style, content constraints
- *Choosing main points:* structure, logic, coherence, linking statements
- *Supporting information:* to add clarity, to explain complex terms, to remind audience of supporting theories, to add authority
- *Developing an opening:* introduction, topic, objective, materials, intended outcome, expectations of the audience

- *Developing a conclusion:* review objectives, summarise main points, summarise the process, conclusion drawn from main points, parting statement to stimulate thoughts of audience
- *Reviewing presentation:* audience response, achievement of objectives, presentation structure, relevance of content and materials, appropriateness of length/timings

AC1.4: Analyse the advantages and limitations of different communication media

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

Information for tutors

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 978-0321811981

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 – the Council for Administration 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.

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

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. Planned 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 that occur naturally in their role and consider annotating work product to capture knowledge and understanding to satisfy these assessment criteria.

For learning outcome 2, learners could present evidence from the workplace, including research notes, presentation plans, email correspondence, draft documents or presentation materials to evidence their ability to plan, prepare and develop a presentation. Evidence of this nature should be supported with professional discussion, personal statements or witness testimonies to confirm both its relevance to this unit and competence that has been demonstrated by the learner that 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 9: 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
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

Learning outcomes	Assessment criteria
	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 978-0321811981

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 – the Council for Administration: 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.

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

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 10: Create Bespoke Business Documents

Unit reference number: T/506/1915

Level: 3

Credit value: 4

Guided learning hours: 23

Unit type: Competence

Unit summary

Producing attractive and high-quality business documents is important for any business to share essential information. Business documents portray the image, culture and professionalism of the organisation.

In this unit you will learn how to create and produce a range of accurate, attractive and high-quality business documents to be used internally and externally to the organisation.

You will need to demonstrate the knowledge and skills to use relevant software applications and hardware effectively and efficiently to produce a variety of business documents. Designs will be of a complex nature. You will learn how to plan and organise your work. You will consider the specification requirements and needs of users to prepare the content, style and layout of design options. You will consider permissions, copyright, acknowledge sources of research where relevant and avoid plagiarism when designing documents. You will be responsible for the input of text and non-text, and manipulation of software and techniques that will require a number of steps that will be non-routine or unfamiliar. You will also be responsible for collating feedback from users and stakeholders on design options in order to edit, check and produce final business documents that meet the agreed requirements and timescales. Your final documents will convey the corporate identity and will engage users, be attractive, high quality and fit for purpose.

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 create bespoke business documents	1.1	Explain the use of bespoke business documents
		1.2	Describe the factors to be taken into account in selecting the appropriate method of presenting a business document
		1.3	Describe the use of technology to create bespoke business documents
		1.4	Explain the purpose and requirements of corporate identity in bespoke business documents
		1.5	Analyse different design techniques used to create attractive bespoke business documents
		1.6	Explain the factors to be taken into account in evaluating the impact of bespoke business documents
2	Be able to design bespoke business documents	2.1	Confirm the purpose, nature, content, style, quality standards, audience and deadline of the document
		2.2	Identify the optimum method of presenting the document
		2.3	Create design options that meet the specification
		2.4	Take into account feedback from stakeholders
3	Be able to create bespoke business documents	3.1	Include content that meets the brief, is accurate and grammatically correct
		3.2	Use design techniques to create documents that meet the specification
		3.3	Integrate non-text items into the agreed layout
		3.4	Present documents within the agreed timescale

Unit amplification

AC1.1:   Explain the use of bespoke business documents

- *Bespoke business documents:* i.e. documents that are individually or custom-made to serve a specific requirement or purpose; no template exists or an existing template is modified significantly to create something different
- *Bespoke documents:* types e.g. forms, specifications for products or services, publicity materials, questionnaires
- *Use of bespoke documents:* e.g. meets specific requirements, support internal processes and procedures, increase brand awareness, business portfolio, corporate presentation, publicity material, compliance with legislation and regulation, auditing and reporting

AC1.2:   Describe the factors to be taken into account in selecting the appropriate method of presenting a business document

Factors to be taken into account in selection
- *Corporate factors:* e.g. corporate/professional image, brand, use of text and non-text, legislation and regulation, clear brief, quality standards, design options
- *Resource factors:* e.g. software, hardware, paper, staff knowledge and skills, cost
- *Audience factors:* e.g. layout and style of document, fit-for-purpose, file format, security, output
- *Other considerations for selection:* e.g. quality, limits of authority and competence, use of non-text, colour, size of finished document, copies and distribution, document control and management, design options, format of design options and draft documents, process for agreeing design and approving final document

AC1.3:   Describe the use of technology to create bespoke business documents

Use of technology
- *Available software:* use of software to input and present information, voice recognition, restrictions and use of non-text, use of shortcuts, create, structure, organise, format and style contents, use of themed documents, editing documents, combining and merging of information, file type, file storage, data backup, check spelling and grammar
- *Available hardware:* keyboard, mouse, computer, mobile device, scanner, printer

AC1.4: Explain the purpose and requirements of corporate identity in bespoke business documents

- *Purpose:* brand identity and visibility in the marketplace, presenting a consistent and professional appearance, engage with customers
- *Requirements:* style guidelines, e.g. logo use, styling, layout; links to mission statement and values; software compatibility

AC1.5: Analyse different design techniques used to create attractive bespoke business documents

Different design techniques

- *Use of software functions: styling, field codes* input data, combining and linking information, orientation and sizing of images, structure and layout, editing
- *Providing design options:* knowledge and application of legislation and regulations, efficient use of software applications and resources, appropriate document type, document size and style, combining information, accurate data input, image size and quality, format, appropriate use of naming conventions, use of tracking functions, compatibility of user and stakeholder software
- *Approval of document:* checking and proofreading skills, editing skills, consultation, feedback, final approval, version control

AC1.6: Explain the factors to be taken into account in evaluating the impact of bespoke business documents

- *Impact of bespoke business documents:* internal, external, meeting needs of the user, ease of use of documents, brand recognition, business efficiencies
- *Factors to be taken into account:* meeting specification and organisational standards, fit for purpose, accuracy of documents, meeting legislative and regulatory requirements, feedback from users and stakeholders

Information for tutors

Suggested resources

Books

Carysforth C, Chadwick A and Rawlinson M - *NVQ Level 3 Business and Administration Student Handbook*, 1st edition (Heinemann, 2006) ISBN 9780435463342

Krieger S - *Documents, Presentations, and Workbooks: Using Microsoft Office to Create Content That Gets Noticed*, (Microsoft Press, 2011) ISBN 9780735651999

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration), (Heinemann, 2011) ISBN 9780435046880

Websites

www.businessballs.com – website identifying skills for personal and professional development

www.digitalunite.com – website providing support for computer users

www.office.microsoft.com - tools and support for Microsoft Office users (PC or Mac)

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.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the creation of different and bespoke business documents, for example, handbooks, specification documents or marketing materials. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Bespoke documents can be created using a variety of commercial software packages including voice recognition and should be of appropriate size, using suitable layouts that meet the mission and values of the organisation and be appropriate for either internal or external use. Documents can be paper-based or electronic.

For learning outcome 1, a diary or reflective account could be used to document the process of creating and producing different business documents and to record research relating to design ideas and options. For AC1.2; AC1.3; AC1.5 and AC1.6 reflective accounts could be used to supplement other evidence to demonstrate achievement of the knowledge-based criteria. Learners could describe the factors that influenced their method of presenting the business documents and how they may vary depending on the purpose of each document, its target audience and availability of resources (AC 1.2). Learners could describe the types of software and hardware they used to design and complete the final documents and the factors that influenced their choice (AC 1.3). Analysis of the techniques available to create different business documents could be included in the reflective account to demonstrate the learner's understanding of the process involved in creating different and attractive design options (AC 1.5). Learners could explain how design options were considered by users and stakeholders, and the process involved in obtaining the feedback (AC 1.6).

The evidence from direct observation should be supported through examining work products such as emails, notes or minutes of a meeting, a range of draft and final bespoke business documents, and examples of feedback from users and stakeholders.

For AC2.1; AC2.3; AC2.4; AC3.1 and AC3.4 witness testimony could be used to support the evidence from direct observation or work products.

For AC1.1; AC1.5; AC2.1; AC2.2; AC2.4; AC3.1 and AC3.2 question and answer (Q&A) sessions or professional discussion could be used to corroborate the competence of the learner and to provide evidence at the cognitive level/standards required for the assessment criteria in learning outcome 1. These methods may be particularly useful where the learner needs to give more detailed information to satisfy the breadth and depth of the level and demand of the criteria.

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

Unit 11: Contribute to the Development and Implementation of an Information System

Unit reference number: A/506/1916

Level: 3

Credit value: 6

Guided learning hours: 21

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes		Assessment criteria	
1	Understand the design and implementation of an information system	1.1	Explain the types of information to be managed by a system
		1.2	Explain how information will be used and by whom
		1.3	Explain who needs to be consulted in the design and implementation of an information system and why
		1.4	Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system
2	Be able to contribute to the development of an information system	2.1	Confirm the purpose, use and features of an information system
		2.2	Identify the information that will be managed by the system
		2.3	Confirm requirements for reporting information
		2.4	Recommend the functions that will be used to manipulate and report information
		2.5	Develop guidance for the use of an information system that is accurate and easy to understand
		2.6	Recommend user access and security levels for the information system
		2.7	Make contributions to the development of an information system that are consistent with business objectives and values and within budgetary constraints
		2.8	Participate in system tests in accordance with the specification

Learning outcomes	Assessment criteria
3 Be able to contribute to the implementation of an information	3.1 Implement the information system in accordance with the plan, minimising disruption to business
	3.2 Confirm that staff are trained to use the system prior to its launch
	3.3 Resolve or report problems or faults with the information system within the limits of their own authority
	3.4 Adhere to organisational policies and procedures, and legal and ethical requirements in the implementation of an information system

Unit amplification

AC1.1:   Explain the types of information to be managed by a system

- *Information systems:* management information systems
- *Information types:* marketing information, e.g. sales performance, competitor intelligence; financial information, e.g. financial costs, investment returns; human resources (HR) information, e.g. staffing, professional development; Customer Relationship Management information (CRM)
- *Information requirements:* internal and external information storage; information security; accuracy; relevance; outputs e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service
- *Ways of managing information:* people, e.g. users, stakeholders; process, e.g. flows, procedures, security, testing; technology, e.g. hardware, software, telecommunications; content, e.g. relevance, validity, level of detail, accuracy; risk, analysis; reporting, monitoring, reviewing

AC1.2:   Explain how information will be used and by whom

- *Information system uses:* capture, transmit, store, retrieve, manipulate, display, distribution; analysis, e.g. strategic, tactical, operational
- *Functional areas of an organisation:* typical areas, e.g. finance, human resources, stock control, sales, marketing, research and development, production, distribution, customer service, administration
- *Information system users:* internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, regulatory bodies

AC1.3:   Explain who needs to be consulted in the design and implementation of an information system and why

- *Stakeholders:* internal, e.g. system users, management, information system developers, technical support; external, e.g. customers, product suppliers, regulatory bodies
- *Reasons for consultation:* agreeing system objectives, e.g. desired system outcomes, actual system outcomes; efficiencies, e.g. cost, time, resources; information handling, e.g. input, processing, output, reporting, analysis, storage; system operations, e.g. interfaces, logical processes, usability, technical support; predicting issues, e.g. hardware, software, people, processes, data; recommendations for improvement, e.g. resolving issues, system updates, system developments

AC1.4: Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system

- *Design of an information system:* target audience; information requirements, e.g. input, output; hardware; software, e.g. language, bespoke, 'off the shelf'; telecommunications
- *Implementation of information system:* cost; impact on procedures; impact on staff, e.g. up skilling/training, dealing with redundancies, balancing core employees with contractors and outsourced staff, enabling home and remote working, dealing with impact of regular restructuring on staff; integration of legacy systems; system 'down time'; continuity of service; system testing
- *Legal requirements:* relevant and current legislation, e.g. Data Protection Act 1998, Freedom of Information Act 2000, Computer Misuse Act 1990
- *Ethical considerations:* codes of practice, e.g. use of email, internet, 'whistle blowing'; organisational policies, information ownership
- *Operational issues:* security of information, backups, e.g. hardware, peripherals, software, storage media, local storage, remote storage, cloud storage; organisational policies, procedures and processes, staff training
- *Implications of data protection:* access (login, passwords), information security (internal threats, external threats, data corruption), cost, reputation, effects on business sustainability
- *Managing security (risk):* cyber-crime, e.g. diverting financial assets, communications sabotage, intellectual property theft, denial of service attacks; preventive technologies, e.g. firewalls, access control methods, secure payment systems; disaster recovery procedures

Information for tutors

Suggested resources

Books

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

Chaffey D and White G - *Business Information Management*, 2nd edition (FT/Prentice Hall, 2010) ISBN 9780273711797

Lucey Y - *Management Information Systems*, 9th edition (Cengage Learning, 2005) ISBN 9781844801268

Websites

www.skillsscfa.org - the Council for Administration: information and standards for business administrators

www.data-protection-act.co.uk - the Data Protection Act made easy

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.

Assessors should ensure learners undertaking this unit are able to demonstrate own contribution to the design and development of information systems in the scope of their role and responsibilities.

For learning outcome 1, assessors should expect more comprehensive evidence such as detailed written reflective accounts, well-planned professional discussions or embedded knowledge in competence evidence (providing command verbs have been met and evidence is sufficient) to meet the requirements of each knowledge assessment criterion.

Learners at this level could choose to present their findings and recommendations regarding information system effectiveness, design and development in a presentation. Where such presentations are a naturally occurring activity in the workplace, assessors can use direct observation to capture evidence of contributions in the form of meetings and communications with stakeholders. Information presented could be obtained to support evidence of direct observation where information presented is not commercially sensitive.

Learning outcomes 2 and 3 will require assessment over a period of time to capture evidence of individual contributions to the design and development of information systems through to implementation of information system solutions. Assessors could capture all or parts of the design, development and implementation processes depending on the complexities of the information system being designed or developed. Full assessment from end to end of specific projects could be difficult to achieve, and therefore is not expected.

Learners should be able to present naturally occurring evidence during the completion of this unit. Evidence from work products such as project plans, technical specifications and budgets should remain in its usual location and be signposted in records of assessment. Such evidence should be supported with additional assessment methods such as discussion, reflective account or direct observation to confirm relevance and how this evidence has been used to meet the requirements of assessment criterion.

Opportunities could arise to assess the design and development of information systems projects that have already commenced. This is permitted assessment practice providing system design and development commenced within an acceptable timescale to confirm currency. Validated discussions could be used to assess historical competences demonstrated by the learner where system design and development is still taking place.

Learners working at this level, designing and developing information systems can present detailed reflective accounts relating to competence demonstrated throughout a project. This evidence should be supported with clear timelines, project tasks, contributions, responsibilities and outcomes. Alternatively, project plans, implementation schedules, technical specifications and evidence of system monitoring, testing and review could be considered for assessment with effective use made of supportive or supplementary assessments to confirm relevance and competences demonstrated.

Assessors can access testimonies and statements from witnesses in the workplace who can confirm contributions of the learner to specific information systems projects.

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

Unit 12: Monitor Information Systems

Unit reference number: F/506/1917

Level: 3

Credit value: 8

Guided learning hours: 43

Unit type: Competence

Unit summary

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

Organisations whose information systems previously dealt purely with data processing have now introduced systems to support strategic management and decision-making. Managers at all levels need appropriate and timely information to plan successfully in the short, medium and long term, and that information can have many sources and destinations. As organisations diversify and centralise information also needs to be available to non-managerial staff in a variety of locations.

In this unit you will learn the importance and benefits of monitoring information systems, and recognise methods and techniques that support information system monitoring activities within a business environment. You will demonstrate a range of problem-solving skills needed to investigate, analyse and evaluate information systems in order to resolve system and system user problems before developing and implementing appropriate solutions to the identified problems. You will actively contribute to the development and improvement of information systems and their use based on results of monitoring activities. You will be required to work with stakeholders to improve effectiveness of information input and output within the business environment. You will learn about the potential consequences of inaccurate or unsubstantiated information and breaches of confidentiality for individuals, teams and 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 how information systems are used	1.1 Explain how the intended use of reports affects the choice of format and language
	1.2 Explain how the audience of reports affects the choice of format and language
	1.3 Explain the features of different problem-solving techniques related to information systems
	1.4 Evaluate the suitability of possible problem-solving actions related to information systems
	1.5 Explain techniques to validate the reliability of information
	1.6 Analyse the suitability of different evaluation techniques related to information systems
	1.7 Assess the potential consequences of breaches of confidentiality
	1.8 Evaluate the potential consequences of publishing reports containing inaccurate or unsubstantiated information
2 Be able to monitor information systems	2.1 Develop a plan to monitor information systems that specifies objectives, scope, timescale, resource implications, the techniques to be used and reporting requirements
	2.2 Carry out monitoring activities in accordance with the plan
	2.3 Provide training and support to system users that is appropriate to their needs
	2.4 Identify the cause of problems with an information system
	2.5 Suggest solutions to problems with an information system

Learning outcomes	Assessment criteria
	2.6 Recommend adaptations to the system in response to identified problems or developments
	2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when monitoring information systems

Unit amplification

AC1.1: **Explain how the intended use of reports affects the choice of format and language**

- *Intended uses of reports:* operational support, e.g. monitoring and controlling activity; analysis to identify patterns or trends; decision making, e.g. operational, tactical, strategic; gaining commercial advantage, e.g. getting the desired results
- *Format:* media, e.g. paper based, electronic, web-based; presentation, e.g. list, tabular, summary, graphical; branding
- *Language:* relevance of information; terminology; organisation communications protocols

AC1.2: **Explain how the audience of reports affects the choice of format and language**

- *Audience:* internal, e.g. immediate team, other teams, management; external, e.g. customers, suppliers, regulatory bodies

AC1.3: **Explain the features of different problem-solving techniques related to information systems**

- *Problem-solving techniques*
- *Defining the problem:* how to do this; the key processes involved, e.g. observation, data sampling, staff reporting
  - o *Root causes of information system problems:* hardware, e.g. reliability, performance, speed, accessibility; software, e.g. operating systems, applications, compatibility; communications, e.g. networks, telecommunications; information sources, e.g. validity, reliability, relevance, currency; data input, e.g. accuracy, format, language; data manipulation, e.g. queries, formulae, filters; data output, e.g. reporting, presentation, communication; users, e.g. capability, system knowledge, productivity
- *Alternative solutions:* re-run of data, alternative processes, system repair, system development
- *Evaluation of alternatives:* suitability, advantages, disadvantages, cost, conclusion, decision
- *Best solutions:* reason for this decision, consultation
- *Action planning:* informal, e.g. discussion; formal, e.g. project plan
- *Implement solutions:* issuing instruction, allocation of responsibilities, monitoring progress, confirming completion
- *Evaluate solutions:* system testing, system interrogation, data analysis, observation

AC1.4: **Evaluate the suitability of possible problem-solving actions related to information systems**

- *Problem solving actions:* system repair, system upgrade, system development, data validation, user training, alternative sources
- *Suitability criteria:* budgets; effectiveness, e.g. usability, functionality, output; technology, e.g. hardware, software, telecommunications; capacity, e.g. storage, memory; staff, e.g. capabilities, training requirements; environment; legal and ethical restrictions; product and/or service suppliers; customers and stakeholders; timeliness of solution

AC1.5: **Explain techniques to validate the reliability of information**

- *Reliability of information:* sources, collection, input, accuracy, relevance, currency
- *Techniques:* verification, e.g. on-screen prompts, dual input; validation, e.g. presence check, type check, length check, range check, format check, parity check

AC1.6: **Analyse the suitability of different evaluation techniques related to information systems**

- *Information system effectiveness parameters:* system objectives, e.g. desired outcomes, actual outcomes; efficiencies, e.g. cost, time, resources; handling information, e.g. input, processing, output, reporting, storage; system operations, e.g. interfaces, usability, technical support; issues, e.g. hardware, software, processes, data; recommendations for improvement, e.g. resolving issues, system updates, system developments
- *Evaluation techniques:* action research, benchmarking, counts, focus groups, impact assessment, pre-post testing, interviews
- *Suitability:* time, expected outcomes, environment, users

AC1.7: **Assess the potential consequences of breaches of confidentiality**

- *Confidentiality breaches:* unlocked systems, lost or stolen laptops, lost or stolen USB/flash drives, accessing information without permissions, unencrypted data, incorrect recipients, unsecured protocols (FTP), unsecure disposal of documentation, information disclosure
- *Potential consequences:* loss of stakeholder trust, damage to reputation, risk to business sustainability, lawsuit damages, criminal charges, identity theft

AC1.8: **Evaluate the potential consequences of publishing reports containing inaccurate or unsubstantiated information**

- *Inaccurate or unsubstantiated information:* errors, omissions, information integrity
- *Potential consequences:* mistrust, stakeholder satisfaction, bad or delayed decisions, reduced revenue, reduced throughput, tarnished reputation

Information for tutors

Suggested resources

Books

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

Borek A et al - *Total Information Risk Management: Maximising the value of Data and Information Assets*, (Morgan Kaufmann, 2013) ISBN 9780124055476

Brockman J - *Thinking: The new science of Decision-Making, Problem-Solving and Prediction*, (Harper Perennial, 2013) ISBN 9780062258540

Chaffey D and White G - *Business Information Management*, 2nd edition (FT/Prentice Hall, 2010) ISBN 9780273711797

Websites

www.data-protection-act.co.uk - the Data Protection Act made easy

qualifications.pearson.com - Pearson webpages, providing guidance for wider Key Skills, including problem solving

www.skillsscfa.org - the Council for Administration, providing 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.

Assessors should ensure learners undertaking this unit are able to demonstrate monitor, review and development of information systems within the scope of their role and responsibilities.

Learners working with complex information system monitoring projects at this level could present detailed reflective accounts relating to competence demonstrated throughout a project. This should include clear timelines, project tasks, responsibilities and outcomes. Alternatively, work products such as project plans, implementation strategies, technical specifications and evidence of system monitoring, review and evaluation could be considered for assessment. Learners should make effective use of supportive or supplementary assessments such as discussion, reflective account or direct observation to confirm relevance and demonstration of knowledge and competence against the requirements of the assessment criteria.

Learners should be able to evidence naturally occurring evidence during completion of this unit. Work product evidence such as system operating procedures and training materials, should remain in its usual location and be signposted in records of assessment.

Learners could present their findings and recommendations regarding information system effectiveness and development in a presentation. Where such presentations are a naturally occurring activity in the workplace, assessors could use direct observation to capture evidence of the communication and feedback provided to the organisation or stakeholders.

Learning outcome 1 requires learners to adhere to the use of advanced command verbs such as 'analyse' and 'evaluate'. Guidance may be needed to clarify requirements of command verbs before assessment activities are planned.

To meet the requirements of each knowledge assessment criterion in learning outcome 1, assessment methods could include the presentation of detailed written reflective accounts or well-planned professional discussions. For AC1.1 and AC1.2, evidence of work products relating to reporting of information could be used as the basis of discussions and learner-led evidence such as reflective accounts.

AC1.3 and AC1.4 may require learners to research problem-solving techniques and processes before identifying causes of problems (AC2.4) and suggesting solutions (AC2.5). Learners could provide evidence of work products that support the problem solving process, for example project plans and review documentation.

For AC1.5 and AC1.6, assessors must acknowledge that methods and processes can differ depending on the type of information systems learners have access to in their working environment. It should be encouraged that data validation and evaluation methods are contextualised with the systems familiar to the learner. Assessors could be presented with opportunities for direct observation where learners can demonstrate data validation through information systems monitoring activities (AC2.2).

This unit could provide opportunities for AC1.7 to be holistically assessed with AC2.7 providing both knowledge and competence have been sufficiently satisfied.

For AC1.8, evidence should include an evaluation of consequences that are contextualised with organisation systems and processes relating to data published. Assessors can accept reflective accounts where evaluations lead to conclusions that could be used to inform and improve practices and procedures.

Learning outcome 2 may require assessment over a period of time to capture all, or parts of information system monitoring activities demonstrated by the learner. The assessment period will depend on the complexities of individual information system projects, therefore it cannot be expected that assessment of specific projects from start to end will occur.

For AC2.3, assessors could be presented with evidence relating to training on information system processes or have the opportunity to observe the delivery of appropriate training to system users. Other valid evidence from work products to support AC2.3 could include system user guides, process flows or technical specifications that support learning and development of system users and improve effectiveness of information system activities.

For AC2.7, assessment will require existing understanding of relevant policies and guidance to confirm adherence to these. At this level, learners should be able to confirm these in the context of their role. Policies and guidelines could relate to communications protocols, branding of resources, quality control of developed resources or guidance on the use of audio-visual equipment or achieving business objectives and targets.

Opportunities could arise to assess information systems projects that have already commenced. This is permitted assessment practice providing system-monitoring activities and problem-solving processes have commenced within an acceptable timescale to confirm currency. Validated discussions could be used to assess historical competences demonstrated by the learner where system management is still taking place.

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 13: Evaluate the Provision of Business Travel or Accommodation

Unit reference number: J/506/1918

Level: 3

Credit value: 5

Guided learning hours: 30

Unit type: Competence

Unit summary

Organising travel is a key part of a Business Administrator's role and being organised and planning for every eventuality takes time and patience. There may be some research to be carried out before the proposed trip in terms of timings and any onward travel at the destination. Ensuring that the traveller(s) have all the relevant information before the trip, in terms of tickets, itinerary etc., is vital so that they know exactly where they are going and that they are fully aware of the arrangements that have been made on their behalf. Just as important as organising travel is the evaluation of providers of the proposed travel to ensure that they are giving the level of service required and that they are providing value for money. A Business Administrator can make key decisions and recommend particular travel arrangements only if they are working with providers who are able to provide this service. A Business Administrator must have the ability to identify when providers are not providing the level of service required and be able to recommend changes that suit the organisation.

In this unit you will gain understanding of the different needs, factors and arrangements that must be considered to ensure that every part of the proposed trip is covered in terms of documentation required to travel, arrangements for the actual travel itself using appropriate forms of transport and any other arrangements necessary in terms of onward travel to the final destination.

You will evaluate the performance and limitations of existing arrangements and providers against agreed criteria and will identify alternatives where appropriate. You will make recommendations and shortlists of potential providers, supported by detailed, costed plans that you have prepared.

You will work within budget constraints to ensure that value for money is maintained while working to organisational procedures.

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 provision of business travel or accommodation arrangements	1.1 Explain the factors to be taken into account in setting evaluation criteria for the provision of business travel or accommodation
	1.2 Explain different travel or accommodation-related needs and services
	1.3 Explain different arrangements that could be made for the provision of business travel or accommodation
	1.4 Explain the scope of legal and organisational security and confidentiality requirements relating to business travel or accommodation
2 Be able to evaluate the quality of organisational business travel or accommodation arrangements	2.1 Assess the performance of providers of travel or accommodation against agreed criteria
	2.2 Identify instances of exceptional and inadequate performance
	2.3 Evaluate the benefits and limitations of existing arrangements for organising business travel or accommodation and their implications
	2.4 Identify alternative potential providers and ways of providing travel or accommodation
3 Be able to recommend improvements to organisational business travel or accommodation arrangements	3.1 Produce costed plans that set out different options, their benefits, limitations and implications
	3.2 Shortlist alternative potential providers of business travel or accommodation against agreed criteria
	3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when recommending improvements to arrangements for business travel or accommodation

Unit amplification

AC1.1: Explain the factors to be taken into account in setting evaluation criteria for the provision of business travel or accommodation

- *Factors:* level of the traveller(s) in the organisation determining the type of travel or accommodation to be chosen/ booked; travel within the UK/abroad; language issues; dates and times of proposed travel; timings required for key documents required, e.g. passport, visas, tickets; number of people travelling; budget for the trip; whether overnight accommodation is required before an early morning flight; transfer time to airport/station; transit timings at airports; train connections; baggage allowances on flights; length of trip; number of destinations to be visited
- *Evaluation criteria:* speed of service; ability to obtain the best price-travel tickets; ability to book/make amendments/cancel online; access to travel networks and databases; ability to provide a one-stop service for all aspects of the travel arrangements

AC1.2: Explain different travel or accommodation-related needs and services

- *Needs:* documentation, e.g. passports, visas, tickets on departure, payment of tickets, e.g. use of company credit card, payment on account; medical requirements; petty cash, local currency, traveller's cheques, company credit card; subsistence arrangements for trip
- *Services:* airport/station parking; airport transfers; use of an interpreter at final destination; preparation of an itinerary; early check out; business centre access; travel agent services

AC1.3: Explain different arrangements that could be made for the provision of business travel or accommodation

- *Types of travel:* train, aeroplane, car
- *Class of travel/type of car:* depending on level of the traveller in the organisation
- *Types of accommodation:* hotel location and grading depending on level of traveller in the organisation, cost of accommodation, e.g. budget hotel; meal arrangements in accommodation, e.g. including/excluding breakfast, half board
- *Other arrangements:* meet and gre1et at the destination airport or station for onward transfer to hotel; car parking at airport or station; provision of cash before the trip; provision of an itinerary for the traveller; delivery of tickets to office or collection on departure

AC1.4: Explain the scope of legal and organisational security and confidentiality requirements relating to business travel or accommodation

- 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.
- *Possible security and confidentiality requirements:* carrying confidential documentation, electronically or hard copy; use of laptops/flash drives (USB) while travelling; holding the correct travel documentation; use of filters on laptop screens to ensure confidentiality

Information for tutors

Suggested resources

Books

Carysforth C, Chadwick A and Rawlinson M - *NVQ Level 3 Business and Administration Student Handbook*, 1st edition (Heinemann, 2006) ISBN 9780435463342

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Websites

www.businessballs.com – website providing general information about business

Assessment

This unit is internally assessed. To pass the 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.

This unit is a barred combination with unit 31 (D/506/1875) Organise Business Travel or Accommodation.

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 consider capturing evidence of knowledge and understanding through well-structured and pre-planned professional discussions or question and answer (Q&A) sessions that could enable learners to demonstrate a full understanding of the factors, requirements and arrangements to be considered when providing business travel or accommodation. As far as possible, the professional discussion or questioning should be set in the context of the learner's work to give them the opportunity to link and apply their knowledge and understanding to their work activities.

For AC1.1, the learner will need to carry out research before ensuring that times and connections are suitable for the traveller(s), there could be several email conversations with the traveller(s) concerning the arrangements. The results of the research and any email or other documentation used to confirm arrangements before bookings are made could also be used as evidence.

For AC1.4, the learner should be in possession of the organisation's policies on travel, security and confidentiality. The learner could produce a reflective account that explains the key issues around application of the policies and procedures and why it is important for the organisation to ensure that confidentiality is maintained at all times by the staff who are representing it.

For AC2.1; AC2.3 and AC2.4, evidence could be provided through work products that demonstrate when the learner has evaluated arrangements and identified potential alternatives. For example, written evaluative reports on current arrangements or evidence of research of other providers of travel services and accommodation with associated supporting research materials. This work product evidence could be supplemented with professional discussion to demonstrate that the learner fully understands the processes and requirements for evaluating travel arrangements, the reasons why a provider should be changed and the importance of ensuring that all providers are able to give the service level required by the organisation.

AC2.2 could be assessed through professional discussion. The learner could draw on personal experience of the provider, having used them in previous bookings. They could also speak to other members of staff who may have used the provider. The evidence for AC2.2 can be incorporated into the report produced for AC2.1 and judgments made as to the strengths and weaknesses of key providers of travel and accommodation in the past.

For AC3.1 and AC3.2, assessment could be through work products in the form of costed plans, shortlists, recommendation reports, supporting spreadsheets and screenshots. These work products could be supported with professional discussion. For AC3.1, learners could produce a detailed spreadsheet showing the costs associated with the travel plans, the benefits of using a particular form of transport and details of any issues that could potentially come up as a result of the chosen options. For AC3.2, the learner could provide evidence in the form of annotated screenshots from internet searches that show clearly what providers have to offer and whether or not their offers fit with the budget constraints or other defined criteria.

For AC3.3, a direct observation of the learner carrying out duties associated with organising travel and accommodation could be carried out by the assessor. The observation should show clearly that the learner is adhering to organisational rules; alternatively the learner could present a reflective account, supported with witness testimony to cover this criterion.

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 14: Provide Administrative Support in Schools

Unit reference number: L/506/1919

Level: 3

Credit value: 5

Guided learning hours: 33

Unit type: Competence

Unit summary

A school administrator is the gatekeeper to the head teacher and the whole school community. This unit is about providing administrative support within a school environment, including understanding the policies, procedures, environment and own role within a school.

This unit will introduce you to the systems and procedures in place to maintain legal and ethical requirements in a school environment. You will learn how schools operate, how to safeguard the welfare of children, how to develop effective communication with adults and children and correct reporting procedures. You will learn the importance of health, safety, equality, data protection and confidentiality in relation to working with children and staff.

In this unit you will learn how to deliver a range of administrative services and how legislation, guidelines and policies affect the communication of different types of information. You will explore how to develop effective working relationships with a variety of internal and external staff in order to provide these services. You will present a professional and friendly image and will provide accurate documents, reports and statistical data in a timely manner to make a more valuable and effective contribution to supporting the work in a school.

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 administration within a school environment	1.1 Analyse the scope, use and requirements of a school administrative system
	1.2 Explain how their own role contributes to the achievement of a school's goals
	1.3 Describe the policy context, issues and initiatives that affect the work of a school administrator
	1.4 Explain a school's administration policy and procedures for dealing with others
	1.5 Explain the requirements and procedures for dealing with child protection and student welfare
	1.6 Explain when it may be appropriate to override the requirement to maintain confidentiality
2 Be able to provide administrative services	2.1 Build positive working relationships with others
	2.2 Present a professional and friendly image in line with school policy
	2.3 Coordinate the content and publishing of documents in accordance with the brief
	2.4 Organise trips, events, placements, secondments or work experience in accordance with the brief
	2.5 Maintain facilities to the required standard
	2.6 Adhere to organisational policies and procedures, and legal and ethical requirements when providing administrative services

Learning outcomes	Assessment criteria
3　Be able to operate school administrative systems and procedures	3.1　Maintain accurate records 3.2　Maintain the currency of registers, licences and contracts 3.3　Present reports and statistical returns on time in the agreed format 3.4　Select analysis and evaluation techniques that are appropriate to the purpose of the report and the nature of the information

Unit amplification

AC1.1: Analyse the scope, use and requirements of a school administrative system

- *School administrative system:* management information system, school level database, national pupil database (NPD), unique learner number (ULN), personal learning record (PLR), individualised learner record (ILR), admissions, class registers, safeguarding/child protection, school performance, behaviour management, timetabling, meetings, facilities, equipment, finance, tests and invigilation, extra-curricular activities
- *Scope:* internal, external, legislative and regulatory
- *Use:* record-keeping, research, analysis, trends, guidance, efficiency, educational needs, attainment, grants, workforce development, published data, contracts, work experience, trips and events
- *Requirements:* legislation and regulation, accountability, census, school improvement

AC1.2: Explain how their own role contributes to the achievement of a school's goals

- *School's goals:* mission statement, values, aims, objectives, performance indicators, targets, educational character
- *How own role contributes:* behaviour, dress code, recording, accuracy, analysis and evaluation, producing reports, training and development

AC1.3: Describe the policy context, issues and initiatives that affect the work of a school administrator

Policy context

- *Finance*: petty cash, banking and accounting, procurement, invoicing, maintaining contracts, educational trips and residentials, events, conferences
- *Admissions*: co-ordinating applications, maintaining records and waiting lists, preparing school packs, assisting with form completion
- *Transport*: travel arrangements for trips, school bus, ambulance
- *Meals:* providing lunch vouchers, administering cashless systems, liaison with children, parents/guardians and others
- *Health, safety and security:* records for the administration of medicines, producing reports, communicating with suppliers, issuing ID badges, dealing with visitors, local authority, inspectors, co-ordinating work experience, co-ordinating CRB checks, safeguarding, dealing with emergency situations; data protection, e.g. data input, managing information, confidentiality, child protection issues
- *Equality*: internal/external communication, dealing with allegations of bullying and discrimination, co-ordinating special adaptations for children, use of accessible technology, support for learners with special educational needs

- *Issues:* safeguarding, e.g. compliance with policy and procedures, reporting; child poverty e.g. identification, monitoring, reporting; bullying, e.g. identification, prevention, monitoring, reporting; behaviour: professional image, maintaining school standards, reporting substandard behaviour, maintaining discipline, disciplinary procedures; health; first aid responsibilities, dealing with emergency situations, co-ordinating immunisation; welfare, e.g. managing school attendance and absence; maintaining confidentiality, e.g. following procedures for breaches in confidentiality
- *Initiatives: green initiatives,* e.g. organising activities and resources*; schools cookbook,* e.g. promoting healthy eating*; ICT,* e.g. procurement, access; *physical activity,* e.g. co-ordinating resources, maintaining safety, organising events

AC1.4: **Explain a school's administration policy and procedures for dealing with others**

- *Others:* internal, e.g. children, colleagues, academic staff, support staff, governors; external and visitors, e.g. parents, guardians, carers, children's services, welfare services, agencies, wider community, local businesses, emergency services, regulatory bodies
- *Policy and procedures:* admissions, safeguarding, facility security and entry, equality, health, safety and welfare, data protection, criminal record checks, trips and events, licences, initiatives

AC1.5: **Explain the requirements and procedures for dealing with child protection and student welfare**

- *Requirements and procedures*: legislation, policies, confidentiality staff training, safeguarding, culture and behaviour, codes of conduct, whistle-blowing, disclosures, reporting, limits of authority, resources, recording

AC1.6: **Explain when it may be appropriate to override the requirement to maintain confidentiality**

- *Requirement to maintain confidentiality:* Data Protection Act 1998, Freedom of Information Act, Human Rights Act 1998, Children and Families Act 2014, Safeguarding Vulnerable Groups Act 2006, Working Together to Safeguard Children 2013, Children Act 1989, Children Act 2004, Equality Act 2010, United Nations Convention on the Rights of the Child, Education Act 2002, Sexual Offences Act 2003, Every Child Matters, Common Core of Skills and Knowledge
- *Appropriate to override:* safeguarding issue, child at risk or likely to be at risk of abuse or neglect

Information for tutors

Suggested resources

Books

Carysforth C, Chadwick A and Rawlinson M - *NVQ Level 3 Business and Administration Student Handbook*, 1st edition (Heinemann, 2006) ISBN 9780435463342

Raymond A - *The Child Protection and Safeguarding Handbook for Schools*, 2nd edition (Optimus, 2013) ISBN 9781907927065

Tassoni P et al - *Level 3 Diploma Children and Young People's Workforce (Early Learning and Childcare) Candidate Handbook*, (Heinemann, 2010) ISBN 9780435031336

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration), (Heinemann, 2011) ISBN 9780435046880

Websites

www.admin.org.uk - the School of Education Administration and Management: providing information, support, knowledge and training for school administrators, bursars and managers

www.gov.uk – website providing information on government services and information

www.skillscfa.org – the Sector Skills Council promoting a range of skills and qualifications in the workplace including business and administration

Other

Guidance for Safer Working Practices for Adults who Work with Children and Young People in Educational Settings, Department for Children, Schools and Families, 2009

NAHPA Magazine: National Association of Head teacher's Personal Assistants

Working Together to Safeguard Children, Department for Education, 2013

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.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to administration services provided in a school environment. A holistic approach to assessment is recommended. Assessors are encouraged to leave evidence in its usual location (with appropriate signposting) due to the confidential nature of the work.

For AC1.1; AC1.2; AC1.3; AC1.5 and AC1.6, reflective accounts could be used to supplement other evidence to demonstrate the achievement of the knowledge-based criteria. Learners could describe their school administrative system and provide an analysis of the scope, use and requirements of this system, considering how their role contributes to the achievement of the school's goals and services. They could explain examples of how they have followed legislation and school policy when dealing with a range of people and issues relating to child protection and welfare. They could provide an explanation of instances where they have had to override requirements for confidentiality and the implications of doing so.

Evidence from direct observation could be supported with work products such as emails, correspondence, reports, newsletters, agendas and minutes of meetings, promotional materials, booking sheets and system records.

A diary or reflective account could be used to document own role, responsibilities and skills. The assessor will need to ensure that the content of the diary or account captures the requirements of the assessment criteria. The diary or account could also be used to document the policies and procedures, and legal and ethical requirements followed when providing administrative services.

For learning outcomes 2 and 3, witness testimony could be used to support the evidence from direct observation and work products.

For AC2.4; AC2.5; AC2.6; AC3.2; AC3.3 and AC3.4, professional discussion or a question and answer session (Q&A) could be used to corroborate the competence of the learner. For example, the learner could explain their choice of analysis and evaluation techniques used in the preparation of the reports and statistical returns. Similar assessment methods could also provide evidence at the cognitive level required to satisfy the breadth and depth of the level and demand of the assessment criteria in learning outcome 1.

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

Unit 15: Administer Parking and Traffic Challenges, Representations and Civil Parking Appeals

Unit reference number: F/506/1920

Level: 3

Credit value: 5

Guided learning hours: 31

Unit type: Competence

Unit summary

For any organisation that administers Civil Parking Notices (CPN) it is vital that the administration is dealt with in a professional and efficient way. As an administrator working in a role relating to parking and traffic enforcement and administration, this unit will enable you to work effectively, helping you to deal with internal and external colleagues, customers and associated authorities to your managers' satisfaction. The unit may also help you progress your career in this occupational sector.

You will gain understanding of the requirements and restrictions of local and statutory legislation and how the Data Protection Act 1998 links with this area of your work. You will know how to accurately research and interpret any information that you require in your job, by confirming the validity of that information.

You will use specialist software to maintain accurate and up to date records of all transactions when processing the receipt of challenges, representations and CPN appeals and understand the importance of keeping those records.

Finally, you will process challenges, representations and CPN appeals, ensuring that the correct procedures are followed and communication with all interested parties is maintained.

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 administration of parking and traffic challenges	1.1 Explain the provisions and constraints of relevant legislation, codes of practice, Traffic Regulation Orders and the Data Protection Act
	1.2 Explain how to access, use and interpret the information needed to process challenges, representations and Civil Parking Notice (CPN) appeals
	1.3 Evaluate the importance of keeping accurate and up to date records of information and decisions
	1.4 Explain how to validate information in the administration of parking and traffic challenges
	1.5 Explain the features and use of specialist software to process and record challenges, representations and CPN appeals
	1.6 Explain the types of internal evidence needed to support reliable decisions for the administration of parking and traffic challenges
	1.7 Explain when and why it may be appropriate to reactivate the enforcement process
2 Be able to process the receipt of challenges, representations and CPN appeals	2.1 Record the receipt of written challenges, representations and CPN appeals
	2.2 Confirm that the information is complete, accurate, consistent and valid
	2.3 Decide whether to allow or uphold the appeal against recognised eligibility criteria
	2.4 Provide accurate advice and information on the progress and outcome of the case

Learning outcomes	Assessment criteria
3 Be able to respond to challenges, representations and CPN appeals	3.1 Confirm that the information is complete, accurate, consistent and valid
	3.2 Suspend the enforcement process while cases are being investigated
	3.3 Obtain additional evidence where gaps are identified
	3.4 Seek appropriate advice on cases beyond their level of authority
	3.5 Refer cases beyond their level of authority to the right person
	3.6 Inform customers of the decision and possible courses of action they can take within the agreed timescale
	3.7 Adhere to organisational policies and procedures, and legal and ethical requirements when responding to challenges, representations and CPN appeals

Unit amplification

AC1.1: **Explain the provisions and constraints of relevant legislation, codes of practice, Traffic Regulation Orders and the Data Protection Act**

- *Relevant legislation, codes of practice, Traffic Regulation Orders and the Data Protection Act:* The Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996, local bye-laws, The Traffic Management Act 2004, The Highway Code, the main principles of the Data Protection Act 1998

AC1.2: **Explain how to access, use and interpret the information needed to process challenges, representations and Civil Parking Notice (CPN) appeals**

- 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.
- *Generic knowledge:* how to access relevant information; departmental procedures; types of information received from customers relating to parking offences that they are challenging

AC1.3: **Evaluate the importance of keeping accurate and up to date records of information and decisions**

- *Importance:* being fully compliant with legislation and local bye-laws, avoid costly mistakes and litigation

AC1.4: **Explain how to validate information in the administration of parking and traffic challenges**

- 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.
- *Generic knowledge:* how to check customer personal details; departmental procedures; how to evaluate claims made against the regulations

AC1.5: **Explain the features and use of specialist software to process and record challenges, representations and CPN appeals**

- 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.
- *Generic knowledge:* use of specialist software for record keeping, accounting, sending and receiving information securely

AC1.6: **Explain the types of internal evidence needed to support reliable decisions for the administration of parking and traffic challenges**

- 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.
- *Generic knowledge:* types of evidence used to support decisions, e.g. diagrams, video or photographic evidence; statements from witnesses, e.g. general public road users, traffic enforcement officers, police officers

AC1.7: **Explain when and why it may be appropriate to reactivate the enforcement process**

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

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration) (Heinemann, 2011) ISBN 9780435046880

Websites

www.ico.org.uk/for_organisations/data_protection/the_guide - the UK's independent authority set up to uphold information rights in the public interest

http://www.opsi.gov.uk/si/si1996/Uksi_19962489_en_1.htm - website showing the various legal requirements necessary before a TRO can be made

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to parking and traffic enforcement and administration.

For learning outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses that cover the understanding of, for example, relevant legislation to be followed (AC1.1), information needed (AC1.2), record keeping (AC1.3), validation of information (AC1.4), specialist software (AC1.5), or internal evidence when administering parking and traffic challenges (AC1.6). The assessor should ensure the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, the learner has had to refer cases beyond their level of control to the right person.

For learning outcomes 2 and 3, direct observation can be used as a source of evidence to confirm that the learner is achieving all of the performance assessment criteria. For example, a learner might be observed accessing, using and interpreting information to process challenges (AC2.2). They could be encouraged to talk through what they are doing and why it is being done that way etc. Alternatively, the learner can be observed and at the close of the observation, a discussion session can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

If the learner prefers to write a reflective account, it can be used as well as, or instead of the methods above. The use of an account is particularly appropriate for this unit because it can chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when responding to challenges, representations and CPN appeals (AC3.7).

Evidence of work products seen during an observed performance or separately from observed performance must be evaluated and commented on by the assessor. Examples of work products are records of documents and correspondence when additional evidence has had to be obtained when responding to challenges etc. Any product that is part of the learner's routine working could be used. However, the products themselves should be kept in their usual location, the learner must signpost where they are kept.

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time. Assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, the use of secure systems and compliance with confidentiality requirements or codes of practice.

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 16:

Administer Statutory Parking and Traffic Appeals

Unit reference number: R/506/1923

Level: 3

Credit value: 6

Guided learning hours: 42

Unit type: Competence

Unit summary

For any organisation that administers statutory parking and traffic appeals, it is vital that the administration is dealt with in a professional and efficient way. As an administrator working in a role relating to parking and traffic enforcement and administration, this unit will enable you to work effectively, helping you to deal with internal and external colleagues, customers and associated authorities to your managers' satisfaction. The unit may also help you progress your career in this occupational sector.

You will gain understanding of the regulations and requirements that must be adhered to, so that you have accurate knowledge of when someone can make an appeal and the way that appeal must be presented. You will need to validate the information you receive. For example, witness statements or photographic evidence. You will be able to prepare and present an effective summary for each case and be able to reactivate the recovery process if the appeal is dismissed, as well as closing cases and refunding fees correctly. You will know when and why an appeal should be referred by an adjudicator to an independent source, and precisely who needs to be informed of the outcomes of appeals.

Attending hearings relating to parking and traffic appeals will mean that you must follow codes of practice in your preparations and you will be required to adhere strictly to any deadlines given when carrying out your responsibilities.

Finally, you may be required to use specialist software as part of your duties and you will be given training in its use.

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 administration of statutory parking and traffic appeals	1.1 Explain the requirements, rules and constraints of relevant legislation, codes of practice and the Data Protection Act
	1.2 Explain the grounds on which someone may appeal and on which they may file a statement of truth
	1.3 Explain the evidence needed to carry out an investigation
	1.4 Explain how to validate information for statutory parking and traffic appeals
	1.5 Explain the requirements for preparing and presenting a case summary
	1.6 Explain the preparations and codes of conduct relating to attending a hearing for statutory parking and traffic appeals
	1.7 Describe the actions needed to close a case and refund fees
	1.8 Explain who needs to be informed of the outcomes of a statutory appeal and why
	1.9 Explain the features of specialist software to process and record statutory appeals
	1.10 Explain the potential consequences of not acting within the given deadline
	1.11 Explain when and why an appeal may be referred by an adjudicator to an independent person to consider mitigation
	1.12 Explain the actions needed to reactivate the recovery process after the failure of statutory parking and traffic appeals

Learning outcomes	Assessment criteria
2 Be able to prepare case evidence for statutory parking and traffic appeals	2.1 Record the receipt of statutory appeal notifications or revocation orders
	2.2 Confirm that the information is accurate and consistent
	2.3 Notify the right person of any discrepancies
	2.4 Meet the requirements of the deadline
3 Be able to investigate cases for statutory appeals	3.1 Confirm that the information supplied is accurate, valid and reliable
	3.2 Obtain additional evidence where gaps are identified
	3.3 Refer cases beyond their own level of authority to the right person
	3.4 Make and record decisions in statutory appeal cases on the basis of the evidence provided
	3.5 Keep the adjudicator and appellant or respondent informed of progress and outcomes
	3.6 Adhere to organisational policies and procedures, and legal and ethical requirements when investigating cases for statutory appeals
4 Be able to contest statutory parking and traffic appeals	4.1 Prepare a case summary in accordance with organisational guidelines and codes of practice
	4.2 Collate, label and present documentation in the format required by the appeals service
	4.3 Respond promptly to requests for further information
	4.4 Inform everyone who needs to know of the outcomes of a statutory appeal
	4.5 Keep accurate records of information and decisions made

Unit amplification

AC1.1: **Explain the requirements, rules and constraints of relevant legislation, codes of practice and the Data Protection Act**

- *Relevant legislation and codes of practice:* local bye-laws, The Highway Code, local Codes of Practice, The Traffic Management Act 2004, the main principles of the Data Protection Act 1998

AC1.2: **Explain the grounds on which someone may appeal and on which they may file a statement of truth**

- 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.
- *Generic knowledge*: customers appeals due to mitigating circumstances, e.g. signage was clear or present, enforcement staff have acted incorrectly, unfairly, with haste, discourteously, unwilling to listen to explanations by the customer

AC1.3: **Explain the evidence needed to carry out an investigation**

- 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.
- *Generic knowledge:* evidence derived from customer statements, statements by other road users, police and enforcement officer, diagrams, video or photographic footage

AC1.4: **Explain how to validate information for statutory parking and traffic appeals**

- 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.
- *Generic knowledge:* sources used to check customer details, details of witnesses, weather conditions on a specific date, time of incident

AC1.5: **Explain the requirements for preparing and presenting a case summary**

- 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.
- *Generic knowledge:* the format of case summaries, the details that must be included as opposed to what might be included, deadlines

AC1.6: **Explain the preparations and codes of conduct relating to attending a hearing for statutory parking and traffic appeals**

- 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.
- *Generic knowledge:* how a code of practice informs the content and preparation of information, court procedure, how to address court personnel

AC1.7: **Describe the actions needed to close a case and refund fees**

- 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.
- *Generic knowledge:* case file closure procedure, case file storage, methods of payment used to refund fees, correct refund documentation, mandatory refund records

AC1.8: **Explain who needs to be informed of the outcomes of a statutory appeal and why**

- 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.

AC1.9: **Explain the features of specialist software to process and record statutory appeals**

- 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.
- *Generic knowledge:* specialist software used for the purpose of storing records of customers, payments received and refunded, documents used for preparing appeals, investigations and referrals, secure communications with customers and external bodies

AC1.10: **Explain the potential consequences of not acting within the given deadline**

- 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.
- *Generic knowledge:* automatic upholding of appeals, unnecessary and costly litigation, complaints

AC1.11: Explain when and why an appeal may be referred by an adjudicator to an independent person to consider mitigation

- 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.
- *Generic knowledge:* referral procedures, accepted factors for mitigation, adjudicator powers of mitigation

AC1.12: Explain the actions needed to reactivate the recovery process after the failure of statutory parking and traffic appeals

- 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.
- *Generic knowledge:* timelines for the reactivation process, forms or documentation to be completed, people to be informed

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration) (Heinemann, 2011) ISBN 9780435046880

Websites

www.ico.org.uk.organisations/data_protection_guide - the UK's independent authority set up to uphold information rights in the public interest

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to parking and traffic enforcement and administration.

For learning outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses to demonstrate understanding of, for example, grounds for appeals (AC1.2), evidence required (AC1.3), validation of information (AC1.4), requirements for preparing case summaries (AC1.5), and appeals processes and referrals when administering statutory parking and traffic appeals (AC1.8, 1.11, 1.12). The assessor should ensure that the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, the learner has had to refer cases beyond their level of control to the right person

For learning outcomes 2, 3 and 4, evidence of work products seen during an observed performance or separately from observed performance is likely to provide a valid form of assessment. Examples of work products could be documentation and correspondence sent to interested parties (AC2.3; AC3.5; AC4.3; AC4.4), case summaries and details (AC4.1; AC4.2) records of decisions made (AC4.5). Any product that is part of the learner's routine working can be used. However, these products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

Direct observation may also be used as a source of evidence to confirm that the learner is achieving all of the performance assessment criteria. For example, a learner might be observed preparing case evidence (AC4.1; AC4.2) or corresponding further information to interested parties (AC2.3; AC3.5; AC4.3; AC4.4). They can be encouraged to talk through what they are doing and why it is being done that way etc. Alternatively, the learner can be observed and at the close of the observation, a discussion can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

If the learner prefers to write a reflective account, it can be used as well as, or instead of the methods above. The use of an account is particularly appropriate with this unit because it can chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when investigating cases for statutory appeals (AC3.6).

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time. Therefore, assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, the use of secure systems and compliance with confidentiality requirements or codes of practice.

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 17: Administer Parking and Traffic Debt Recovery

Unit reference number: J/506/1935

Level: 3

Credit value: 5

Guided learning hours: 35

Unit type: Competence

Unit summary

For any organisation that administers parking and traffic debt recovery, it is vital that the administration is dealt with in a professional and efficient way. As an administrator working in a role relating to parking and traffic enforcement and administration, this unit will enable you to work effectively, helping you to deal with internal and external colleagues, customers and associated authorities to your managers' satisfaction. This unit may also help you progress your career in this occupational sector.

You will gain understanding of the requirements and restrictions of local and statutory legislation and how the Data Protection Act 1998 links with this area of your work. You will be able to meet and follow the internal and external criteria, policies and procedures that relate to recovering debt. For example, you will gain understanding of the role of the Traffic Enforcement Centre and magistrates' court in the recovery process. You will also be able to use different investigation techniques in your work.

You will use debt recovery documents effectively and accurately. You will be able to follow the actions that have to be taken at each stage of the debt recovery process and at the closure of debt recovery cases, including knowing who must be informed of the outcomes of debt recovery cases, and about keeping accurate records. This ensures that you leave a clear audit trail of everything that has happened so that there are no unnecessary consequences.

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 parking and traffic debt recovery process	1.1 Explain the requirements, rules and constraints of relevant legislation, codes of practice and the Data Protection Act
	1.2 Explain the criteria, policy and procedures relating to debt recovery
	1.3 Analyse the role of the Traffic Enforcement Centre and magistrates' court in the debt recovery process
	1.4 Explain the requirements of debt recovery documentation
	1.5 Explain the features and benefits of different investigation techniques
	1.6 Explain who needs to be informed of the outcomes of the debt recovery process and why
	1.7 Explain the actions to be taken at each stage of the debt recovery process
	1.8 Explain the potential consequences of an inadequate audit trail
	1.9 Explain the actions needed to close a debt recovery case

Learning outcomes	Assessment criteria
2 Be able to administer the parking and traffic debt recovery process	2.1 Monitor the quality of the data to be registered at the Traffic Enforcement Centre or magistrates' court
	2.2 Serve debt recovery documentation in accordance with organisational policy and relevant legislation
	2.3 Prepare case evidence in accordance with organisational policy and relevant legislation
	2.4 Make decisions on the basis of the evidence within the limits of their own authority
	2.5 Inform everyone who needs to know of the progress and outcomes of the case
	2.6 Monitor the performance of debt recovery agents
	2.7 Take prompt action in the event of problems arising in the debt recovery process
	2.8 Keep accurate and up-to-date records of actions and decisions taken
	2.9 Adhere to organisational policies and procedures, and legal and ethical requirements when administering the parking and traffic debt recovery process

Unit amplification

AC1.1: **Explain the requirements, rules and constraints of relevant legislation, codes of practice and the Data Protection Act**

- *Legislation and codes of practice:* local bye-laws, The Highway Code, The Traffic Management Act 2004, local codes of practice, the main principles of the Data Protection Act 1998

AC1.2: **Explain the criteria, policy and procedures relating to debt recovery**

- 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.
- *Generic knowledge:* timescales and procedures for referral to the courts, procedures for dealing with unpaid debts after a judgment has been made, referral to debt collection agencies, debt collection agency procedures for recovering monies owed

AC1.3: **Analyse the role of the Traffic Enforcement Centre and magistrates' court in the debt recovery process**

- 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.
- *Role of the Traffic Enforcement Centre:* registration point for unpaid parking fines, enables local authority enforcement equivalent to a County Court Order, cannot take payments, do not have any case history of the contravention, are not involved in appeals
- *Role of the magistrates court:* make judgments on unpaid debts, can be involved in appeals

AC1.4: **Explain the requirements of debt recovery documentation**

- 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.
- *Generic knowledge:* notices of penalty, associated scale of escalating charges if debt not paid, appeals procedure, warning notices, receipt of payment so that an adequate audit trail is maintained

AC1.5: **Explain the features and benefits of different investigation techniques**

- 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.
- *Generic knowledge:* checking details contained in documents, e.g. addresses, dates against information held, reviewing of video or photographic evidence, checking details to ensure penalty is correct, e.g. actual location; reviewing appeals documentation for any discrepancies; checks ensure validity of financial penalties imposed so that delays do not occur

AC1.6: **Explain who needs to be informed of the outcomes of the debt recovery process and why**

- 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.
- *Generic knowledge:* the person who has received the penalty, the local authority, the courts, specialist debt recovery firms involved in the process

AC1.7: **Explain the actions to be taken at each stage of the debt recovery process**

- 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.
- *Generic knowledge:* send out penalty notice and documentation, deal with any appeals that are made, inform the guilty person of any appeals outcomes, request payment for upheld penalties, if payment is not received by due dates send out warning notices, refer back to the courts for judgment before referring to a debt recovery specialist

AC1.8: **Explain the potential consequences of an inadequate audit trail**

- 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.
- *Generic knowledge:* possible withdrawal of the penalty for lack of evidence, incorrect information sent to the courts or specialist recovery services, possible litigation and its associated costs

AC1.9: **Explain the actions needed to close a debt recovery case**

- 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.
- *Generic knowledge:* review the file to ensure that all documents are included, notices sent to everyone involved plus any payments due, e.g. if using a debt recovery specialist, receipts checked

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration) (Heinemann, 2011) ISBN 9780435046880

Website

www.ico.org.uk.organisations/data_protection_guide - the UK's independent authority set up to uphold information rights in the public interest.

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to parking and traffic enforcement and administration.

For Learning Outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses to demonstrate understanding of, for example, policies and procedures (AC1.1), roles and responsibilities (AC1.3), debt recovery documentation (AC1.4), lines of communication (AC1.6), and actions needed to close a case when dealing with the debt recovery process (AC1.9). The assessor should ensure that the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, the learner has had to refer cases beyond their level of control to the right person.

For Learning Outcome 2, evidence of work products seen during an observed performance or separately from observed performance is likely to provide a valid form of assessment. Examples of work products could be case evidence and debt recovery documentation (AC2.2; AC2.3), correspondence sent to interested parties (AC2.5) or records of decisions made (AC2.8). Any product that is part of the learner's routine working can be used. However, these products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

Direct observation can also be used as a source of evidence to confirm that the learner is achieving all of the performance assessment criteria. For example, a learner might be observed making decisions (AC2.4) or dealing with problems that arise (AC2.7). They could be encouraged to talk through what they are doing and why it is being done that way etc. Alternatively, the learner can be observed and at the close of the observation, a discussion session can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

If the learner prefers to write a reflective account, it can be used as well as, or instead of the methods above. The use of an account is particularly appropriate with this unit because it can chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when administering the parking and traffic debt recovery process (AC2.9).

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time. Assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, the use of secure systems and compliance with confidentiality requirements or codes of practice.

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 18: Administer Legal Files

Unit reference number: J/506/1935

Level: 3

Credit value: 5

Guided learning hours: 31

Unit type: Competence

Unit summary

For any organisation that administers legal files, it is vital that the administration is dealt with in a professional and efficient way. As an administrator in the Legal Sector, this unit will enable you to gain understanding of how to administer client files effectively and efficiently, therefore increasing accuracy and saving time and money.

In this unit you will learn how to maintain, close and archive a legal file. You will understand the requirements of the different legal areas you administer but, more importantly, you will understand the boundaries of what you can or cannot do without referring to someone else. In particular, you will need to meet the requirements to maintain client confidentiality at all times.

You will need to know how to use specialist software for processing legal cases and you can expect to be given training in how to use them. You will understand the consequences for everyone involved if records are inadequate or inaccurate. For example, records of time spent on work need to be accurate so that fee earners can receive the remuneration due to them and clients understand the financial implications of the advice they are seeking.

You will ensure that legal files are maintained, contain complete and valid information and are correctly labelled. You will generate correspondence and communications for fee earning, keeping all parties up-to-date and recording time, costs and disbursements accurately.

Finally, you will work to the agreed procedures for closing and archiving legal files, including addressing any outstanding issues with files, preparing accurate bills, and dealing with documentation appropriately.

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 administration of legal files	1.1 Explain the administrative requirements of the different legal areas being administered
	1.2 Explain the scope and limits of their own responsibilities and authority
	1.3 Explain the requirements of the duty of confidentiality
	1.4 Explain the use of specialist software for processing legal cases
	1.5 Explain the potential consequences of inadequate or inaccurate record keeping
	1.6 Describe the organisational and regulatory purpose and nature of different legal checks and searches
	1.7 Explain the organisational and regulatory purpose of a client care letter
	1.8 Explain how records of time spent on work are used
2 Be able to maintain a legal file	2.1 Confirm that information on file is complete, accurate and valid
	2.2 Process money received from clients in accordance with organisational and regulatory requirements
	2.3 Keep fee-earners informed of actions taken, progress, developments and problems
	2.4 Take action to ensure that files are correctly labelled and dated including summaries of their contents
	2.5 Generate correspondence that conform with the requirements of house style
	2.6 Record all time spent, costs and disbursements accurately

Learning outcomes	Assessment criteria
	2.7 Generate accurate bills that conform with organisational and regulatory requirements
	2.8 Adhere to organisational policies and procedures, and legal and ethical requirements when maintaining a legal file
3 Be able to close and archive a legal file	3.1 Address any outstanding issues for a legal file
	3.2 Prepare accurate final bills in accordance with organisational and regulatory requirements
	3.3 Take action to ensure that closed files contain all the necessary documentation
	3.4 Confirm whether any documents need to be added to the firm's precedent, knowledge or data bank
	3.5 Close files in accordance with organisational standards and procedures when the account shows a nil balance
	3.6 Archive files in accordance with organisational and regulatory requirements

Unit amplification

AC1.1: Explain the administrative requirements of the different legal areas being administered

- 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.

- *Generic knowledge:* the structure, labelling, contents and storage of files, e.g. criminal files need to contain the criminal conduct, the charges filed, the events surrounding the crime, good knowledge of the crime committed and information about sentencing; files are kept indefinitely

AC1.2: Explain the scope and limits of their own responsibilities and authority

- 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.

AC1.3: Explain the requirements of the duty of confidentiality

- 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.

- *Common duty of confidentiality:* definition; scope of the duty; limits and exceptions to the duty

- *Generic knowledge:* data protection principles, Freedom of Information Act 2000, organisational codes of practice

AC1.4: Explain the use of specialist software for processing legal cases

- *Specialist software:* bespoke, developed for individual law firms, e.g. size of firm, area of law practised, intended use

- *Specialist software uses in the legal profession:* for text, for images, for publishing, for accounting, client relationship management (CRM)

- *Secure file transfer packages and messaging:* electronic, manual legal files transferred manually, e.g. by specialist couriers, by staff entrusted with this task

- *Messaging:* electronic; manual, e.g. staff; other delivery sources

AC1.5: Explain the potential consequences of inadequate or inaccurate record keeping

- 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.
- *Generic consequences:* costs incurred if the fee earner does not receive the correct remuneration, costs incurred due to client complaint, inaccurate judgments made, inaccurate information supplied, penalties imposed by other organisations/individuals if information is inaccurate, e.g. consequences of not following data protection principles

AC1.6: Describe the organisational and regulatory purpose and nature of different legal checks and searches

- 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.

AC1.7: Explain the organisational and regulatory purpose of a client care letter

- 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.

AC1.8: Explain how records of time spent on work are used

- 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.
- *Generic knowledge:* records used to calculate remuneration to fee earners, calculating costs for clients, to inform the company's accountant on monies received, checks against budgets, e.g. if costs for work done need to rise based on overheads involved

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration), (Heinemann, 2011) ISBN 9780435046880

Websites

www.ico.org.uk.organisations/data_protection_guide - the UK's independent authority set up to uphold information rights in the public interest

www.lawsociety.org.uk/advice/practice-notes/setting-up-a-practice-regulatory-requirements - details about setting up of legal practices. Refer to Section 6.7, which deals with legal files.

www.lawsociety.org.uk/advice/practice-advice-service/faqs/file-reviews - details about setting up of legal practices. Refer to question and answer section relating to file reviews.

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to the administration and maintenance of legal files.

For learning outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses to demonstrate understanding of, for example, the scope of their own responsibilities (AC1.2), the specialist software they use (AC1.4), the purposes of different searches (AC1.6), or how the use of records of time when administering legal files (AC1.8). The assessor should ensure that the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, when the candidate has carried out legal checks and searches.

For learning outcomes 2 and 3, evidence of work products seen during an observed performance or separately from observed performance is likely to provide a valid form of assessment. Examples of work products could include records of money received from clients (AC2.2; AC3.2), correspondence with fee-earners and other interested parties (AC2.3; AC2.5), referrals of problems relating to fees to the correct person (AC3.1) or examples of correctly closed and archived files (AC2.1; AC3.3) Any product that is part of the learner's routine working can be used. However, these products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

Direct observation can also be used as a source of evidence to confirm that the learner is achieving all the performance assessment criteria. For example, a learner might be observed labelling files (AC2.4), or reviewing files before archiving them either manually, electronically or a mixture of both (AC3.3; AC3.6). They could be encouraged to talk through what they are doing and why it is being done that way etc. Alternatively, the learner can be observed and at the close of the observation, a discussion session can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

If the learner prefers to write a reflective account, it can be used as well as, or instead of the methods above. The use of an account is particularly appropriate with this unit because it can chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when maintaining a legal file (AC3.4).

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time. Assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, the use of secure systems and compliance with confidentiality requirements or codes of practice.

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 19:   Build Legal Case Files

Unit reference number: **L/506/1936**

Level: **3**

Credit value: **5**

Guided learning hours: **32**

Unit type: **Competence**

Unit summary

For any organisation that is required to build legal files, it is vital that the administration is dealt with in a professional and efficient way. As an administrator in the Legal Sector, this unit will enable you to gain understanding of how to build client files effectively and efficiently, therefore increasing accuracy and saving time and money.

You will gain understanding of the different legal areas for which you have responsibility and, more importantly, the boundaries of what you can or cannot do without referring to someone else. You will be very aware of the need to keep information confidential.

When building files, you will be clear on the content requirements and will follow organisational guidelines on any materials or equipment necessary to create them. You may be required to use specialist bespoke software and you will be trained to use it.

Confident communication skills will enable you to conduct interviews with people in order to extract the information that you need, without appearing aggressive or intrusive. You will know where to look to find any other information or evidence that you need.

Your will use effective time management skills in order to meet set deadlines and will understand the consequences of failure to meet those deadlines in the Legal Sector.

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 build legal case files	1.1 Explain the administrative requirements of the different legal areas being administered
	1.2 Explain the scope and limits of their own responsibilities and authority
	1.3 Explain the requirements of the duty of confidentiality
	1.4 Explain how to identify shortfalls in evidence and materials
	1.5 Explain the features and uses of different interviewing techniques
	1.6 Explain the use of specialist software for processing legal cases
	1.7 Explain how to access and use sources of information and evidence
	1.8 Explain the potential consequences of not meeting deadlines when building a legal case file
2 Be able to build legal case files	2.1 Identify gaps in evidence and materials needed
	2.2 Carry out interviews in accordance with the principles of best practice in communication and interviewing
	2.3 Obtain evidence and materials needed to complete the file
	2.4 Generate correspondence that conforms with the house style and regulatory requirements
	2.5 Submit cases on time in line with internal and external deadlines
	2.6 Complete follow-up actions in accordance with the instructions
	2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when building case files

Unit amplification

AC1.1: Explain the administrative requirements of the different legal areas being administered

- 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.
- *Generic knowledge:* labelling, indexing, structure, location, retention

AC1.2: Explain the scope and limits of their own responsibilities and authority

- 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.

AC1.3: Explain the requirements of the duty of confidentiality

- 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.
- *Common duty of confidentiality:* definition; scope of the duty; limits and exceptions to the duty
- *Generic knowledge:* data protection principles, Freedom of Information Act 2000, organisational codes of practice

AC1.4: Explain how to identify shortfalls in evidence and materials

- 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.
- *Generic knowledge:* shortfalls of essential client details, shortfalls of essential client history, important information from external sources, information from within the organisation

AC1.5: Explain the features and uses of different interviewing techniques

- The knowledge to meet this AC depends on the particular organisational requirements and context, e.g. crime, conveyancing, family and divorce courts. Learners need to apply the knowledge specific to their organisation to meet this AC.

Generic knowledge

- *Techniques for interviewing clients:* the differences between assertion and aggression; open questioning without being intrusive, effective use of closed questioning, e.g. verifying client details and history; effective telephone techniques, tone of voice
- *Techniques for interviewing internal and external professionals:* techniques for dealing with officials, e.g. The Law Society or Court Personnel, other legal practices

AC1.6: **Explain the use of specialist software for processing legal cases**

- *Specialist software:* bespoke, developed for individual law firms, e.g. size of firm, area of law, intended use
- *Specialist software uses in the legal profession:* for text, for images, for publishing, for accounting, client relationship management (CRM)
- *Secure file transfer packages and messaging:* electronic, manual legal files transferred manually, e.g. by specialist couriers, by staff entrusted with this task
- *Messaging:* electronic; manual, e.g. staff; other delivery sources

AC1.7: **Explain how to access and use sources of information and evidence**

- *Sources of information:* reference books, public websites related to the learner's specific legal area, protected websites, information contained in secure transfer systems, e.g. electronic and manual
- *Users:* other legal professionals both internal and external, government office, other ancillary services, e.g. Probation Service, Advice and Counselling services
- *Sources of evidence:* information held on file within the organisation, reports, judgments from other legal bodies or government offices, reports/statements from advice and counselling services, medical services

AC1.8: **Explain the potential consequences of not meeting deadlines when building a legal case file**

- 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.
- *Generic consequences*: costs incurred if the fee earner is not provided with adequate information to carry out duties, inaccurate judgments made if sufficient information is not available on time, penalties imposed by other organisations/individuals if information is delayed

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration), (Heinemann, 2011) ISBN 9780435046880

Websites

www.ico.org.uk.organisations/data_protection_guide - the UK's independent authority set up to uphold information rights in the public interest

www.lawsociety.org.uk/advice/practice-notes/setting-up-a-practice-regulatory-requirements - details about setting up of legal practices. Refer to Section 6.7, which deals with legal files

www.lawsociety.org.uk/advice/practice-advice-service/faqs/file-reviews - details about setting up of legal practices. Refer to question and answer section relating to file reviews

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to building legal files.

For learning outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses to demonstrate understanding of, for example, the scope of their own responsibilities (AC1.2), the requirements of the duty of confidentiality (AC1.3), how to identify shortfalls in evidence and materials (AC1.4), how to access and use sources of information and evidence (AC1.7), and the potential consequences of not meeting deadlines when building legal case files (AC1.8). The assessor should ensure the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, some interviewing has been carried out. The use of a digital voice recorder is recommended for both observation and professional discussion.

For learning outcome 2, evidence of work products seen during an observed performance or separately from observed performance is likely to provide a valid form of assessment. Examples of work products are records of interviews held in line with organisational guidelines (AC2.2), correspondence that meets house style and organisational requirements (AC2.4), or records of follow-up actions (AC2.6). Any product that is part of the learner's routine working can be used. However, the products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

Direct observation can also be used as a source of evidence to confirm that the learner is achieving all the performance assessment criteria. For example, a learner could be observed obtaining evidence and materials needed to complete the file (AC2.3), generating correspondence (AC2.4) or completing follow-up actions in accordance with the instructions (AC2.6). They could be encouraged to talk through what they are doing and why it is being done that way etc. Alternatively, the learner can be observed and at the close of the observation, a discussion session can be conducted.

If the learner prefers to write a reflective account, it can be used as well as, or instead of the methods above. The use of an account is particularly appropriate with this unit because it can chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when building case files (AC2.7).

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time. Therefore, assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, the use of secure systems and compliance with confidentiality requirements or codes of practice.

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 20: Manage Legal Case Files

Unit reference number: Y/506/1938

Level: 3

Credit value: 5

Guided learning hours: 32

Unit type: Competence

Unit summary

For any organisation that is required to build legal files, it is vital that the administration is dealt with in a professional and efficient way. As an administrator in the Legal Sector, this unit will enable you to gain understanding of how to manage client files effectively and efficiently, therefore increasing accuracy and saving time and money.

In this unit you will learn how to manage legal files. You will understand the requirements of the different legal areas you administer but, more importantly, you will understand the boundaries of what you can or cannot do without referring to someone else. In particular, you will need to meet the requirements to maintain client confidentiality at all times.

You will understand the structure of files that are used in a specific legal sector and what their format and contents should be. You will be able to accurately validate the information held in such files. You will understand the requirements for processing appeals and be fully aware of your responsibilities in meeting internal and external deadlines when carrying out your role.

You will demonstrate how to manage case files by ensuring they contain accurate and up-to-date information, you will ensure court bundles are prepared correctly. You will generate correspondence and communication with fee earners and record hearing outcomes in accordance with organisational and procedural requirements.

Finally, you will close and archive files in accordance with organisational and regulatory 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 management of legal case files	1.1 Explain the administrative requirements of the different legal areas being administered
	1.2 Explain the scope and limits of their own responsibilities and authority
	1.3 Explain the requirements of the duty of confidentiality
	1.4 Describe the structure, format and contents of a case file
	1.5 Explain how to validate information when managing a legal case file
	1.6 Explain the requirements of processing appeals
	1.7 Explain the potential consequences of not meeting internal and external deadlines when managing a legal case file
2 Be able to manage case files	2.1 Plan the management of a case file to meet deadlines
	2.2 Identify the location of required documents and materials
	2.3 Take action to ensure the file contains accurate and up-to-date information, documents and materials and is secure
	2.4 Take action to ensure court bundles are prepared correctly
	2.5 Generate correspondence and documents that conform with the requirements of house style and legal and procedural requirements
	2.6 Submit documents on time
	2.7 Process and record the hearing outcomes in accordance with organisational and procedural requirements

Learning outcomes	Assessment criteria
	2.8 Close and archive files in accordance with organisational and regulatory requirements
	2.9 Keep fee-earners informed of actions taken, progress, developments and problems
	2.10 Adhere to organisational policies and procedures, and legal and ethical requirements when managing case files

Unit amplification

AC1.1: **Explain the administrative requirements of the different legal areas being administered**

- 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.
- *Generic knowledge:* labelling, indexing, structure, location, retention

AC1.2: **Explain the scope and limits of their own responsibilities and authority**

- 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.

AC1.3: **Explain the requirements of the duty of confidentiality**

- 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.
- *Common duty of confidentiality:* definition; scope of the duty; limits and exceptions to the duty
- *Generic knowledge:* data protection principles, Freedom of Information Act 2000, organisational codes of practice

AC1.4: **Describe the structure, format and contents of a case file**

- 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.
- *Generic knowledge:* the structure, labelling, contents and storage of files, e.g. criminal files need to contain the criminal conduct, the charges filed, the events surrounding the crime, good knowledge of the crime committed and information about sentencing; files are kept indefinitely

AC1.5: **Explain how to validate information when managing a legal case file**

- 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.
- *Generic knowledge:* validating client information, e.g. checking passports, driving licences, bank details, current and previous addresses, current and previous employers; validating file information, e.g. with colleagues, fee earners, other legal professionals

AC1.6:   Explain the requirements of processing appeals

- 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.
- *Generic knowledge:* reviewing the nature of the original judgment and associated documentation, identification of timescales for making appeals, identification of documents to be used when processing appeals, knowledge of costs involved when accepting/processing appeals

AC1.7:   Explain the potential consequences of not meeting internal and external deadlines when managing a legal case file

- 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.
- *Generic consequences*: costs incurred if the fee earner is not provided with adequate information to carry out duties, inaccurate judgments made if sufficient information is not available on time, penalties imposed by other organisations/individuals if information is delayed

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration), (Heinemann, 2011) ISBN 9780435046880

Websites

www.ico.org.uk.organisations/data_protection_guide - the UK's independent authority set up to uphold information rights in the public interest

www.lawsociety.org.uk/advice/practice-notes/setting-up-a-practice-regulatory-requirements - details about setting up of legal practices. Refer to Section 6.7, which deals with legal files

www.lawsociety.org.uk/advice/practice-advice-service/faqs/file-reviews - details about setting up of legal practices. Refer to question and answer section relating to file reviews

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.

To complete this unit, it is expected that the learner will already be working in a role that relates to the management of legal case files.

For learning outcome 1, the assessor could plan a professional discussion, this gives the learner much more scope to give in-depth responses to demonstrate understanding of, for example, the scope and limits of their own responsibilities (AC1.2), how to validate information when managing a legal case file (AC1.5), the requirements of processing appeals (AC1.6), and the potential consequences of not meeting internal and external deadlines when managing of legal case files (AC1.7). The assessor should ensure that the discussion plan encourages the learner to bring forward examples of work products or to give examples of when, for example, they have taken time to validate information on a specific legal file or have been involved in processing appeals. The use of a digital voice recorder is recommended for both observation and professional discussion.

For learning outcome 2, evidence of work products seen during an observed performance or separately from observed performance is likely to provide a valid form of assessment. Examples of work products are accurate case files and court bundles (AC2.3; AC2.4), generated correspondence and documents (AC2.5) or records used to update fee-earners (AC2.6; AC2.8; AC2.9). Any product that is part of the learner's routine working can be used. However, the products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner signpost where they are kept.

Direct observation can also be used as a source of evidence to confirm that the learner is achieving all the performance assessment criteria. For example, a learner can be observed locating required documents and materials (AC2.2), taking action to ensure that files contain up to date information that is accurate and secure (AC2.3), generating correspondence and documents (AC2.4) or closing and archiving files (AC2.8). Alternatively, they could be encouraged to talk through what they are doing and why it is being done that way etc.

If the learner prefers to write a reflective account, it can also be used to chart regular activities and the results of those activities, for example, where the learner is adhering to organisational policies and procedures when managing case files (AC2.10).

This unit deals with compliance with regulatory and organisational requirements that must be demonstrated via sustained competent performance over a period of time Assessors should obtain third-party confirmation of competence via witness testimony from a line manager. Examples include the use of bespoke software packages, compliance with confidentiality requirements or codes of practice and compliance with internal and external deadlines.

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 21: Manage an Office Facility

Unit reference number: K/506/1944

Level: 3

Credit value: 4

Guided learning hours: 21

Unit type: Competence

Unit summary

Any business that operates from an office facility will require staff to establish and manage the processes, procedures, systems and equipment to ensure that the facility operates safely, effectively and efficiently.

In this unit you will gain understanding of how to ensure that equipment and associated consumables are properly monitored and maintained so that colleagues can use them with confidence. You will also explore the importance of budget constraints and effective supplier relationships.

You will consider the factors to be taken into account in the design of office systems, procedures and guidance documents, and will continually assess the effectiveness of these, making changes when needed, as an office will only operate effectively if there are good systems and procedures in place for everyone to follow.

Regular monitoring of the administrative services that you offer will ensure that these meet the quality standards agreed with your employers.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the management of an office facility	1.1 Explain the requirements of establishing and implementing office management procedures
	1.2 Explain how to manage the effectiveness of work and systems
	1.3 Explain how to manage any constraints attached to office facilities and related budgets
	1.4 Explain the factors to be taken into account in the design of office systems, procedures and guidance documents
	1.5 Explain how to create an environment that is conducive to productive work
2 Be able to manage and maintain an office facility	2.1 Maintain equipment and consumables to agreed levels
	2.2 Establish systems to evaluate the effectiveness of office systems and procedures
	2.3 Review the effectiveness of office systems and procedures to meet users' needs, adapting them to meet changing demands
	2.4 Manage the maintenance of office equipment to meet users' needs and expectations
	2.5 Manage effective relationships with suppliers
	2.6 Take action to ensure that administrative services are provided to agreed standards

Unit amplification

AC1.1: **Explain the requirements of establishing and implementing office management procedures**

- *Requirements for establishing procedures:* compliance, e.g. legislative, organisational; operational needs, e.g. consistency, managing risks, continuous improvement; timelines, e.g. what needs to be done daily, weekly, monthly, annually; physical resource requirements human resource requirements; workflow requirements

- *Requirements for implementing procedures:* clear communications, staff training; establishing productive workflow; health and safety requirement compliance, data protection requirement compliance; stakeholder feedback, customer feedback; service level agreement(s); premises

AC1.2: **Explain how to manage the effectiveness of work and systems**

- *Management:* ongoing evaluation of facility performance, ongoing evaluation of systems, changes to systems as a result of evaluation, effective communication with staff and management, monitoring outputs, monitoring of machinery and equipment, keeping updated on new legislation, staff training

- *Work and Systems:* workflow, processes, outputs; equipment, e.g. avoid breakdowns leading to loss of production, upgrades

AC1.3: **Explain how to manage any constraints attached to office facilities and related budgets**

- *Management:* continuous liaison, e.g. with staff and management, with other departments, with suppliers; continuous monitoring of budgets to take account of unexpected circumstances and emergencies

- *Constraints:* insufficient resources, insufficient staff to maintain systems and procedures, legislative requirements, insufficient cash flow, insufficient budget

AC1.4: **Explain the factors to be taken into account in the design of office systems, procedures and guidance documents**

- *Office Systems and Procedures:* design brief and customer requirements, clear and logical layout of procedures, communication systems, setting staff responsibilities to meet corporate policies, staff knowledge and training required, staff acceptance, risk assessments, health and safety responsibilities, budget, equipment and technology requirements, workflow

- *Guidance documents:* meeting the needs of the target audience, fitness-for-purpose, legislative requirements, corporate/professional image, ease of use, clarity of flow charts and organisational charts, level and type of language used, currency

AC1.5: **Explain how to create an environment that is conducive to productive work**

- *Consideration of conducive environment:* environment, e.g. air circulation, décor, heating, lighting levels, office layout, noise levels, welfare facilities; equipment, e.g. appropriateness, performance; furniture, e.g. type and usage, ergonomics, workstations; health and safety; security

Information for tutors

Suggested resources

Books

Lapsley A - *Business and Administration Student Handbook: Level 3*, (Skills CFA, 2011) ISBN 9780956773821

Sutherland J and Sutherland D - *Business Administration NVQ Level 3*, (Hodder Education, 2011) ISBN 9781444144222

Watkins B and Parton N - *NVQ/SVQ Level 3 Business & Administration Candidate Handbook* (NVQ Administration) (Heinemann, 2011) ISBN 9780435046880

Websites

www.hse.gov.uk/legislation - website raising awareness of the range of health and safety legislation that applies to workplaces in Britain

www.ico.org.uk/for_organisations/data_protection/the_guide - the UK's independent authority set up to uphold information rights in the public interest

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.

Learning outcome 1 could be assessed through a reflective account or professional discussion, these give the learner much more scope to give in-depth responses. When planning a professional discussion, the assessor should encourage the learner to give examples of routine work products to supplement the discussion evidence. For example, monitoring and maintaining equipment and consumables, where logs, diaries, lists and associated emails could be used (AC1.2; AC1.3) or how they have introduced and managed processes and facilities in order to create a productive working environment (AC1.5).

For learning outcomes 2 and 3, the primary assessment method is likely to be direct observation to confirm that the learner is achieving all the performance assessment criteria. For example, an observation of a team meeting where the learner is giving feedback to the team on monitoring of systems and procedures and seeking their input on how to move forward with change (AC2.3; AC2.5 and AC2.6). The learner can be observed and at the close of the observation a discussion session can be conducted. The use of a digital voice recorder is recommended for both observation and professional discussion.

Evidence of work products could be used to support the assessment of competence through observed performance. For example, review documentation or staff surveys could demonstrate the reviewing of the effectiveness of office systems (AC2.3). Other examples of work products could be equipment usage logs, office facilities guides produced for users, office issues/problems logs, office monitoring records, office system reports, records of communications and meetings and staff training programmes. Any product that is part of the learner's routine working can be used. However, the work products must be evaluated and commented on by the assessor and should be kept in their usual location, the learner must signpost where they are kept.

This unit deals with the skills used when managing people and the work environment, so supporting witness testimonies from peers and management are recommended in order to give third party confirmation of sustained performance over a period of time.

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 22: Analyse and Present Business Data

Unit reference number: M/506/1945

Level: 3

Credit value: 6

Guided learning hours: 24

Unit type: Competence

Unit summary

In order to ensure a business' survival and growth it is essential for that business to manage information and data to identify past and current performance in order to predict and plan for the future. Analysing and presenting essential data will help to identify strengths and weaknesses, therefore informing decision-making and strategic planning. This provides the basis to support the achievement of business objectives.

In this unit you will learn how to collect quantitative and qualitative data using primary and secondary sources. You will learn how to manipulate information using data management software to produce information in suitable formats to inform business decisions and future strategies.

You will use a range of IT tools to carry out research relevant to the requirements and objectives. You will organise and analyse data using a variety of techniques and methods including quantitative and qualitative analysis. You will check the accuracy of data, as this is essential to providing valid conclusions.

You will present your information using different formats and techniques that acknowledge the limitations of your analysis and reference your data sources.

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 analysis and presentation of business data	1.1 Explain the uses and limitations of primary and secondary data
	1.2 Explain the uses and limitations of quantitative and qualitative data
	1.3 Evaluate the issues relating to the validity and reliability of data and its analysis
	1.4 Explain the use of IT tools to carry out research
	1.5 Assess the risks attached to making judgments based on limited or unrepresentative samples
	1.6 Assess the risks attached to generalizing research findings
	1.7 Explain different formats and techniques for the presentation of the analysis
2 Be able to analyse quantitative and qualitative business data	2.1 Agree the parameters of the analysis
	2.2 Clarify any ethical requirements of the analysis
	2.3 Organise the data in a way that will facilitate its analysis
	2.4 Select valid and reliable data analysis methods and techniques that are appropriate to the data and analysis objectives
	2.5 Apply analytical techniques that are appropriate to the purpose of the research and the nature of the data
	2.6 Confirm the accuracy of data analysis and make necessary adjustments
	2.7 Draw conclusions that are valid and supported by evidence

Learning outcomes	Assessment criteria
3 Be able to present the analysis of business data	3.1 Present data in the agreed reporting format and house style 3.2 Acknowledge the limitations of the analysis 3.3 Reference data sources

Unit amplification

AC1.1: Explain the uses and limitations of primary and secondary data

- *Primary data:* definition; examples of sources
- *Secondary data:* definition; examples of sources
- *Uses:* support operations, inform business decisions, benchmark performance, promote efficiency, develop competitive advantage, increase market share
- *Limitations:* accuracy and reliability of data; misinterpretations; bias; access and confidentiality; legal and regulatory issues, e.g. Data Protection Act 1998, Freedom of Information Act 2000, Computer Misuse Act 1990; timescale requirements; ethical issues; IT protocols, codes of practice from the Information Commissioner's Office (ICO)

AC1.2: Explain the uses and limitations of quantitative and qualitative data

- *Quantitative data:* information measured in numbers, sizes or percentages, amenable to statistical manipulation
- *Limitations of quantitative data:* see limitations in AC1.1
- *Qualitative data:* descriptive information, relates to the quality of a service or process, personal, subjective and open to interpretation
- *Limitations of qualitative data:* knowledge produced may not generalise to other settings; difficult to make quantitative predictions; more difficult to test hypotheses and theories with large participant pools; timescales involved in collecting data; ethical issues; subjectivity and bias
- *Uses of quantitative and qualitative data*: product development, human behaviour and capability, provide depth and detail, identify trends, to inform business decisions and marketing strategies

AC1.3: Evaluate the issues relating to the validity and reliability of data and its analysis

- *Validity:* unbiased, representative, verifiable
- *Reliability:* consistent, stable, dependable, plausible
- *Analysis:* qualitative and quantitative processing of data, examination of facts, patterns and trends
- *Issues relating to data validity and reliability:* accuracy and relevance of data, level of detail, trusted sources, ownership of data, currency of data, cost of data collection
- *Issues relating to data analysis:* purpose, scope and size of sample; validity and reliability of data; collection of data, limited or unrepresentative samples; validation of data; presentation of information; bias; errors in methodology used, e.g. insufficient statistical power, ignoring measurement error, performing multiple comparisons; interpretation problems, e.g. confusion over significance, precision and accuracy, causality, graphical representation

AC1.4: Explain the use of IT tools to carry out research

- *IT tools:* software, e.g. database, spreadsheet, analytical or bespoke software, management information system; functions, e.g. internet searches, online surveys; questionnaires; processes, e.g. coding, formulae, calculating mean, median and mode

AC1.5: Assess the risks attached to making judgments based on limited or unrepresentative samples

- *Risks:* sampling error, e.g. selection bias, random sampling error, measurement error; over coverage, under coverage; variability; recognise similarities, identify differences; bias

AC1.6: Assess the risks attached to generalizing research findings

- *Generalizing research findings:* inferring results from a small sample can be applied to an entire population
- *Risks:* inaccurate prediction of trends, inappropriate sample size, non-diverse sources, bias, transfer of data, narrow focus, reliability of findings, e.g. repeatability of findings, whether findings support the theory being tested

AC1.7: Explain different formats and techniques for the presentation of the analysis

- *Formats:* table, chart, graph, diagram, report, presentation, case study, scenario, screen-based, paper-based
- *Techniques:* software manipulation, ratios, percentages, predictive modelling

Information for tutors

Suggested resources

Books

Alexander M and Walkenbach J - *Excel Dashboards & Reports*, 2nd edition (John Wiley & Sons, 2013) ISBN 9781118490426

Anderson K et al - *BTEC Level 3 National IT Student Book 1: Student Book 1 (BTEC National for IT Practitioners)*, 1st edition (Pearson, 2010) ISBN 9781846909283

Krieger S - *Documents, Presentations, and Workbooks: Using Microsoft Office to Create Content That Gets Noticed*, (Microsoft Press, 2011) ISBN 9780735651999

Kupersmith K, Mulvey P and McGoey K - *Business Analysis for Dummies*, (John Wiley & Sons, 2013) ISBN 9781118510582

Nelson EC and Nelson SL - *Excel Data Analysis for Dummies,* 2nd edition (John Wiley & Sons, 2014) ISBN 9781118898093

Websites

www.bized.co.uk/timeweb - teaching and learning source relating to data handling

www.businessballs.com – identified skills for personal and professional development

www.computerweekly.com - online information for IT users

www.ico.org.uk - information relating to data requirements, obligations and sharing

www.office.microsoft.com - tools and support for Microsoft Office users (PC or Mac)

www.ons.gov.uk - providing statistics relating to the economy, population and society

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.

Possible sources of evidence for demonstrating achievement of this unit could be through direct observation, professional discussion or review of work products relating to the analysis and presentation of business data. A holistic approach to assessment is recommended. Assessors are encouraged to leave evidence in its usual location (with appropriate signposting) due to potential commercial sensitivity of information.

For learning outcome 1, reflective accounts could be used to supplement other evidence to demonstrate the achievement of the knowledge-based criteria. Learners could provide examples of the types of data they analyse and their sources (AC1.1; AC1.2). They could identify the risks involved with the collation of business data and risks involved in the analysis (AC1.5; AC1.6), confirming how they check validity and reliability of information, based on specific sampling strategies (AC1.3). Learners could explain the techniques involved in presenting data and the reason for the choice of format (AC1.7).

The evidence from direct observation in learning outcomes 2 and 3 could be supported by examining work products such as original data sources, evidence of analysis and checking accuracy of data, spreadsheets, databases, tables, graphs, charts, diagrams, presentations, reports, case studies and scenarios. Evidence should acknowledge data sources.

A diary or reflective account could be used to document own role, responsibilities and skills. The assessor will need to ensure that the content of the diary or account captures the requirements of the assessment criteria. The diary or account could be used to document the parameters of the analysis, analytical techniques used and how the data was checked to ensure accuracy. The document could also confirm the reporting style format and house style.

For AC2.1, AC2.4; AC3.1 and AC3.2 witness testimony could be used to support the evidence from direct observation and work products.

For AC 2.2; AC2.3; AC2.4; AC2.5; AC2.6; AC2.7; AC3.1 and AC3.2 professional discussion or question and answer (Q&A) sessions could be used to corroborate the competence of the learner. Similar assessment methods could also provide evidence at the cognitive level required to satisfy the breadth and depth of the level and demand of the assessment criteria in learning outcome 1.

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

Unit 23: Produce Business Documents

Unit reference number: Y/506/1809

Level: 2

Credit value: 3

Guided learning hours: 24

Unit type: Competence

Unit summary

A key part of the role of business administrator is to produce documents that are fit for purpose, that are accurate, and that comply with organisational guidelines. The documents may need to be produced in different software packages so you will need to have a good understanding of the IT software that the organisation uses.

In this unit you will learn how to produce documents that are fit for purpose, that are free from errors in spelling and grammar, and that meet the requirements of the intended audience. You will have the opportunity to explore the organisation's procedures on version control and security of documentation, and to follow organisational requirements in relation to styles, fonts and formatting.

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 prepare business documents	1.1	Explain the requirements for language, tone, image and presentation for different documents
		1.2	Explain how to integrate images into documents
		1.3	Describe how corporate identity impacts upon document production
		1.4	Explain the requirements of data protection, copyright and intellectual property legislation relating to document production
		1.5	Describe organisational procedures for version control
		1.6	Describe security requirements relating to document production
2	Be able to prepare business documents	2.1	Identify the purpose, audience, content, style, format and deadlines of a document
		2.2	Use document production resources in line with organisational guidelines
		2.3	Use correct grammar, spelling, punctuation and sentence structure
		2.4	Produce documents that meet the requirements within the agreed timescale
3	Be able to distribute business documents	3.1	Provide final documents in the appropriate medium for authorised readers
		3.2	Specify restrictions and distribution lists in accordance with the requirements
		3.3	Maintain the requirements of security in the production, distribution and storage of documents

Unit amplification

AC1.1: **Explain the requirements for language, tone, image and presentation for different documents**

- *Language:* document aimed at the correct audience; avoid technical terms that the audience may not understand
- *Tone:* formal, e.g. avoid using slang, use full sentences
- *Image and presentation:* spelling, grammar and punctuation are accurate; corporate guidelines have been followed
- *Documents:* business letters, reports, emails, minutes of minutes, instructions, newsletters

AC1.2: **Explain how to integrate images into documents**

- *Integrate images into documents:* choosing the correct image to suit the topic within the document; image fit for purpose, e.g. picture, video; ensuring image can be viewed easily by audience

AC1.3: **Describe how corporate identity impacts upon document production**

- *Corporate identity:* following corporate guidelines on fonts, styles etc ensures standardisation of documentation across the organisation; portraying a consistent image of the organisation; using specific house styles and structures appropriate to the organisation
- *Impact:* document production may take longer; other people/departments may need to be involved; agreement needed from multiple parties

AC1.4: **Explain the requirements of data protection, copyright and intellectual property legislation relating to document production**

- *Data protection (Data Protection Act 1998):* information is fairly and accurately processed (information is processed for limited purposes, information is processed in line with an individual's rights, information is stored appropriately); document may need to be authorised by a manager; produced and communicated on a secure system
- *Copyright (Copyright, Designs and Patents Act 1988):* permission to use copyrighted material (copyright licence in place, special copyright conditions); authorisation by manager/other departments may need to be sought
- *Intellectual property:* agreements covering ownership of materials; authorisation by manager/other departments may need to be sought

AC1.5: Describe organisational procedures for version control

- 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

- *Version control procedures may include:* numbering each version of a document; using version control tables; use of 'Draft' watermark; preventing editing of approved documents

AC1.6: Describe security requirements relating to document production

- *Security:* information does not breach security protocols; if security is breached production may need to be minimised or stopped; storing of business documents, e.g. rooms either locked or with restricted access; protecting documents, e.g. password protection, read-only access; use a screen filter on the computer screen

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 main source of evidence for demonstrating the achievement of learning outcome 2 and learning outcome 3 is a combination of direct observation of the learner using available technology to produce business documents, examination of the learner's work products and questions and answers (Q&A). The learner's work products could include a range of business documents such as letters, emails, newsletters and presentations as well as the learner's planning notes. The work products should be reviewed by the assessor to check for accurate spelling, grammar and sentence construction as well as formatting and styling appropriate to the purpose of the document (AC2.1, AC2.3 and AC.4). Witness testimony could be used to confirm consistent performance as well as provide supporting evidence AC2.4, AC3.1 and AC3.3.

Questions and answers (Q&A) should be used to provide further evidence for AC2.2, AC3.2 and AC3.3. For example, the learner could be asked to explain how they identified the restrictions and distribution list for particular documents produced and how they met the requirements for security in the production, distribution and storage of the documents produced. Alternatively, a learner diary could be used to provide this evidence.

Questions and answers (Q&A) or learner diary could be used to meet the requirements of learning outcome 1. If Q&A is used then it should be integrated with the assessment for learning outcome 2 and learning outcome 3 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 explain how to integrate images in a document while they are producing a document and, if appropriate, they could use the document to describe how corporate identity impacts on its production (AC1.2 and AC1.3). If a learner diary is used, then the entries should be contextualised to the completed documents to link and apply the knowledge requirements in a similar manner as with the Q&A. The learner's answers must have sufficient range and breadth to meet the requirements. For example, the response for AC1.4 must have sufficient detail about the different legal requirements that affect the production of business documents. As some of the assessment criteria refer to organisational requirements and procedures, witness testimony may also be required to verify the learner's evidence.

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

Unit 24: 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
  - *Paper based:* lateral or vertical filing systems
  - 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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 25: Produce Minutes of Meetings

Unit reference number: Y/506/1812

Level: 2

Credit value: 3

Guided learning hours: 13

Unit type: Competence

Unit summary

Taking minutes at meetings is a responsible support role and it is important that minutes are recorded accurately.

In this unit you will learn about the different types of meetings, the records that are needed to meet legal requirements and the different procedures involved. You will also have the opportunity to develop the skills involved in producing minutes of meetings.

There are specific procedures that have to be followed before, during and after meetings, including accurate note taking, summarising discussions, using listening skills, recording clear actions and collating all the information in order to prepare the final minutes. It is also important to maintain confidentiality of meetings, discussions and actions.

You will be able to put this knowledge and understanding into action by taking on the role of a minute taker to produce minutes of 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 Understand how to take minutes of meetings	1.1 Explain the purpose of different types of minutes and other meeting records
	1.2 Explain the legal requirements of formal minutes
	1.3 Describe organisational conventions for producing minutes
	1.4 Describe the responsibilities of the minute taker in a meeting
	1.5 Explain why it is important to maintain confidentiality of meetings, discussions and actions
	1.6 Explain why it is necessary to record who proposed and seconded suggestions and changes
2 Be able to take notes of meetings	2.1 Take accurate notes of the attendance, proceedings, areas of discussion and agreed actions of meetings
	2.2 Record allocated responsibilities for agreed actions
3 Be able to produce minutes of meetings	3.1 Transcribe notes accurately into meeting minutes using correct language, grammar, punctuation and sentence structure and in the agreed style
	3.2 Include agreed attachments or appendices
	3.3 Obtain approval for the final documents
	3.4 Distribute minutes to the agreed distribution list
	3.5 Maintain the requirements of confidentiality

Unit amplification

AC1.1: **Explain the purpose of different types of minutes and other meeting records**

- *Meeting records*: agenda; minutes; meeting notes; related documentation
- *Purpose of formal meetings minutes:* records motions made and actions taken by members; evidence that actions were taken in accordance with procedures; protect the organisation and people who participate in the meeting; provide stakeholders with information; formal record for absentees; clarity of actions if challenged
- *Purpose of informal meetings minutes and meeting records*: informing targeted deadlines progress; information updating general and company strategies; product development updates

AC1.2: **Explain the legal requirements of formal minutes**

- *Content of formal minutes:* title of meeting or meeting number; date, time and location; numbers present; proxy voters; names of attendees; confirmation of quorum; detail of actions taken; details of resolutions made; names of nominator and seconder; voting outcomes; any other matters
- *Circulation of minutes:* circulated in stipulated; timely approval; signed by chairperson

AC1.3: **Describe organisational conventions for producing minutes**

- 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 guidelines for producing minutes include*: structure the minutes in an acceptable format or organisational house style; present the information according to type of minutes required; use professional language, correct tone and grammar; use past tense; limit the use of the passive voice; write in the third person; check minutes for accuracy

AC1.4: **Describe the responsibility of the minute taker in a meeting**

- *Responsibility:* clarifying points with the Chairperson; summarising discussions and recording accurate actions; record proposer and seconder of motions; recording attendance, late arrivals and early departures; recording outcomes of voting; check each agenda item is being covered; confirm quorum present; alert to confidential items

AC1.5: **Explain why it is important to maintain confidentiality of meetings, discussions and actions**

- *Possible confidential information discussed:* organisational strategies; organisation's finances or manufacturing processes; potential customers; new products services being developed
- *Importance:* avoid loss of competitive edge; avoid risks to important commercial interest; encourages open discussion and unity at meetings; comply with data protection regulations; to avoid conflict among staff

AC1.6: **Explain why it is necessary to record who proposed and seconded suggestions and changes**

- *Key terms:* motion; proposer; seconder; resolution
- *Documenting who proposed, seconded and changes:* written documentation if contested; record of change is available

Information for tutors

Suggested resources

Books

Lapsley A - *Business & Administration Student Handbook Level 2* (CfA, 2010)
ISBN 9780956773807

Websites

www.bing.com/search?q=meeting+minutes&form=HPNTDF&pc=HPNTDF&src=IE-SearchBox –information on taking minutes and other procedures

www.skillscfa.org – the Sector Skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt 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.

This unit can be assessed holistically with other units within the qualification such as: Provide Administrative Support for Meetings, Produce Business Documents and Communication in a Business Environment.

The minutes to be produced can relate to formal or informal meetings and can be distributed either electronically or manually.

The primary source of evidence for demonstrating achievement of learning outcome 2 is a combination of direct observation of the learner engaging in meetings, where permitted, and examination of related word products, i.e. notes taken of the observed meetings. The notes of the meetings should be reviewed by the assessor to judge the accuracy against the meetings proceedings. If unable to observe the learner in meetings then it may be necessary to use questions and answers (Q&A) and witness testimony to support the work product evidence.

The primary source of evidence for demonstrating achievement of learning outcome 3 is a combination of examination of the learner's work products and witness testimony. Examples of the learner's work products could include, draft minutes, final approved minutes and records of related communications, e.g. email used to circulate minutes – this would provide evidence for AC3.1, AC3.2, AC3.3 and AC3.4. The assessor needs to review the minutes produced to confirm use of correct language, grammar, punctuation and sentence structure. Witness testimony could be used to provide supporting evidence for AC3.1, AC3.3, AC3.4 and AC3.5. If necessary, Q&A can be used to fill gaps on evidence; for example, the learner could be asked to describe how they have maintained the confidentiality of meeting proceedings. This would also lead to meeting the assessment requirements for AC1.5.

Questions and answers (Q&A) or learner diary could be used to meet the requirements of learning outcome 1. If Q&A is used then it should be integrated with the assessment for learning outcome 2 and learning outcome 3 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 describe their responsibility as minute taker in relation to the meeting notes they produced; the meeting notes they produced could be used to support this. This links AC1.4 to AC2.1. A similar approach could also be taken for AC1.6 and AC1.3. If a learner diary is used, then the entries should be contextualised to the learner's performance to link and apply the knowledge requirements in a similar manner as with the Q&A. The learner's answers must have sufficient range and breadth to meet the assessment requirements. For example, the learner needs to explain the legal requirements of formal minutes both in terms of content and circulation; they need to detail at least four content requirements (AC1.2).

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

Unit 26: 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 that 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*
  - 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*
  - *Delays:* send mail at correct time with correct postage
  - *Missing deliveries:* if sending, send via recorded delivery; if receiving, include a message with delivery stating where to be delivered if not in
  - *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/england/consumer_e/consumer_post_e - stop un-addressed junk mail: information from Citizens Advice Bureau

www.frankingmachineexperts.co.uk/how-to-use-a-franking-machine - how to use a franking machine

www.wikihow.com/Stop-Spam - information on 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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 27: Prepare Text from Shorthand

Unit reference number: **M/506/1816**

Level: **2**

Credit value: **6**

Guided learning hours: **46**

Unit type: **Competence**

Unit summary

Preparing text from shorthand is a vital skill for an administrator that is involved in producing documents based on their or other people's shorthand notes. It is important that the text that is produced is accurate, formatted correctly and produced within given deadlines.

In this unit you will learn the importance of knowing who dictated the notes, the recipients of the text and why it is being sent. You will also learn how to make use of the techniques offered by specific shorthand systems when taking notes to ensure that you can transcribe them accurately.

You will learn about the consequences of not following the rules of grammar, punctuation and spelling correctly and how to proofread your work to make sure it is accurate.

Finally, you will learn the importance knowing and understanding your organisation's procedures for the storage, security and confidentiality of both documents and recordings.

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 use shorthand to create text	1.1 Explain the importance of confirming the purpose of the text and intended audience
	1.2 Describe techniques that may be used when taking shorthand notes
	1.3 Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content
	1.4 Explain how technology features can help to create, format and check the accuracy of text
	1.5 Describe ways of checking produced texts for accuracy and correctness
	1.6 Describe organisational procedures for the storage, security and confidentiality of information
2 Be able to use shorthand to prepare text	2.1 Agree the purpose, format and deadlines for texts
	2.2 Take dictation using shorthand at the speed required by the organisation
	2.3 Input and format text from shorthand notes
	2.4 Check that text is accurate and the meaning is clear and correct
	2.5 Store texts and original notes safely and securely following organisational procedures
	2.6 Present texts in the required formats and within the agreed timescales

Unit amplification

AC1.1: **Explain the importance of confirming the purpose of the text and intended audience**

- *Purpose:* for information; persuasion; negotiation; regulation
- *Intended audience:* in-house staff (in the UK and overseas); external customers (in the UK and overseas)
- *Importance:* meet deadlines; confidentiality constraints; formatting requirements; print requirements

AC1.2: **Describe the techniques that may be used when taking shorthand notes**

- *Techniques:* simplifying existing letters; special symbols to represent words or phrases; shorthand systems, e.g. Pitman shorthand, Gregg shorthand
- *When techniques are used:* identify when a new dictation session started; urgency; confidentiality; system print or formatting requirements; punctuation; capital letters; paragraphs; show words or phrases that need emphasis; abbreviations; numbers; technical jargon; specialist vocabulary, e.g. the use of any contractions or phrasing used in the specific shorthand

AC1.3: **Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content**

- *Consequences:* meaning of the text can be changed; organisation's reputation will suffer; wrong message may be communicated

AC1.4: **Explain how technology features can help to create, format and check the accuracy of text**

- *Technology features:* emboldening; italics; underscoring; automatic numbering and bullet points; tabular design; columns; text wrapping; spell and grammar checker; thesaurus; dictionaries; calculator; images; graphics
- *How features can help:* ease when formatting; makes documents look presentable and more professional; ensure accuracy

AC1.5: **Describe ways of checking produced texts for accuracy and correctness**

- *Checking for accuracy and correctness:* electronic spelling and grammar checks; personal proof reading; drafts to originator; figure checking; cross referencing if borrowed material

AC1.6: **Describe organisational procedures for the storage, security and confidentiality of 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.

Information for tutors

Suggested resources

Books

Lester M and Beason L - *Handbook of English Grammar and Usage,* 2nd edition (McGraw-Hill Contemporary, 2012) ISBN 9780071799904

Websites

http://ico.org.uk/for_organisations/data_protection/the_guide - guide to data protection

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 work products such as notes, drafts of the text, completed documents, work plans etc., questions and answers (Q&A) and learner diary. The work products provide evidence to meet the requirements of AC2.2, AC2.3 and AC2.4. Witness testimony could also be used to support the evidence from work produces for AC2.1, AC2.5 and AC2.6.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.5 and AC2.6) 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 the importance of confirming the purpose of the text and intended audience (AC1.1), the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content (AC1.3) and how technology features can help to create, format and check the accuracy of text (AC1.4).

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

Unit 28: Prepare Text from Recorded Audio Instruction

Unit reference number: T/506/1817

Level: 2

Credit value: 4

Guided learning hours: 15

Unit type: Competence

Unit summary

Preparing text from recorded audio instruction is a vital skill for an administrator that is involved in producing documents based on recorded audio instruction. It is important that the text that is produced is accurate, formatted correctly and produced within given deadlines.

In this unit you will learn the importance of knowing who dictated the notes, the recipients of the text and why it is being sent. You will also learn about the different types of media on which notes can be dictated and how the different styles of dictation affect your understanding of what has been recorded.

You will learn about the consequences of not following the rules of grammar, punctuation and spelling correctly and how to proofread your work to make sure it is accurate.

Finally, you will learn the importance knowing and understanding your organisation's procedures for the storage, security and confidentiality of both documents and recordings.

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 preparation of text from recorded notes	1.1 Explain the importance of confirming the purpose of the text and intended audience
	1.2 Describe the main features of the different types of technology that can be used for playing back recordings
	1.3 Explain how different speaking styles of those giving dictation can affect outputs
	1.4 Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content
	1.5 Describe ways of checking produced texts for accuracy and correctness
	1.6 Describe organisational procedures for the storage, security and confidentiality of information
2 Be able to prepare text from recorded notes	2.1 Agree the purpose, format and deadlines for texts
	2.2 Input and format text from audio recording
	2.3 Check that text is accurate and the meaning is clear and correct
	2.4 Store texts and original recordings safely and securely following organisational procedures
	2.5 Present texts in the required formats and within the agreed timescales

Unit amplification

AC1.1: **Explain the importance of confirming the purpose of the text and intended audience**

- *Purpose:* for information; persuasion; negotiation; regulation
- *Intended audience:* in-house staff (in the UK and overseas); external customers (in the UK and overseas)
- *Importance:* meet deadlines; confidentiality constraints; formatting requirements; print requirements

AC1.2: **Describe the main features of the different types of technology that can be used for playing back recordings**

- *Main features of different types of technology*
- Dedicated commercial dictating machines with foot control and headset: usually clearer recordings; easy readable scales to help with document lengths; indication of document urgency; easy to find priority items for completion
- Computers, laptops and tablets with the use of a headset may be used as playback machines if dictation is uploaded from a digital voice recorder or mobile phone; possible to replay and fast forward; absence of a foot control makes it less easy to operate
- Specific digital transcription kits or software that allow any computer to act as a playback machine

AC1.3: **Explain how different speaking styles of those giving dictation can affect outputs**

- *Different speaking styles:* regional accents or foreign accents; use of local vocabulary; over-use of technical jargon or use of unfamiliar technical jargon
- *How different speaking styles affect outputs*: more time needed to review what has been dictated; more time needed to make sure understanding is correct; documents may be delayed; potential for incorrect information to be used

AC1.4: **Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content**

- *Consequences:* meaning of the text can be changed; organisation's reputation will suffer; wrong message may be communicated

AC1.5: **Describe ways of checking produced texts for accuracy and correctness**

- *Checking for accuracy and correctness:* electronic spelling and grammar checks; personal proof reading; drafts to originator; figure checking; cross referencing if borrowed material

AC1.6: Describe organisational procedures for the storage, security and confidentiality of 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.

Information for tutors

Suggested resources

Books

Lester M and Beason L - *Handbook of English Grammar and Usage,* 2nd edition (McGraw-Hill Contemporary, 2012) ISBN 9780071799904

Websites

http://ico.org.uk/for_organisations/data_protection/the_guide - guide to data protection

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 work products such as notes, drafts of the text, completed documents, work plans etc., questions and answers (Q&A) and learner diary. The work products provide evidence to meet the requirements of AC2.2, AC2.3 and AC2.5. Witness testimony could also be used to support the evidence from work produces for AC2.1, AC2.4 and AC2.5.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.4 and AC2.5) 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 the importance of confirming the purpose of the text and intended audience (AC1.1), how different speaking styles of those giving dictation can affect outputs (AC1.3) and the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content (AC1.4).

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

Unit 29: Maintain and Issue Stationery and Supplies

Unit reference number: Y/506/2295

Level: 2

Credit value: 3

Guided learning hours: 18

Unit type: Competence

Unit summary

All businesses need stationery supplies for effective functional operations, which are purchased from external suppliers. It is critical for organisations to select appropriate suppliers based on type of item, quality, appropriate delivery frequency, order quantities and cost.

In this unit you will learn about the benefits gained, as well as some limitations, to contracting more than one supplier for an item or items.

It is usual practice for organisations to have a Purchasing Policy that contains procedures and staff responsibilities to ensure expenditures made are cost effective. You will learn how important these are to the efficient management of stationery supplies.

Whether a small or a large organisation, stationery stock checks are important to maintain supplies and to re-order in time to replace used stock. You will learn how to calculating and re-order quantities, while taking into consideration any quantity discounts before final orders are placed. Careful checks need to be made when deliveries arrive and you will learn how to deal with any problems that occur.

You will also have the opportunity to keep records of stationery supplies in your work environment, maintain stock control systems, place new orders and deal with any problems as they arise. The organisation's procedures should be followed but you will be able to make suggestions you think will improve how stock is received and issued.

Although organisations are moving towards a paperless office, most still have paper waste that needs to be disposed of confidentially or recycled. You will learn how this is managed.

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 maintenance of stationery and supplies	1.1 Describe organisational policies, procedures and levels of authority in maintaining supplies
	1.2 Explain how to carry out a stock check of stationery
	1.3 Describe the types of problems that may occur with deliveries and stock items
	1.4 Explain how to deal with problems that occur with deliveries and stock items
	1.5 Explain the factors to take into account when ordering stationery
	1.6 Explain the benefits and limitations of different potential suppliers, against organisational requirements
	1.7 Explain how to calculate quantities of stationery and supplies to be ordered
	1.8 Describe how to dispose of or recycle waste
2 Be able to maintain stocks of stationery and supplies	2.1 Maintain stocks of stationery and supplies at the required levels
	2.2 Maintain the requirements of storage and security
	2.3 Carry out stock checks in accordance with organisational policies and procedures
	2.4 Chase up late or incorrect orders with suppliers
3 Be able to issue stock of stationery and supplies	3.1 Issue stationery and supplies in accordance with organisational requirements
	3.2 Maintain up-to-date records of stock issued, received and in storage
	3.3 Deal with unwanted or damaged stationery and supplies safely
	3.4 Recommend ways in which the system for receiving and issuing stock could be improved

Unit amplification

AC1.1: Describe organisational policies, procedures and levels of authority in maintaining supplies

- 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: Explain how to carry out a stock check of stationery

- *Manual checks:* physical checks; stock in; stock out; balance; all dated
- *Item re-order level:* checked to see if balance is below the re-order level and replacement stock required
- *Electronic recording*: scanning barcodes on items not used; data electronically analysed against delivered stock and giving inventory remaining
- *Just In Time (JIT):* ordered and delivered when needed and used immediately; reduces costs by cutting stock to a minimum
- *Re-order Lead time:* allows time between placing order and delivery

AC1.3: Describe the types of problems that may occur with deliveries and stock items

- *Types of problems*
  - *Late deliveries:* not meeting re-order lead time
  - *Damaged deliveries:* packaging split or wet; content exposed to possible damage
  - *Inaccurate deliveries:* wrong item(s) supplied against item(s) ordered
  - *Incorrect number of item delivered:* 12 of one item ordered and only 11 received

AC1.4: Explain how to deal with problems that occur with deliveries and stock items

- *How to deal with problems*
  - *Late deliveries:* chase up late orders with suppliers
  - *Damaged deliveries:* always check content of damaged packaging; check if content damaged; report and return items; record against delivery note and order; chase replacement stock
  - *Inaccurate deliveries:* check incoming deliveries against orders; record and report problems; chase correct replacement stock
  - *Incorrect number of item delivered:* record and report incorrect order quantity delivered; chase correct replacement
- Ensure all errors are reported to Accounts Department so invoices can be checked

AC1.5: Explain the factors to take into account when ordering stationery

- *Factors to take into account:* re-order lead times (time between placing an order and delivery); quality of current deliveries; is a change of supplier needed or new supplier to be trialled; tendering and contracting; price increases may affect continuing with same supplier; quantity discounts may involve formal contracts with suppliers; cost advantages to blanket orders with call off orders; delivery time

AC1.6: Explain the benefits and limitations of different potential suppliers, against organisational requirements

- 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.

AC1.7: Explain how to calculate quantities of stationery and supplies to be ordered

- *Calculating quantities*
  - Organisation's usage collated from individual department requirements
  - Allocated member of staff to control departmental usage during a delegated period of time linked to re-ordering system controlled by central purchasing
  - Method could be physical with stock item record cards, stock in stock out, balance and date recorded on stock card, manual or electronic
  - Quantities unused reported to central Purchasing, template re-order forms indicating department, product code, quantity received and date, quantity used, balance and date, signed
  - Calculations made by Purchasing to bring stock level up to maximum level, collated with other departments for individual items
- *Calculate supplies to be orders:* decision taken on final order level considering quantity discounts and contractual terms, together with re-order lead times, new expenditure may need authorisation

AC1.8:   Describe how to dispose of or recycle waste

- *How to dispose of or recycle waste*
  - o Follow recycling of paper waste within own borough recycling procedures
  - o Separate paper waste from other types of stationery waste, e.g. printer cartridges, batteries, computers
  - o Use appropriate bins for designated paper recycling, separate bin for confidential paper waste
  - o Use an outside organisation to collect and recycle excessive paper waste, with separate confidential disposal arrangements for confidential paper waste
  - o Other organisations offer to collect items such as printer cartridges offering small payments to the organisation
  - o Alternative method to organise paper waste to be taken to a recycling centre

Information for tutors

Suggested resources

Websites

www.infoentrepreneurs.org/en/guides/stock-control-and-inventory/#3 - information for Entrepreneurs**:** stock control and inventory

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 carrying out their work activities relating to maintaining and issuing stationary and supplies.

The evidence from direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as records of orders, stock checks and stock that has been issued, forms and checklists, communication to suppliers, e.g. emails – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC3.1, AC3.2 and AC3.4. Witness testimony could be used to support the evidence from direct observation for AC3.4.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.2, AC2.3, AC3.1, AC3.2 and AC3.4) 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 organisational policies, procedures and levels of authority in maintaining supplies (AC1.1), how to carry out a stock check of stationary (AC1.2), how to deal with problems that occur with deliveries and stock items (AC1.4), the factors to take into account when ordering stationary (AC1.5), the benefits and limitations of different potential suppliers, against organisational requirements (AC1.6) and how to calculate quantities of stationary and supplies to be ordered (AC1.7).

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

Unit 30:
Contribute to the Organisation of an Event

Unit reference number:	**L/506/1869**
Level:	**2**
Credit value:	**3**
Guided learning hours:	**23**
Unit type:	**Competence**

Unit summary

The management of an event is crucial ensure an event is successful, and can be an activity undertaken by people working in a support role. It could involve planning and co-ordinating arrangements for a variety of events from arranging meetings, product launches, exhibitions and promotions to organising a full-scale conference. There are organisations that actually specialise in event management, which shows how important this function is.

In this unit you will learn what is involved in the planning of an event, and the importance of being aware of the different needs of delegates attending, the requirements of health, safety and security, and how to deal with any problems that may arise during the event.

You will have the opportunity to organise an event as a practical activity to give you the direct experience to plan, co-ordinate and arrange all the different stages involved. There will be practical considerations of booking venues and equipment, and other preparatory work, including sending information to delegates and organising resources. You will explore the support tasks involved during the event, together with follow up activities at the end of the event.

During these challenging activities you will develop skills in communication and liaising with others, time management, problem solving, negotiating, planning, resource management, teamwork, monitoring and evaluating.

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 event organisation	1.1	Explain the roles, responsibilities and accountabilities of individuals involved in the event
		1.2	Explain the purpose and features of different types of events
		1.3	Describe the type of resources needed for different types of events
		1.4	Describe the different needs attendees may have and how to meet these
		1.5	Explain the requirements of health, safety and security when organising events
		1.6	Describe the types of problems that may occur during events and how to deal with them
2	Be able to carry out pre-event actions	2.1	Identify venue requirements for an event
		2.2	Obtain resources within the agreed timescales
		2.3	Distribute pre-event documentation to delegates in accordance with the event plan
		2.4	Co-ordinate attendee responses within the agreed timescale
		2.5	Identify any special requirements of event attendees
3	Be able to set up an event	3.1	Set up layout and resources in accordance with the event plan
		3.2	Confirm that all identified resources are in place and meet requirements
		3.3	Behave in a way that maintains organisational values and standards
4	Be able to carry out post-event actions	4.1	Ensure the venue is restored to the required conditions in accordance with the terms of the contract
		4.2	Carry out follow-up actions in accordance with the event plan and agreements made at the event

Unit amplification

AC1.1: Explain the roles, responsibilities and accountabilities of individuals involved in the event

- *Event leader:* depending on seniority within organisation allocating or obtaining budget required; discussing purpose and requirements with the event organiser, e.g. numbers involved, type of venue required, facilities, catering, accommodation, other resources; providing information on delegates/target audience to be invited; staff involved; visiting speakers; monitoring costs and evaluating the event

- *Event organiser*

  - *Liaising with event leader:* organising a venue and location that meets budget and costs allocated; facilities, e.g. presentation room, layout, breakout rooms; resources; catering; delegate requirements; parking adjacent to accommodation; bookings; access transport; special needs

  - *Responsibilities:* setting up programme; liaising with presenters; setting event objectives; presentation materials; arranging visiting speakers; invitations; event programme; acceptances; preparation and distribution of delegate materials; final delegate lists; name badges; confirming numbers to venue

  - *Current legal requirements:* law of contract (with venue, outside speakers, suppliers); agreements; health and safety, and security (safe keeping of delegate and organisation's belongings and equipment)

  - *During the event:* check rooms, equipment, materials, safety and security, meet delegates for registration, record delegates attending, resolve problems if arise, monitor presentations and activities to meet programme times

- *Support staff working with the event leader:* availability; timely preparation of presentations and event materials

- *Venue staff:* providing room accommodation and equipment as booked; timely catering requirements; healthy, safe and secure environment

AC1.2: Explain the purpose and features of different types of events

- *Types of event:* meetings; conferences; business dinners/awards ceremonies; exhibitions; courses/workshops; networking events/conferences; promotional events/product launch; fundraising events
- *Internal:* involving own staff but possible external speakers
- *External:* involving own staff and outside delegates, e.g. customers
- *Confidential:* concerning finance, issues of company strategy
- *Routine/formal:* held on a regular basis and a requirement either legally or as an organisation's procedure, e.g. Annual General Meeting, regular board meeting
- *Non-routine/informal:* e.g. ad hoc meetings as needed by the operations of an organisation, regular team meetings

AC1.3: Describe the type of resources needed for different types of events

- *Types of resources*
  - Budget; costs
  - Room/venue (size, location, date); breakout rooms
  - Presentation equipment
  - Other equipment (copying facilities)
  - Adjacent overnight accommodation
  - Refreshment facilities (bookings, delegates with special dietary requirements)
  - Visiting speakers/presenters
  - List of delegates to be invited; invitations (event brief, date, venue, map, transport details); record of acceptances or those unable to attend
  - Programme and relevant documentation
  - Attendance list; name badges
  - Writing material for delegates

AC1.4: Describe the different needs attendees may have and how to meet these

- *Different needs:* access arrangements to venue and within meeting rooms, e.g. lifts, wheelchair access, ramps, handrails, room facilities for any overnight accommodation; transport support; audio links or documents in braille; special dietary requirements

AC1.5: **Explain the requirements of health, safety and security when organising events**

- *Requirements of health, safety and security*
  - *Venue is free of hazards:* checks made of room(s); equipment PAT tested; secure and safe cabling
  - *Security of event materials:* confidentiality of information and communications
  - Security of delegate belongings when breaks taken
  - *Aware of any fire alarm systems and practices:* inform delegates; alert delegates to emergency exits and meeting point
  - Room and facilities direction signs in place
  - Recording attendance

AC1.6: **Describe the types of problems that may occur during events and how to deal with them**

- *Problems and resolutions*
  - *Non-delivery of resources:* last-minute photocopying
  - *Late or non-arrival of presenter:* make contact to clarify time of arrival; inform event leader of outcome; re-organise programme timing, e.g. if presenter arriving later; discuss alternative activity with event leader to fill the time slot if non-arrival
  - *Unexpected higher number of delegates than expected creating inadequate room(s) or resources:* sharing resources while extras prepared; adding more chairs; if insufficient space, need larger room or extra room; may cause doubling up presentations; ensuring available presenter
  - *Missing specific resources (special equipment) causing delay in presentation:* rearranging programme to allow time to provide missing resource or use alternative method of presentation
  - *Delegate taken ill:* how serious; call emergency services or deal with via venue's first aid facility; inform contact person for delegate

Information for tutors

Suggested resources

Books

Craven R and Golabowski L - *The Complete Idiot's Guide to Meeting and Event Planning,* 2nd edition (ALPHA, 2006) ISBN 9781592574629

Friedmann S - *Meeting and Event Planning for Dummies* (John Wiley & Sons, 2003) ISBN 9780764538599

Websites

www.business casestudies.co.uk/ - the Times 110: business case studies

www.evolutionevent.com - case studies of events organised for major companies

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

Other

Event (Haymarket Business Publications Ltd) - Exhibitions and live events information

Assessment

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

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

Wherever possible, centres should adopt 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, learning outcome 3 and learning outcome 4 is direct observation of the learner carrying out their work activities relating to the organisation of an event.

The evidence from the direct observation for learning outcome 2, learning outcome 3 and learning outcome 4 could be supported by examining work products such as notes produced, checklists and non-verbal communication to colleagues, venues and/or customers, e.g. emails, letters etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC2.5 and AC4.2. To achieve AC3.5, learners need to provide evidence of following up actions in accordance with the brief either through emails, verbal communication and/or records showing actions have been followed up. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.3, AC2.5, AC3.3 and AC4.1.

Questions and answers (Q&A) could also be used to provide supporting evidence of the learner's competence. For example, the learner could be asked to explain how to behave in a way that maintains organisational values and standards (AC3.3).

Questions and answers (Q&A) or learner diary could be used to meet the requirements of learning outcome 1. If Q&A is used then it 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 describe the types of resources needed for different types of events. This relates the assessment of AC1.3 to that of AC2.2. Similarly, the learner could be asked to describe the different needs attendees may have and how to meet these; their description could be supported by the appropriate work products. This links AC1.4 to AC2.5. If a learner diary is used, then the entries should be contextualised to the learner's performance to link and apply the knowledge requirements in a similar manner as with the Q&A. The learner's answers must have sufficient range and breadth to meet the assessment requirements. For example, the learner needs to describe at least three types of problems that may occur during events and how to deal with them (AC1.6).

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

Unit 31: Organise Business Travel or Accommodation

Unit reference number: D/506/1875

Level: 2

Credit value: 4

Guided learning hours: 23

Unit type: Competence

Unit summary

A key part of a business administrator's role is to support those members of staff who need to travel both home and abroad and to ensure that their arrangements are made in a timely manner, cover all aspects of travel within the trip, follow the organisational policy and procedure and are within an agreed budget. Communicating the arrangements to staff is also very important as they need to know timings and connections of trains and planes if this is part of their trip.

In this unit you will learn how to organise travel and accommodation, within budget, for different staff within the organisation. You will work within budget and procedural constraints ensuring that all arrangements made are communicated to the staff that are travelling and ensure that any travel documentation required are obtained in a timely manner. You will have the opportunity to research and consider different types of travel suppliers and make recommendations on the best way for staff to travel to their destination.

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 organisation of business travel or accommodation for others	1.1	Explain any budgetary or policy constraints relating to business travel or accommodation
		1.2	Describe financial arrangements relating to business travel or accommodation
		1.3	Explain how to make arrangements for visas and related foreign travel documentation
		1.4	Describe the procedures for obtaining or exchanging foreign currency
2	Be able to research business travel or accommodation options for others	2.1	Identify different suppliers that are capable of delivering the services required within budget
		2.2	Recommend travel or accommodation arrangements that best meet the requirements
		2.3	Recommend suppliers of travel or accommodation that best meet the requirements

Learning outcomes	Assessment criteria
3 Be able to make business travel or accommodation arrangements for others	3.1 Confirm the requirements for travel or accommodation
	3.2 Agree arrangements that specify any limitations, prohibitions or responsibilities and which meet the requirements
	3.3 Prepare and issue itinerary/ schedule documentation that reflect agreed arrangements accurately
	3.4 Obtain travel or accommodation documentation within the required timescale
	3.5 Confirm the acceptability of payments to be made within the limits of their own authority
	3.6 Keep up-to-date records of travel or accommodation arrangements and agreed commitments
	3.7 Adhere to organisational policies and procedures, legal and ethical requirements when making business travel or accommodation arrangements for others

Unit amplification

AC1.1: **Explain any budgetary or policy constraints relating to business travel or accommodation**

- *Accommodation:* type of accommodation relating to the level of the traveller in the organisation; cost of meals; inclusion of meals with accommodation; organisational procedures
- *Travel:* within budget, e.g. first class or standard on train, business class or economy on air travel; whether a hire car will be required at the destination
- *Obtain value for money*

AC1.2: **Describe financial arrangements relating to business travel or accommodation**

- *Financial arrangements:* pay on departure; pay with company credit card; tickets on departure; collection at train station or airport; sending tickets to the office for later distribution; arrange petty cash in advance for the traveller(s), e.g. Sterling, foreign currency, travellers cheques; subsistence allowance or expenses allowed; company policy on payment for meals, snacks, taxi fares
- Communicating financial arrangements to traveller(s) as to how money related to the trip is to be paid

AC1.3: **Explain how to make arrangements for visa and related foreign travel documentation**

- *How to make arrangements:* locate and communicate with relevant embassy; obtain relevant forms and documents, e.g. passport, visa application form; meet requirements of country visiting, e.g. medical insurance vaccinations
- Ensure there is sufficient time to acquire the correct visas and entry requirements prior to travel

AC1.4: **Describe the procedures for obtaining or exchanging foreign currency**

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

Information for tutors

Suggested resources

Books

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

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

Websites

www.personal-assistant-tips.com/support-files/corporatetravelplanningchecklist.pdf - corporate travel checklist

www.wikihow.com/Organize-Executive-Accommodations - how to organize executive accommodations

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

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

Unit assessment requirements

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

This unit is a barred combination with unit 13 (J/506/1918) Evaluate the Provision of Business Travel or Accommodation.

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.

Organising business travel or accommodation could be for a colleague, customer or manager and could be local or abroad. The primary source of evidence for demonstrating achievement of learning outcome 2 and learning outcome 3 is examining work products such as non-verbal communication to colleagues, suppliers and/or customers, e.g. emails, letters etc. and records, e.g. spreadsheets, notes etc. - this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC3.1, AC3.2, AC3.3, AC3.4, AC3.5 and AC3.6. To achieve AC3.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when making business travel or accommodation arrangements for others either through checklists or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.2, AC2.3 and AC3.3.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC3.4, AC3.6 and 3.76) 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 budgetary or policy constraints relating to business or accommodation (AC1.1) and how to make arrangements for visa and related foreign travel documentation (AC1.3).

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

Unit 32: Provide Administrative Support for Meetings

Unit reference number: H/506/1876

Level: 2

Credit value: 4

Guided learning hours: 28

Unit type: Competence

Unit summary

Providing administrative support for meetings is an important function to enable the meetings to run smoothly and achieve the purpose targeted.

In this unit you will learn why meetings are held informally or formally. You will also learn about the roles held by the chairperson, the legal implications of formal meetings and how to ensure delegates are able to attend. Considering health, safety and security during a meeting, together with planning and setting up resources needed, are other important aspects of support that you will learn.

You will have the opportunity to support organising a meeting, by making all the arrangements to set one up including booking the meeting room/venue, sending information to attendees, organising resources, and ensuring all equipment required is set up safely. You will also support the staff member leading the meeting, e.g. taking notes of discussions taking place. You will also be needed at the end of the meeting to help with any follow up action required.

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 administration of meetings	1.1 Describe the purpose of the meeting and who needs to attend
	1.2 Explain why it is important to have a minimum number of attendees for a meeting
	1.3 Explain ways to achieve maximum attendance at meetings
	1.4 Explain the access, health, safety and security requirements relating to meetings
	1.5 Describe how to set up the resources needed for a meeting
	1.6 Explain the responsibilities of the meeting chair and meeting secretary
	1.7 Explain the difference between formal and informal meetings
	1.8 Explain the legal implications of formal meetings
2 Be able to make administrative preparations for meetings	2.1 Book meeting venue, resources, and facilities in accordance with the brief
	2.2 Collate documents needed for a meeting
	2.3 Distribute meeting invitations, documents and other meeting-related requirements within the timescale
	2.4 Confirm meeting attendees and any special requirements

Learning outcomes	Assessment criteria
3　Be able to support the administration of meetings	3.1　Take action to ensure that the equipment allocated for use at a meeting functions correctly
	3.2　Provide support to meetings in accordance with requests
	3.3　Ensure the venue is restored to the required conditions after the meeting
	3.4　Distribute meeting records promptly to the agreed distribution list
	3.5　Carry out any follow-up actions in accordance with the brief

Unit amplification

AC1.1: Describe the purpose of the meeting and who needs to attend

- *Purpose:* meeting brief; objectives of meeting; what needs to be explained, discussed, feedback required; decisions to be made
- *Who needs to attend:* delegates with required knowledge to support the meeting brief; level of seniority of staff required to make decisions; stakeholders impacted by decisions to be made; sufficient numbers to meet the quorum

AC1.2: Explain why it is important to have a minimum number of attendees for a meeting

- *Importance of having minimum number of attendees:* legal requirements; ensure decisions represents the wishes of the majority; prevent a small number of attendees acting in ways that do not represent the majority

AC1.3: Explain ways to achieve maximum attendance at meetings

- *Ways to achieve maximum attendance:* plan meeting purpose; send invitations in good time with full details; follow up acceptances and non-acceptances; decide if acceptances make up the quorum, if not review date and time; check acceptances

AC1.4: Explain the access, health, safety and security requirements relating to meetings

- *Access:* accessible by all, e.g. wheelchair access, lifts
- *Health and safety:* clean and hazard free facilities; equipment properly set up and in good working order; meeting room correctly set up; safe furniture; access to first aid facilities
- *Security:* checking delegates against attendance register; secure meeting rooms during break times; insurance for borrowed equipment

AC1.5: Describe how to set up the resources needed for a meeting

- *Types of resources:* budget; room/venue; presentation equipment, e.g. visual, audio; other equipment, e.g. photocopier; refreshment facilities; meeting documentation, e.g. meeting brief, agenda, minutes of previous meeting; visiting speakers/presenters; stationery
- *Set up resources:* health and safety hazards, e.g. equipment PAT tested, secure and safe cabling; distributing resources to delegates

AC1.6: Explain the responsibilities of the meeting chair and meeting secretary

- *Chairperson:* controls the meeting; introduces objectives and agenda items; introduces new members; leads discussions; facilitates exchanges of opinions; raises motions (proposals) to be voted on; has the casting vote if forum is evenly split; summarises any voting outcome or decisions (resolutions) taken at the meeting; confirms next meeting date if relevant
- *Meeting secretary:* in conjunction with the chair, would prepare and send out the agenda; take notes throughout the meeting; prepare minutes to record discussions and decisions taken at the meeting; distribute the minutes to delegates attending

AC1.7: Explain the difference between formal and informal meetings

- *Formal:* set structure and procedures; require meeting documents, e.g. agenda, minutes; specified formal roles of the chairperson and meeting secretary; formal notice to attend; held at specific time
  - Annual General meeting (AGM)
  - Extraordinary general meetings
  - Board meetings
- *Informal:* ad hoc short notice meetings; no agenda; no fixed process
  - Briefings
  - Training sessions
  - Team meetings
  - One to one meetings

AC1.8: Explain the legal implications of formal meetings

- *Legal implications:* meetings governed by rules laid down in the organisation's governing documents, e.g. Memorandum and Articles of Association; governed by statutory rules, e.g. Companies Act (2006); quorum required for binding decisions; rules related to voting, e.g. proxy notices; requirements for a motion to be passed, e.g. proposer and seconder; formal minutes required and accessible to relevant stakeholders

Information for tutors

Suggested resources

Websites

www.ucu.org.uk/media/pdf/7/f/meetings_formal_1.pdf - the University and College Union: running formal 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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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.

This unit can be assessed holistically with other units within the qualification such as: *Produce Minutes of Meetings, Produce Business Documents* and *Communication in a Business Environment.*

The primary source of evidence for demonstrating achievement of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities in preparing for, and supporting the administration of meetings.

The evidence from the direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as records of venue and resources bookings, notes made during the meeting, checklists and relevant communications to colleagues, meeting attendees and/or venues – this provides further evidence to meet the requirements, for example AC2.1, AC2.3 and AC3.4. To achieve AC3.5, learners need to provide evidence of following up actions in accordance with the brief either through emails, verbal communication and/or records showing actions have been followed up. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.3, AC2.4, AC3.2 and AC3.3.

Questions and answers (Q&A) could also be used to provide supporting evidence of the learner's competence. For example, the learner could be asked to describe the actions they have taken to ensure allocated equipment function correctly (AC3.1), or to describe the type of support they have provided to different meetings (AC3.2).

Questions and answers (Q&A) or learner diary could be used to meet the requirements of learning outcome 1. If Q&A is used then it 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 describe how they have booked and arrange the resources for different meetings; their description could be supported by the appropriate work products. This links AC1.5 to AC2.1. Similarly, the learner could be asked to explain the access, health and safety requirements for different meetings they have supported in relation to the purpose and structure of the meetings, venues and the attendees. This relates the assessment of AC1.4 to that of AC2.1 and AC2.4. If a learner diary is used, then the entries should be contextualised to the learner's performance to link and apply the knowledge requirements in a similar manner as with the Q&A. The learner's answers must have sufficient range and breadth to meet the assessment requirements. For example, the learner needs to explain at least three differences between formal and informal meetings (AC1.7).

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

Unit 33: Administer Human Resource Records

Unit reference number: T/506/1879

Level: 2

Credit value: 3

Guided learning hours: 28

Unit type: Competence

Unit summary

This unit gives you the opportunity to explore how records in an HR setting are administered. The role is key to the success of the HR section, very often the administrator in HR is the person who is responsible for ensuring all information is up to date and to ensure that any information inputted into an HR system or sent out to potential new staff is accurate and fit for purpose. The role requires the administrator to be very organised and disciplined.

In this unit you will learn how to work to organisational policies and procedures in terms of keeping and maintaining up to date records of staff in your organisation. You will also learn about the implications of not keeping up to date records and what the consequences would be if this were the case. You will learn about confidentiality and the key legal issues surrounding this as well as ensuring that confidentiality is maintained at all times.

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 administration of human resource (HR) records	1.1 Explain what HR-related information needs to be kept and why
	1.2 Explain the relationship of HR to other parts of an organisation
	1.3 Describe the impact of other organisations on HR activities
	1.4 Describe the features and uses of organisational systems for managing human resource information
	1.5 Explain the requirements of confidentiality, data protection and system security
	1.6 Describe the information to be provided for different management reports
	1.7 Explain the limits of their own authority in administering HR records
	1.8 Explain the implications of not keeping HR records up-to-date
	1.9 Explain the actions to be taken in the event of problems arising or incomplete or inaccurate data
2 Be able to administer HR information	2.1 Keep HR records up-to-date
	2.2 Process data in accordance with organisational procedures
	2.3 Provide information within the limits of confidentiality
	2.4 Adhere to organisational policies and procedures, legal and ethical requirements

Unit amplification

AC1.1: Explain what HR-related information needs to be kept and why

- *HR-related information that needs to be kept:* documents relating to employees, e.g. contract of employment, interview and appointment details, personal information, medical or disability information is applicable; completed staff appraisal forms; salary information; pension information; certificates and qualifications held by staff; information requested by regulatory bodies, e.g. CRB/DB checks, copy of passport/birth certificate; staff training records, CPD

- *Why is the information kept:* to meet legal requirements and internal procedures

AC1.2: Explain the relationship of HR to other parts of an organisation

- *Relationship with other parts of an organisation*: advisory, e.g. in the case of grievances raised; supportive, e.g. taking notes at a disciplinary meetings, attending interviews with potential new staff, supporting the recruitment and selection process; the first point of contact for all aspects of staffing of the business; supporting the recruitment and selection process, e.g. organising interviews and sending out key documents and communications to potential new staff; advising on key aspects of employment law as required; keeping staff records up to date

AC1.3: Describe the impact of other organisations on HR activities

- *Impact of other organisations:* changes by government, e.g. minimum wage change, changes in employment legislation; trade unions; professional bodies; government guidelines on minimum standards of qualification required within particular professions, e.g. teaching, nursing, care home staff

AC1.4: Describe the features and uses of organisational systems for managing human resource 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.

AC1.5: Explain the requirements of confidentiality, data protection and system security

- *Requirements of confidentiality, data protection, system security:* keep sensitive information about employees locked in cabinets; limit access to electronic records, e.g. give permissions to particular staff only; keep information for a certain amount of time; distribute information to authorised recipients only

AC1.6: **Describe the information to be provided for different management reports**

- *Information to be provided for different management reports:* staff retention; staff sickness; headcount; costs associated with staff, e.g. salaries, tax, NI; overtime hours/payments

AC1.7: **Explain the limits of their own authority in administering HR records**

- 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.

AC1.8: **Explain the implications of not keeping HR records up-to-date**

- *Implications:* salaries not being processed at the correct time; key information sent out to employees homes may go to the wrong address if the records are inaccurate

AC1.9: **Explain the actions to be taken in the event of problems arising or incomplete or inaccurate data**

- *Actions to take:* gather the correct information; create an action plan to correct errors; brief HR staff; schedule training on the systems in place

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 administering human resource records.

The evidence from direct observation for learning outcome 2 could be supported by examining work products such as records and communication to colleagues, e.g. emails, etc. – this provides further evidence to meet the requirements, for example AC2.1 and AC2.3. To achieve AC2.4, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements either through checklists or completed forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.2 and AC2.3.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.2, AC2.3 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 what HR-related information needs to be kept and why (AC1.1), the relationship of HR to other parts of an organisation (AC1.2), the requirements of confidentiality, data protection and system security (AC1.5), the limits of their own authority in administering HR records (AC1.7), the implications of not keeping HR records up-to-date (AC1.8) and the actions to be taken in the event of problems arising or incomplete or inaccurate data (AC1.9).

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

Unit 34: Administer the Recruitment and Selection Process

Unit reference number: A/506/1883

Level: 2

Credit value: 3

Guided learning hours: 25

Unit type: Competence

Unit summary

The administration function of HR plays a key role in the success of recruiting the right candidate and requires good organisational skills to ensure all activities occur at the correct time.

In this unit you will learn how to work through steps that ensure that the recruitment and selection process runs smoothly. You will be able to ensure that all arrangements for selection, interviews and appointments are organised successfully and prospective candidates and key members of staff have the information required in preparation for the recruitment and selection process.

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 recruitment and selection process	1.1 Explain the different administrative requirements of internal and external recruitment
	1.2 Describe the uses of a job description and a person specification
	1.3 Explain the administrative requirements of different methods of selection
	1.4 Explain the requirements of different pre-employment checks to be carried out
	1.5 Explain what information needs to be communicated to successful and unsuccessful applicants at each stage of the recruitment and selection process
	1.6 Explain the requirements of confidentiality, data protection and system security
2 Be able to administer the recruitment process	2.1 Check that the job or role details are correct and are in accordance with the brief
	2.2 Place job advertisements in the agreed media in accordance with the timescales
	2.3 Record applicant responses within the timescale
	2.4 Provide requested information to applicants in accordance with organisational policies and procedures
	2.5 Adhere to organisational policies and procedures, legal and ethical requirements

Learning outcomes	Assessment criteria
3 Be able to administer the selection process	3.1 Invite shortlisted applicants to participate in the selection process in accordance with organisational procedures
	3.2 Co-ordinate selection arrangements in accordance with the brief
	3.3 Carry out agreed pre-employment checks within the agreed timescale
	3.4 Inform applicants of the outcome of their application in accordance with organisational policies and procedures
	3.5 Keep selection records up-to-date

Unit amplification

AC1.1: **Explain the different administrative requirements of internal and external recruitment**

- *Internal:* advertisement posted on internal notice boards and intranet; send out application packs via post or electronically; keep records of responses from potential candidates; give support to potential candidates and key staff; collate applications; keep records of outcomes of applications; feedback to applicants

- *External:* advertisement in local newspapers and media; liaise with agencies or other parties in respect of the job vacancy if applicable; keep records of responses from potential candidates; collate applications; keep records of outcomes of applications; feedback to applicants

AC1.2: **Describe the uses of a job description and a person specification**

- *Job description:* to show attributes of the job; functions of the position; information on who the position reports to; salary band; possible location of the job

- *Person specification:* to give an outline of the skills and attributes a person must have to be able to fulfil the role, e.g. educational requirements; to match the right person to the right job; derived from the job description

AC1.3: **Explain the administrative requirements of different methods of selection**

- *Administrative requirements of methods of selection:* creating a shortlist of suitable candidates based on criteria; making pre-interview checks; organise suitable interview times with key staff and candidates; letters and/or emails to candidates who have been successful for interview; feedback to those candidates who have not been successful; responding to queries from prospective candidates

AC1.4: **Explain the requirements of different pre-employment checks to be carried out**

- *Requirements of pre-employment checks:* references from previous employment or character references; medical checks if applicable; criminal checks if applicable; right to work in the UK; social media checks if company policy

AC1.5: **Explain what information needs to be communicated to successful and unsuccessful applicants at each stage of the recruitment and selection process**

- *Unsuccessful:* feedback on not being shortlisted for interview; decision of the interview panel; feedback on the interview giving information on what went well and what could be improved; any skills or knowledge the candidate was lacking in; letter and/or email confirming candidate was unsuccessful

- *Successful:* information on interview date, time, location and anything they have to prepare ready for the interview; decision of the interview panel; feedback from the interview; potential start date; starting salary information; pension arrangements; letter of appointment; contract of employment

AC1.6: **Explain the requirements of confidentiality, data protection and system security**

- *Requirements of confidentiality, data protection and system security:* locking cabinets where records are stored; clearing desk of sensitive information; ensure permissions are in place on HR storage systems; person details are only shared with authorised personnel

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

Websites

www.gov.uk/browser/employing-people/recruiting-hiring - government UK: recruiting and hiring

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 3 is direct observation of the learner carrying out their work activities relating to administering the selection process. The primary source of evidence for demonstrating achievement of learning outcome 2 is work products showing job advertisements, records showing of applicant responses and emails and letters showing communication to applicants including any information that the applicant has requested etc.

The evidence from direct observation for learning outcome 3 could be supported by examining work products such as communication to applicants, e.g. emails, letters, records showing shortlisting and records and forms for pre-employment checks – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC3.1, AC3.2, AC3.3, AC3.4 and AC3.5. To achieve AC2.5, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements either through checklists or completed forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.2.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.4, AC2.5, AC3.3 and AC3.5) 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 the different administrative requirements of internal and external recruitment (AC1.1), the administrative requirements of different methods of selection (AC1.3), the requirements of different pre-employment checks to be carried out (AC1.4), information that needs to be communicated to successful and unsuccessful applicants at each stage of the recruitment and selection process (AC1.5) and the requirements of confidentiality, data protection and system security (AC1.6).

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

Unit 35: Administer Parking Dispensations

Unit reference number: R/506/1887

Level: 2

Credit value: 3

Guided learning hours: 25

Unit type: Competence

Unit summary

When dealing with the public in relation to parking dispensations, it is vital that all information is dealt with quickly and effectively so that the correct paperwork can be issued and decisions in relation to approval or decline are made with confidence. This unit also deals with the legal and regulatory bodies involved in the issuing of parking dispensations and the skills required to ensure all legislative requirements are met and adhered to.

In this unit you will learn how to identify key pieces of legislation that govern parking dispensations and how these rules fit in with your own role within the issuing organisation. You will also have the opportunity to communicate with the customers advising them on eligibility criteria and advising whether or not, as a result of your checks, a dispensation will be issued. You will have the opportunity to examine policies and procedures relevant to your organisation and identify your limits of authority within those documents.

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 administration of parking dispensations	1.1	Explain the scope and limits of their own responsibilities and authority in issuing parking dispensations
		1.2	Describe the legal and regulatory requirements relating to parking dispensations
		1.3	Describe the parking dispensation eligibility criteria and checks
		1.4	Describe organisational security and anti-fraud policies, procedures and processes
		1.5	Describe the features of software to manage the issues of permits, season tickets, suspensions, dispensations or waivers and blue badges
		1.6	Explain where to go for help when dealing with parking dispensations
2	Be able to process applications for parking dispensations	2.1	Advise customers of the eligibility criteria for parking dispensations
		2.2	Determine whether customers are eligible by matching the case to the criteria
		2.3	Clarify any areas of doubt or confusion with customers
		2.4	Carry out relevant checks in accordance with organisational procedures and legislative procedures
		2.5	Record the reasons for the decision as to whether or not to grant parking dispensations
		2.6	Maintain the requirements of confidentiality and data protection

Learning outcomes	Assessment criteria
3 Be able to issue parking dispensations	3.1 Communicate the decision and return related paperwork on parking dispensations to customers in accordance with organisational procedures
	3.2 Process payments and refunds in accordance with organisational procedures
	3.3 Keep records up-to-date
	3.4 Adhere to organisational policies and procedures, legal and ethical requirements

Unit amplification

AC1.1: Explain the scope and limits of their own responsibilities and authority in issuing parking dispensations

- 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: Describe the legal and regulatory requirements relating to parking dispensations

- *Legal and regulatory requirements:* Local Authorities (Transport Charges) Regulations 1998; Traffic Management Act 2004; Freedom of Information Act 2000; Data Protection Act; role of the Police and Civil Enforcement Officers in relation to dispensation of parking permits

AC1.3: Describe the parking dispensation eligibility criteria and checks

- *Parking dispensations eligibility criteria and checks:* customers have applied for dispensation within the required period of time; reasons for customers applying for a dispensation are valid and meet the organisational requirements; relevant documentation has been sent; decision has been communicated to customers in relation to approval or decline of an application within required period of time; relevant paperwork has been issued

AC1.4: Describe the organisational security and anti-fraud policies, procedures and processes

- 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: Describe the features of software to manage the issues of permits, season tickets, suspensions, dispensations or waivers and blue badges

- *Features of software:* logging of personal information against reference numbers; logging of date, time, location, person issuing; information visible to all internal users

AC1.6: Explain where to go for help when dealing with parking dispensations

- *Where to go for help:* supervisor; line manager; team leader; regulatory authority, e.g. Police; follow organisational policies and procedures where an issue arises

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

Websites

www.skillscfa.org - sector skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt 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 carrying out their work activities relating to administering parking dispensations.

The evidence from direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as communication to customers, e.g. emails, letters, records applications and the action that has been taken and databases – this provides further evidence to meet the requirements, for example AC2.1, AC2.3, AC2.4, AC2.5, AC2.6, AC3.1, AC3.2 and AC3.3. To achieve AC2.6 and AC3.4, learners need to provide evidence of maintaining the requirements of confidentiality and data protection and adhering to organisational policies and procedures, legal and ethical requirements either through checklists or completed forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC3.3.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.2, AC2.4, AC2.6, AC3.2 and AC3.4) 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 the scope and limits of their own responsibilities and authority in issuing parking dispensations (AC1.1) and where to go for help when dealing with parking dispensations (AC1.6).

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

Unit 36: Administer Finance

Unit reference number: R/506/1890

Level: 2

Credit value: 4

Guided learning hours: 21

Unit type: Competence

Unit summary

The finance department plays a key role in the survival of the organisation and it is important that accurate and up to date records are kept and that everyone in the department knows how to generate key documentation to ensure cash continually flows into the business.

In this unit you will learn how to identify who is responsible for ensuring payments are authorised in the company as well as ensuring that key documents which need to leave the department are done so in a timely manner. It is vital that activities within this area follow organisational policies and procedures and you will have the opportunity to work within these guidelines whilst carrying out your day-to-day duties.

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 finance for administrators	1.1 Describe organisational hierarchy and levels of authority for financial transactions
	1.2 Explain organisational systems for sales invoicing, purchasing, payments and receipts
	1.3 Describe the use of a purchase order, invoice, receipts and expenses
2 Be able to administer finance	2.1 Record income and expenditure in accordance with organisational policies and procedures
	2.2 Process purchase orders, invoices or expenses in accordance with organisational policies and procedures
	2.3 Process outgoing payments to the correct recipient
	2.4 Accept or allocate incoming payments in accordance with organisational policies

Unit amplification

AC1.1: **Describe organisational hierarchy and levels of authority for financial transactions**

- 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: **Explain organisational systems for sales invoicing, purchasing, payments and receipts**

- 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.

AC1.3: **Describe the use of a purchase order, invoice, receipts and expenses**

- *Purchase order:* document required before an item can be purchased; must be authorised or signed by correct staff; purchase order number should be quoted on the invoice; items listed on the purchase order must match those on the invoice
- *Invoice:* required document prior to a payment being made; must be signed by correct staff to ensure accuracy of amount and items; gives the total amount due to be paid, including VAT where required; how the final invoices are distributed
- *Receipts:* money coming into the company as a result of invoices paid, e.g. sales; other sources of income, e.g. funded projects; how invoices coming into the company are administered within the finance department
- *Expenses:* costs to the company, e.g. rent, salaries; how these expenses come into the company, e.g. via invoice; those expenses incurred by staff whilst working on behalf of the company whilst away from the office, e.g. mileage expenses, hotel expenses

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

Websites

www.skillscfa.org - sector skills council for Business Administration

Assessment

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

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

Wherever possible, centres should adopt 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 administering finance. Finance can relate to invoices, receipts, purchase orders and expenses either for the organisation or your team.

The evidence from the direct observation for learning outcome 2 could be supported by examining work products such as written or electronic records, spreadsheets, emails etc. – this provides further evidence to meet the requirements of AC2.1, AC2.2, AC2.3 and AC2.4. Witness testimony could be used to support the evidence from direct observation for AC2.4.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.2, AC2.3 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 the organisational systems for sale invoicing, purchasing, payments and receipts (AC1.2).

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

Unit 37: Buddy a Colleague to Develop their Skills

Unit reference number: **M/506/1895**

Level: **2**

Credit value: **3**

Guided learning hours: **19**

Unit type: **Competence**

Unit summary

Buddying is an important part of helping to develop skills and knowledge needed to carry out any role in an organisation. It will give you the opportunity work with a new member of staff in your organisation and introduce them to their new work colleagues and surroundings. It gives you the opportunity to pass on knowledge learned whilst being employed in the company and to help to solve day to problems that a new member of staff will encounter. You will also be able to develop your own leadership and people skills as well as develop the confidence of your buddy.

In this unit you will learn how to give positive and constructive criticism to a colleague working within the confines of the expectations of a buddy. You will have the opportunity to develop new techniques that will build a relationship with your buddy, skills you will be able to use in later life in different situations. Being a buddy means being organised and setting dates for monitoring and checking on progress, and creating action plans and sticking to them. You will get the opportunity to pass on your experience and give your buddy advice and guidance.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand how to buddy a colleague	1.1 Describe what is expected of a buddy
	1.2 Explain techniques to give positive feedback and constructive criticism
	1.3 Explain techniques to establish rapport with a buddy
2 Be able to plan to buddy a colleague	2.1 Agree which aspects of a colleague's work may benefit from buddying
	2.2 Confirm organisational requirements for standards of behaviour, presentation, communication and performance of a buddy colleague
	2.3 Agree a schedule of meetings that minimise disruption to business
	2.4 Agree specific, measurable, achievable, realistic and time-bound (SMART) buddying objectives
3 Be able to support a buddy colleague carrying out work activities	3.1 Remain unobtrusive while a buddy colleague carries out their work activities
	3.2 Provide examples of how to carry out tasks correctly
	3.3 Identify instances of good practice and areas for improvement through observation
	3.4 Praise a buddy colleague on well completed tasks
	3.5 Give constructive feedback on ways in which a buddy could improve performance
	3.6 Offer a buddy hints and tips based on personal experience

Unit amplification

AC1.1:   Describe what is expected of a buddy

- *Expectations of a buddy:* to give key information about the organisation and reduce uncertainty; introductions to key members of staff; advise on where to go for additional help if required; explain organisational processes and procedures; be a point of contact, e.g. support, advice, guidance; arrange regular meetings to check progress and answer questions; maintain confidentiality

AC1.2:   Explain techniques to give positive feedback and constructive criticism

- *Techniques to giving positive feedback and constructive criticism:* start and end with a compliment; keep eye contact at all times when giving feedback; use humour where applicable; be specific; include examples; choose a suitable time and place to deliver feedback

AC1.3:   Explain techniques to establish rapport with a buddy

- *Techniques to establish rapport:* be friendly and approachable; hold structured face to face meetings that are informative and build confidence; balance the talking between both people; be available when required to answer routine questions, this could be either face to face or via e-mail or telephone; work closely to improve the situation and make their introduction to the organisation a better experience; listen; validate thoughts and opinions of others

Information for tutors

Suggested resources

Books

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

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

Websites

www.mindtools.com/pages/article/newCDV_24.htm - mind tools: mentoring skills

www.mrc-bu.cam.ac.uk/documents/equality/MRC%20Guidance%20for%20 Mentors.pdf – the Medical Research Council: guidance for mentors

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

The evidence for demonstrating achievement of learning outcome 2 and learning outcome 3 is likely to come from a combination of direct observation of the learner acting within their role as a buddy, examination of the learner's work products, questions and answers (Q&A) and witness testimony. Buddying can relate to mentoring and shadowing and can refer to a new employee or an existing colleague.

The learner's work products for learning outcome 2 could include the agreed development plan for the buddy, notes from meetings, diary showing schedule meetings and records of relevant communications, e.g. emails – these would provide evidence for AC2.1, AC2.3, AC2.4. Q&A and/or witness testimony could be used to provide evidence for AC2.2.

The evidence from any direct observation for learning outcome 3 could be supported by examining work products such as reports, notes from meetings and record of communications to buddies, e.g. emails – this would provide further evidence to meet the assessment requirements, for example, AC3.3, AC3.4, AC3.5 and AC3.6. Witness testimony could be used to support the evidence from direct observation for all the assessment criteria in learning outcome 3. Q&A can be used to close any gaps in the evidence required, for example AC3.3 and AC3.6.

Questions and answers (Q&A) or learner diary could be used to meet the assessment requirements of learning outcome 1. It is good practice to relate the assessment of the knowledge with the competence activities carried out by the learner. For example, the learner could explain the techniques to give positive feedback and constructive criticism by drawing on how they have done this to meet AC3.5. Learners' responses must be at the appropriate breadth and depth to meet the level of demand of the knowledge assessment criteria; for example, the responses must have sufficient detail about the techniques to give positive feedback and constructive criticism (AC1.2) and the techniques to establish rapport with a buddy (AC1.3).

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

Unit 38: 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*
  - *Within an organisation:* e.g. line manager, HR department, organisation information systems
  - *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*
  - *Inside the organisation:* contract of employment; written terms and conditions; line manager; HR department; trade union representative
  - *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 - a government funded agency that provides advice on industrial relations and employment issues

www.cipd.co.uk - the professional body for HR and people development

www.hse.gov.uk - providing information on health and safety rights and responsibilities

www.legislation.gov.uk - published information on all UK legislation

www.skillscfa.org - the 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 in the Business Administration sector or should be allocated a theoretical occupation and organisation they can work from.

To achieve AC1.1, AC1.2 and AC1.3, learners need to explain where their occupation fits in the Business Administration 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 be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 39: Support Environmental Sustainability in a Business Environment

Unit reference number: R/506/1954

Level: 4

Credit value: 4

Guided learning hours: 38

Unit type: Competence

Unit summary

Sustainability and environmental issues are a growing concern for businesses. The impact of business activity on the environment and corporate behaviour has resulted in organisations exercising responsibility by integrating their operations with social and environmental concerns. Waste reduction and resource efficiency are important environmental issues to be addressed and organisations need to implement policies, procedures and audits to manage the impact and damage of work practices on the business environment.

In this unit you will investigate management of sustainability and the management of environmental issues within the context of a business organisation. You will demonstrate your understanding of the main concepts, environmental standards and legislation, which apply to a business environment that minimise environmental impact and meet the requirements of Duty of Care. You will demonstrate understanding of the importance of corporate social responsibility (CSR) and how this can be applied to promote and improve organisational environmental sustainability initiatives and targets within the organisation and the wider community. You will demonstrate effective techniques to evaluate sustainable working practices and develop a culture of commitment to environmental sustainability.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles supporting environmental sustainability in a business environment	1.1 Describe current legislation in relation to environmental sustainability in a business environment
	1.2 Explain government incentives that support environmental sustainability in a business environment
	1.3 Analyse the relationship between environmental sustainability and corporate social responsibility
	1.4 Explain the health and safety considerations for environmental sustainability and waste management
	1.5 Explain techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures
2 Be able to implement best practice in environmental sustainability in a business environment	2.1 Identify the environmental standards that are relevant to an organisation
	2.2 Evaluate the impact of an organisation's business on its environment
	2.3 Promote a culture of efficient consumption of energy in line with an organisation's energy management policies
	2.4 Establish procedures to minimise waste and maximise the recycling of materials
	2.5 Establish procedures to meet hazardous waste regulations
	2.6 Adhere to organisational policies and procedures, legal and ethical requirements when implementing best practice in a business environment

Unit amplification

AC1.1: **Describe current legislation in relation to environmental sustainability in a business environment**

- *Environmental sustainability*: definition; managing waste and recycling; using sustainable resources; reducing carbon footprint; improving work activities and production processes; pollution; monitoring impact of activities; identifying improvements

- *Current Legislation:* e.g. Environment Protection Act 1990; Duty of Care; handling, transporting and disposing of waste, e.g. hazardous and non-hazardous waste; Licensed Waste Contractors; Waste Electrical and Electronic Equipment Regulations 2006, Packaging Waste Regulations 2007; building regulations

AC1.2: **Explain government incentives that support environmental sustainability in a business environment**

- *Government incentives:* tax relief schemes, e.g. landfill; feed-in tariffs, e.g. renewable energy; grants, e.g. energy efficiency finance, motoring and transport, low carbon technologies

AC1.3: **Analyse the relationship between environmental sustainability and corporate social responsibility**

- *Corporate social responsibility:* definition; how organisations integrate social and environmental concerns into business operations; corporate governance; stakeholder and community engagement; human rights; 'green' initiatives; importance of ethical codes of practice, e.g. in sales and marketing, intellectual property; role and responsibility of the facilities manager, e.g. energy awareness training and signage, publishing initiatives, targets and results

- *Relationship:* commitment, e.g. environmental sustainability policies; environmental sustainability strategies; organisation values; reporting and disclosure

AC1.4: **Explain the health and safety considerations for environmental sustainability and waste management**

- *Waste management:* waste types, e.g. hazardous, non-hazardous; reusing and recycling; handling waste, e.g. protective clothing; disposal

- *Health and safety considerations:* current legislation; legal compliance; people, e.g. culture, commitment, training and development; environment, e.g. internal, external, ventilation, light, noise; equipment and machinery; accident prevention; fire protection

AC1.5: **Explain techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures**

- *Techniques:* environmental standards, e.g. ISO14001, Eco-Management Audit System (EMAS); Energy Efficiency Scheme; integration of standards with wider management systems; environmental review; environmental strategies and planning; benchmarking; internal audit and compliance

- *Management systems:* methods and systems of waste and energy management, e.g. using suitable tools, materials and equipment, setting targets, regular maintenance of equipment, re-use and recycling; benefits and methods of waste reduction; minimising risk of waste disposal to people and organisations; responsible purchasing; using eco-friendly products; importance of auditing; minimising environment impact through the supply chain; procedures for dealing with environment incidents; policies and practices to improve environmental awareness

- *Impact of issues:* legal compliance and statutory duties; loss of reputation, poor publicity; types of damage; methods for minimising impact of damage; corrective actions; monitoring impact of activities; identifying improvements

Information for tutors

Suggested resources

Books

Robertson M - *Sustainability Principles and Practices*, (Routledge, 2014) ISBN 9780415840187

Therivel R - *Strategic Environmental Assessment in Action,* 2nd edition (Routledge, 2010) ISBN 9781849710657

Websites

www.gov.uk - government website for all environment related departments, legislation and policies

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

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

Unit assessment guidance

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

The primary source of evidence for meeting the requirements of learning outcome 2 is direct observation of the learner carrying out their work activities relating to supporting environmental sustainability in a business environment.

The evidence from the direct observation for learning outcome 2 could be supported by examining work products such as development and implementation of policies, procedures and processes, environmental sustainability strategy documents, policies and processes, reports and non-verbal communication to colleagues and/or managers, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.3, AC2.4 and AC2.5. To achieve AC2.6, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when implementing best practice environmental sustainability in a business environment either through checklists and/or forms. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1, AC2.3, AC2.4 and AC2.5.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a questions and answers (Q&A), (AC1.1), or professional discussion where the learner demonstrates an understanding of the principles of supporting environmental sustainability in a business environment (AC1.2, AC1.3, AC1.4 and AC1.5). Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about government incentives that support environmental sustainability in a business environment (AC1.2), the relationship between environmental sustainability and corporate social responsibility (AC1.3), the health and safety considerations for environmental sustainability and waste management (AC1.4) and techniques to evaluate the impact of an organisation's environmental and sustainability policies and procedures (AC1.5). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as AC2.2 and AC2.3.

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

Unit 40: Resolve Administrative Problems

Unit reference number: D/506/1956

Level: 4

Credit value: 6

Guided learning hours: 56

Unit type: Competence

Unit summary

Problem solving is a key skill and it is one that can make a huge difference to your career. At work, problems are at the centre of what many people do every day, you are either solving a problem for a client, supporting those who are solving problems, or discovering new problems to solve.

The problems you face can be large or small, simple or complex, and easy or difficult to solve. Regardless of the nature of the problems, a fundamental part of every manager's role is finding ways to solve them. So, being a confident problem solver is important to your success. Much of that confidence comes from having a good process to use when approaching a problem. With a good process, you can solve problems quickly and effectively, without one, your solutions may be ineffective or you will get stuck and do nothing, sometimes with consequences.

In this unit you will learn skills and techniques that will help you identify and resolve a range of problems, associated specifically, to an administrative or business environment. You will develop an awareness of the importance of risk assessment as a preventative measure to avoid impact and risk when problems occur as well as reduce the effect. You will explore and implement techniques to monitor, manage, control and analyse the potential for problems. You will demonstrate effective selection and application of problem solving strategies within the context of identified administrative 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 principles underpinning the resolution of administrative problems	1.1	Evaluate the effectiveness of different types of information on an administrative function
		1.2	Explain the basis for selecting tools, techniques and strategies to analyse administrative functions
		1.3	Explain the constraints attached to the use of resources needed to resolve administrative problems
		1.4	Explain how to apply risk assessment and management techniques to identify and resolve administrative problems
		1.5	Analyse the effectiveness of different techniques used to resolve administrative problems
2	Be able to identify administrative problems	2.1	Collect information relevant to the administrative problem
		2.2	Use analytical techniques that are appropriate to the administrative problem
		2.3	Clarify whether an administrative problem is recurrent, intermittent or a sole instance
		2.4	Identify patterns of issues and problems
		2.5	Identify the likely cause of an administrative problem

Learning outcomes	Assessment criteria
3 Be able to resolve administrative problems	3.1 Select a strategy that is appropriate for the nature, scale, seriousness and priority of the administrative problem
	3.2 Develop a plan that addresses the administrative problem whilst minimising disruption to business
	3.3 Identify success criteria that are capable of measuring the effectiveness of solutions to solve administrative problems
	3.4 Implement a problem-solving plan within the agreed timescale and constraints
	3.5 Take action to ensure that systems and processes are capable of preventing future reoccurrences
	3.6 Evaluate the effectiveness of problem solving activities
	3.7 Adhere to organisational policies and procedures, legal and ethical requirements when resolving administrative problems

Unit amplification

AC1.1: Evaluate the effectiveness of different types of information on an administrative function

- *Types of information:* e.g. text, numbers, graphics, audio, video
- *Sources:* internal and external; primary and secondary; formal and informal; team workers; customers and other stakeholders
- *Information needs:* requirements analysis, e.g. strategic, tactical, operational; data requirements, e.g. inputs, outputs, processing activities; information distribution requirements, e.g. location, department, individual
- *Information requirements:* needs for information, e.g. internal, external storing information; information security; accuracy; relevance; outputs, e.g. payroll, invoicing, ordering, bookings, stock control, personnel records, goods tracking, decision making, marketing, customer service
- *Ways of storing information:* methods, e.g. paper based, ICT; location, e.g. local, remote, cloud; organisation of information; retrieval; archive; resources
- *Effectiveness of information:* people, e.g. users, stakeholders; process, e.g. flows, procedures, security, testing; technology, e.g. hardware, software, telecommunications; content, e.g. relevance, validity, level of detail, accuracy; risk; analysis; reporting; monitoring; reviewing

AC1.2: Explain the basis for selecting tools, techniques and strategies to analyse administrative functions

- *Business analysis tools and techniques*
  - *Business strategies and objectives:* strategy analysis, e.g. external business environment, internal capability; strategy definition; strategy implementation; performance management
  - *Investigation:* qualitative; quantitative; documenting results
  - *Consider perspectives:* stakeholder identification; stakeholder analysis; stakeholder management
  - *Analyse needs:* organisation modelling; business process analysis; business change identification
  - *Evaluate options:* options, e.g. identification, shortlist; business case, e.g. preparation, presentation
  - *Define requirements:* elicitation; analysis; development; modelling
  - *Manage change:* organisation; people; benefit management and realisation
- *Administrative functions:* human resources; sales and marketing; research and development; production/operations; customer service; finance and accounts; administration and IT

AC1.3: **Explain the constraints attached to the use of resources needed to resolve administrative problems**

- *Constraints attached to the use of resources*
  - *Time:* management; efficiencies; deadlines; working hours; delays
  - *People:* workforce numbers; skills and knowledge; management; stakeholders needs; expectations; abuse
  - *Physical resources:* technology; consumables; environmental, e.g. furniture, premises
  - *Environment:* space; waste; carbon footprint
  - *Information:* sufficiency; accuracy; validity; reliability; sources
  - Processes: workflows; productivity
  - *Costs:* budgets operating funds; salary payments; taxation; debt; credit
  - *Legal and ethical constraints:* relevant legislation; employment law; fraud

AC1.4: **Explain how to apply risk assessment and management techniques to identify and resolve administrative problems**

- *Risk assessment techniques:* assessments, e.g. impact, probability; contingency planning; project management; frequency; scale; how it affects quality of work; how it affects others
- *Risk management:* avoidance; reduction; transfer; acceptance; strategy, e.g. set objectives, identify risks, assess risks, treat risks, control risks, communicate and monitor

AC1.5: **Analyse the effectiveness of different techniques used to resolve administrative problems**

- *Administrative problems:* internal, e.g. people, processes, productivity, environment, resources, time, budget, information; external, e.g. suppliers, customers, legislation; business objectives
- *Measuring effectiveness:* objectives; efficiencies; relevance; appropriateness; review; evaluation; stakeholder perception; stakeholder satisfaction

Information for tutors

Suggested resources

Books

Cadle J, Paul D and Turner P - *Business Analysis Techniques: 72 Essential Skills for Success,* (BCS, 2010) ISBN 9781906124236

Hopkin P - *Fundamentals of Risk Management: Understanding, Evaluating and Implementing Effective Risk Management,* 2nd edition (Kogan Page, 2012)
ISBN 9780749465391

Weiss A. E. - *Key Business Solutions: Essential Problem-Solving Tools and Techniques that every Manager needs to know*, (Financial Times/Prentice Hall, 2011)
ISBN 9780273750291

Websites

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

qualifications.pearson.com - Pearson Qualifications: provide guidance for Wider Key Skills – Problem solving

www.mindtools.com - essential skills for an effective career

www.skillscfa.org – the Sector Skills council for Business Administration

Assessment

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

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

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

Unit assessment guidance

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

The primary source of evidence for meeting the requirements of learning outcome 2 and learning outcome 3 is direct observation of the learner carrying out their work activities relating to resolving administrative problems.

The evidence from the direct observation for learning outcome 2 and learning outcome 3 could be supported by examining work products such as minutes from meetings, action plans, briefings, reports, business analysis activities, operational observation and monitoring activities, records, e.g. problem solving plans, flow charts, spreadsheets, notes, forms etc. and non-verbal communication to colleagues, managers and/or customers, e.g. emails, letters etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.3, AC2.4, AC2.5, AC3.1, AC3.2, AC3.3, AC3.4 and AC3.5. To achieve AC3.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when resolving administrative problems either through checklists or forms. Witness testimony could be used to support the evidence from direct observation for this AC as well as for AC2.1, AC2.3 and AC2.5.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of resolving administrative problems. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the effectiveness of different types of information on an administrative function (AC1.1), the basis for selecting tools, techniques and strategies to analyse administrative functions (AC1.2), the constraints attached to the use of resources needed to resolve administrative problems (AC1.3), how to apply risk assessment and management techniques to identify and resolve administrative problems (AC1.4) and the effectiveness of different techniques used to resolve administrative problems (AC1.5). Reflective account can be used to support the evidence from professional discussion for learning outcome 1 as well as for AC2.2, AC2.3, AC2.4, AC2.5, AC3.1, AC3.2 and AC3.6.

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

Unit 41: Prepare Specification for Contract

Unit reference number: H/506/1957

Level: 4

Credit value: 4

Guided learning hours: 23

Unit type: Competence

Unit summary

In today's fast paced and ever changing business world, mergers, acquisitions tender and bidding opportunities are becoming the norm. Competitive tendering (bidding) is a widely used procurement method within government agencies and private sector organisations. The idea behind competitive tendering is that it forces suppliers to compete and consequently the purchaser and taxpayer will gain better 'value for money'.

A major portion of every organisation's operating cost is spent on outside goods and services. Based on this fact, executive management everywhere is determining that managing tenders, specifications, and contracts must emerge as a critical core competency if organisations are to increase revenue.

In this unit you will learn how to identify, prepare contract specifications for a range of contracts and agreements. You will demonstrate understanding of tendering processes and develop skills in the design of contract specifications. You will learn about contract specification parameters and how to comply with legal requirements required of the procurement process. You will demonstrate skills and techniques managing tender processes including communication of contract specifications and selection criteria with stakeholders and potential tenderers.

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles supporting the preparation of specifications for contracts	1.1 Explain the scope of contract specifications
	1.2 Explain the roles and interests of those who should be involved in a tender process
	1.3 Analyse the legal implications of a range of types of contracts and agreements
	1.4 Explain the requirements of confidentiality and data protection
	1.5 Evaluate the risks associated with procurement and tendering processes
	1.6 Explain the basis for the design of a tender evaluation process
2 Be able to prepare specifications for contracts	2.1 Confirm the requirements for the contract specification
	2.2 Draft contract specifications that meet the requirements including post-contractual requirements
	2.3 Specify the parameters of the contract in line with the requirements
	2.4 Provide sufficient information to enable potential suppliers to develop proposals that are capable of meeting the specification
	2.5 Define objective selection criteria to evaluate tender proposals
	2.6 Establish a selection process that meets organisational requirements
	2.7 Adhere to organisational policies and procedures, legal and ethical requirements when preparing specifications for contracts

Unit amplification

AC1.1: Explain the scope of contract specifications

- *Types of contract:* sale and purchase of a business agreement; partnership agreements; leases of a business premises; leases of plant and equipment, employment agreements
- *Format of business contract:* face to face; written; distance selling
- *Contract specifications*: offer and acceptance; intention to create legal relations; lawful consideration; capacity; legal formalities, e.g. terms and conditions
- *Matters covered in a contract*
    - Parties of the contract
    - Contract date
    - Definitions used in the contract
    - Goods and services being provided or received
    - Payment amount and payment date
    - Interest on late payments
    - Delivery dates or performance date for services
    - Insurance promises
    - Guarantee promises
    - Termination dates
    - Renewal terms
    - Damages for breach of contract
    - Special considerations

AC1.2: Explain the roles and interests of those who should be involved in a tender process

- *Roles of those who should be involved in a tender process:* internal, e.g. end user, initiator, preparer, reviewer, approver; external, e.g. potential tenderers, stakeholders, existing contractors, legal advisors
- *Responsibilities of those who should be involved in the tender process:* negotiate; support; manage; implement; evaluate; advise; supply

AC1.3: **Analyse the legal implications of a range of types of contracts and agreements**

- *Types of contracts and agreements:* public; non-public
- *Contract Law:* current legislation, e.g. Public Contracts Regulations 2006, EU Directives
- *Legal requirements of contracts:* formal agreements; intention to create legal relations
- *Contract requirements:* value for money; integrity, e.g. corruption, conflict of interest; accountability; equal opportunities; fair treatment; objectives, e.g. industrial, social, environmental; public markets, efficiency in procurement process

AC1.4: **Explain the requirements of confidentiality and data protection**

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

AC1.5: **Evaluate the risks associated with procurement and tendering processes**

- *Tendering process:* pre-qualification; invitation to tender; mid-tender; tender; presentation; award; delivery
- *Risks associated with procurement and tendering processes*
  - *Identifying the need:* understatement of need; overstatement of need; misinterpretation of user needs
  - *Planning and purchase:* insufficient funding; impractical timeframe; probity issues
  - *Developing the specification:* narrow definition or commercial specification; definition of inappropriate products or services; biased specification; inadequate statement of requirements
  - *Selecting the purchasing method:* failure to identify potential services; selecting inappropriate method
  - *Purchasing documentation:* terms and conditions unacceptable to tenderers; providing inadequate information
  - *Inviting, clarifying and closing offers:* failure to address enquiries from tenderers; favouritism in providing information; actual or perceived breach of confidentiality; insufficient number of responses, no responses from known suppliers
- *Evaluating offers:* failure to follow effective evaluation procedures; breaches of security; offers fail to meet needs; failure to identify a clear winner
- *Selecting the successful tenderer:* selecting an inappropriate/ appropriate supplier; selecting an inappropriate/appropriate product or service
- *Negotiations:* not matching expectations of buyer and tenderer; deadlock on details of agreement; failure to secure mandatory conditions; unfair or onerous contract requirements; contract fails to reflect the terms offered; creating a contract without delegate approval
- *Contract management:* variations, e.g. price and foreign exchange; unwillingness of supplier to accept contract; failure to fulfil conditions of contract; inadequate administration of contract; work commences ahead of contract acceptance; unauthorised increase in scope of work; loss of intellectual property; failure to meet liabilities of third parties, loss or damage of goods; key personnel not available
- *Evaluating the procurement process:* failure to evaluate procurement and management processes; failure to identify and address problems

AC1.6:   Explain the basis for the design of a tender evaluation process

- *Tenders:* conforming; non-conforming
- *Tender process compliance with mandatory criteria:* be complete; comply with the conditions; lodged on time; meet mandatory specifications
- *Tender evaluation process steps*
    - Evaluate compliance with objective criteria, e.g. mandatory, qualitative/non-cost criteria
    - Clarify offers, e.g. allowing correction of unintentional errors
    - Evaluate qualitative/non-cost criteria
    - Shortlist offers
    - Formal presentation from tenderers, including site visits and interviews
    - Calculate value for money, e.g. fitness for purpose, performance history, relative risk, flexibility to adapt to change, financial considerations
    - Compare offers
    - Seek clarification from referees
    - Apply due diligence
    - Write the evaluation report
    - Provide evaluation report to appropriate authorities for approval
    - Contract negotiations
    - Final approval process

Information for tutors

Suggested resources

Books

Farrington B and Lysons K - *Purchasing and Supply Chain Management*, 8th edition (Pearson, 2013) ISBN 9780273723684

Hamilton M - *Contract Law (Law Express Questions and Answers),* 2nd edition (Pearson, 2013) ISBN 9780273783671

Lewis H - *Bids, Tenders and Proposals: Winning Business Through Best Practice,* 4th edition (Kogan Page, 2012) ISBN 9780749465603

Websites

www.cips.org - professional body for purchasing and supply

www.skillscfa.org - sector skills council for Business Administration

Assessment

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

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

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

Unit assessment guidance

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

The primary source of evidence for meeting the requirements of learning outcome 2 is direct observation of the learner carrying out their work activities relating to preparing specifications for contracts.

The evidence from the direct observation for learning outcome 2 could be supported by examining work products such as notes from meetings, draft and final contract specifications, records and non-verbal communication to colleagues, managers, stakeholders and/or potential suppliers, e.g. emails etc. – this provides further evidence to meet the requirements, for example AC2.1, AC2.2, AC2.3, AC2.4, AC2.5 and AC2.6. To achieve AC2.7, learners need to provide evidence of adhering to organisational policies and procedures, legal and ethical requirements when preparing specifications for contracts either through checklists, forms and/or draft specifications. Witness testimony could be used to support the evidence from direct observation for this assessment criterion as well as for AC2.1 and AC2.4.

The primary source of evidence for meeting the requirements of learning outcome 1 could come from a professional discussion where the learner demonstrates an understanding of the principles of preparing specifications for contracts. Learners responses during the professional discussion must be at the appropriate breadth and depth to meet the level of demand for the knowledge assessment criteria; for example, the responses must have sufficient detail about the scope of contract specifications (AC1.1), the roles and interests of those who should be involved in a tender process (AC1.2), the legal implications of a range of types of contracts and agreements (AC1.3), the requirements of confidentiality and data protection (AC1.4), the risks associated with procurements and tendering processes (AC1.5) and the basis for the design of a tender evaluation process (AC1.6). Reflective account can be used to support the evidence from professional discussion for learning outcome 1.

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

Unit 42: Prepare Text from Notes Using Touch Typing

Unit reference number: K/506/1815

Level: 2

Credit value: 4

Guided learning hours: 26

Unit type: Competence

Unit summary

Preparing text from notes using touch-typing is a vital skill for an administrator that is involved in producing documents based on their or other people's notes. It is important that the text that is produced is accurate, formatted correctly and produced within given deadlines.

In this unit you will learn the importance of knowing who dictated the notes, the recipients of the text and why it is being sent. You will also learn about the problems that may arise when transcribing hand-written notes and how to make use of the features of technology to create, format and check text for accuracy.

You will learn about the consequences of not following the rules of grammar, punctuation and spelling correctly and how to proofread your work to make sure it is accurate.

Finally, you will learn the importance knowing and understanding your organisation's procedures for the storage, security and confidentiality of both documents and recordings.

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 create text from notes	1.1 Explain the importance of confirming the purpose of the text and intended audience
	1.2 Describe the problems that may occur in transcribing notes written by others
	1.3 Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content
	1.4 Explain how technology features can help to create, format and check the accuracy of text
	1.5 Describe ways of checking produced texts for accuracy and correctness
	1.6 Describe organisational procedures for the storage, security and confidentiality of information
2 Be able to produce text using touch typing	2.1 Agree the purpose, format and deadlines for texts
	2.2 Touch type texts at the speed and level of accuracy required by the organisation
	2.3 Check that the text is accurate and the meaning is clear and correct
	2.4 Store texts and original notes safely and securely following organisational procedures
	2.5 Present texts in the required formats and within the agreed timescales

Unit amplification

AC1.1: **Explain the importance of confirming the purpose of the text and intended audience**

- *Purpose: for information;* persuasion; negotiation; regulation
- *Intended audience:* in-house staff (in the UK and overseas); external customers (in the UK and overseas)
- *Importance:* meet deadlines; confidentiality constraints; formatting requirements; print requirements

AC1.2: **Describe the problems that may occur in transcribing notes written by others**

- *Problems when transcribing notes written by others:* inability to read handwriting; inability to make sense of what has been written; misinterpretation of unfamiliar vocabulary or technical vocabulary; correct interpretation of numerical data

AC1.3: **Explain the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content**

- *Consequences:* meaning of the text can be changed; organisation's reputation will suffer; wrong message may be communicated

AC1.4: **Explain how technology features can help to create, format and check the accuracy of text**

- *Technology features:* emboldening; italics; underscoring; automatic numbering and bullet points; tabular design; columns; text wrapping; spell and grammar checker; thesaurus; dictionaries; calculator; images; graphics
- *How features can help:* ease when formatting; makes documents look presentable and more professional; ensure accuracy

AC1.5: **Describe ways of checking produced texts for accuracy and correctness**

- *Checking for accuracy and correctness:* electronic spelling and grammar checks; personal proof reading; drafts to originator; figure checking; cross referencing if borrowed material

AC1.6: **Describe organisational procedures for the storage, security and confidentiality of 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.

Information for tutors

Suggested resources

Books

Lester M and Beason L - *Handbook of English Grammar and Usage,* 2nd edition (McGraw-Hill Contemporary, 2012) ISBN 9780071799904

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

Websites

ico.org.uk/for_organisations/data_protection/the_guide - guide to data protection

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 meet the assessment criteria, centres should apply the *Unit assessment guidance* provided and the requirements of the Assessment Strategy given below.

Wherever possible, centres should adopt 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 to ensure the learner is touch typing, work products such as text produced from notes, questions and answers (Q&A) and learner diary. The work products provide evidence to meet the requirements of AC2.3 and AC2.5. Witness testimony could also be used to support the evidence from work produces for these assessment criteria as well as AC2.1 and AC2.4.

Questions and answers (Q&A) could be used to corroborate the competence of the learner (e.g. for AC2.1, AC2.3 and AC2.4) as well as meeting the requirements of the knowledge learning outcome 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 the importance of confirming the purpose of the text and intended audience (AC1.1), the consequences of incorrect spelling, punctuation, grammar and sentence structure, and inaccurate content (AC1.3) and how technology features can help to create, format and check the accuracy of text (AC1.4).

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

Unit 43: 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: H*uman Resources policies, e.g. recruitment and promotion, working practices (flexible working), disciplinary and grievance, discrimination and harassment, pay and reward; service provision and customer service policies; procurement and sales policies

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

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

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

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

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

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

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

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

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

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

Information for tutors

Suggested resource

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 that provides guidance on the Equality Act 2010

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

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

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 be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 44: 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.

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

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, teamwork 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 be used within the unit to confirm competence.

Unit 45: 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 - website providing 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* and the requirements of the Assessment Strategy below.

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

Unit assessment requirements

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

Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Manage Individual Development in the Workplace.*

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 be used within the unit to confirm competence.

Unit 46: Manage Individuals' Development in the Workplace

Unit reference number: L/506/1922

Level: 3

Credit value: 3

Guided learning hours: 10

Unit type: Competence

Unit summary

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

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

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

Learning outcomes and assessment criteria

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

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

Information for tutors

Suggested resources

Books

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

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

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

Websites

www.acas.org.uk - the ACAS website provides a free advisory booklet on performance management - How to manage performance.

www.cipd.co.uk - the Chartered Institute of Personnel and Development have a variety of free factsheets available on issues such as performance appraisal

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following unit: *Manage Individuals' Performance.*

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

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

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

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

Unit 47: 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 – a range of videos providing advice on chairing meetings (use the search function to find appropriate videos)

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

There are opportunities to assess this unit holistically with the following 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 be used within the unit to confirm competence.

Unit 48: 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
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 be used within the unit to confirm competence. Wherever possible, the learning outcomes in this unit should be assessed holistically across the qualification.

Unit 49: 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* and the requirements of the Assessment Strategy below.

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

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

Unit 50: Implement Change

Unit reference number:	**T/506/1929**
Level:	**3**
Credit value:	**5**
Guided learning hours:	**28**
Unit type:	**Competence**

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

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

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

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

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

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

- *Change management:* coordination of a structured period of transition from situation A to situation B in order to achieve long lasting change within an organisation
- *Different contexts:* planned change; unplanned change
- *Change Management Models*
  - *Lewin's 3 Stage Change Model:* looks at the human aspects and factors for and against change; sees change as a process not an event; establishing stability can be difficult if next change is imminent
  - *Kotter's 8 Steps to change:* holistic approach to planned change; focus is on buy in employees as the focus for success; clear steps; can lead to employee frustration if needs not taken into consideration; top-down model; fits well with classical hierarchies
  - *Kubler-Ross 5 Stage Model:* captures individuals reaction to change; model assumes worse reaction to change; difficult to identify the transition between changes; difficult to apply to a group

- *ADKAR Model:* more modern model; encapsulates the business and individual dimensions of change; provides a clear management checklist; misses out on role of leadership to provide direction
- *Bridge's Transitional Model:* clarifies the physiological effect of change; not an independent change management model, used alongside other models

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

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

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

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

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

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

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

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

AC1.8:   Explain how to evaluate change management projects

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

Information for tutors

Suggested resources

Books

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

Kotter JP - *Leading Change* (Harvard Business Review Press, 2012)
ISBN 9781422186435

Websites

www.cipd.co.uk - the CIPD website provides factsheets to cover topics such as change management. Membership is required for full access to resources

www.managers.org.uk - the Chartered Management Institute is a professional body that provides professional support and advice. Membership is required for full access

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

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

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

Learner responses or statements to meet the requirements for AC1.1 to AC1.8 must be at a sufficient depth and breadth to meet the level of demand expected from explanation, evaluation and assessment. For example, the learner's response about the role of stakeholders (AC1.2) and the risks associated with change (AC1.4) should go beyond just statements but should include reasoning around why understanding the stakeholder role and carrying out a risk assessment would be important to the business.

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

Unit 51: Implement and Maintain Business Continuity Plans and Processes

Unit reference number: K/506/1930

Level: 3

Credit value: 4

Guided learning hours: 25

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

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

Information for tutors

Suggested resources

Books

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

Hotchkiss S - Business Continuity Management: In Practice (BCS, 2010)
ISBN 9781906124724

Websites

www.disasterrecovery.org - independent organisation that provides guidance and information disaster recovery and business continuity planning. Some free templates are provided on the site

www.gov.uk - HM Government have published a Business Continuity Management Toolkit: 'How prepared are you?'

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

To achieve this unit learners must be showing their ability to implement and maintain business continuity plans and processes. The main sources of evidence to meet learning outcome1, learning outcome and learning outcome 3 are a review of learners work products supported by professional discussion.

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

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

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

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

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

Unit 52: Participate in a Project

Unit reference number: F/506/1934

Level: 3

Credit value: 3

Guided learning hours: 19

Unit type: Competence

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* and the requirements of the Assessment Strategy below.

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

Unit assessment requirements

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

This unit is a barred combination with unit 58 (R/506/1999) Manage a Project

Unit assessment guidance

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

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

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

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

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

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

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

Unit 53: Develop and maintain professional networks

Unit reference number: J/506/1949

Level: 4

Credit value: 3

Guided learning hours: 15

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of effective networking	1.1 Describe the interpersonal skills needed for effective networking
	1.2 Explain the basis on which to choose networks to be developed
	1.3 Evaluate the role of shared agendas and conflict management in relationship-building
	1.4 Evaluate the role of the internet in business networking
	1.5 Assess the importance of following up leads and actions
	1.6 Analyse ethical issues relating to networking activities
2 Be able to identify professional networks for development	2.1 Identify potential networks for professional development from an analysis of their benefits compared with individual needs and aspirations
	2.2 Shortlist networks for development against defined criteria
	2.3 Assess the benefits and limitations of joining and maintaining selected network(s)
3 Be able to maintain professional networks	3.1 Identify the potential for mutual benefit with network members
	3.2 Promote their own skills, knowledge and competence to network members
	3.3 Provide information, services or support to network members where the potential for mutual benefit has been identified
	3.4 Establish the boundaries of confidentiality
	3.5 Agree guidelines for the exchange of information and resources

Learning outcomes	Assessment criteria
	3.6 Take action to ensure that participation in networks reflects current and defined future aspirations and needs
	3.7 Make introductions to people with common or complementary interest to and within networks

Unit amplification

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

- *Networking:* definition, i.e. the exchange of information or services among individuals, groups, or institutions; business networking, i.e. nurturing productive relationships for employment or business; social networking

- *Interpersonal skills:* e.g. communication skills (verbal and non-verbal), creating good first impressions, building rapport, empathy, courtesy, respect, tolerance, personal presentation

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

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

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

- *Role of shared agendas:* common purpose, shared commitment, diversity of knowledge and ideas, innovation

- *Cause of conflict:* power struggles, professional differences, barriers to communication, e.g. poor listening skills or sharing of information

- *Role of conflict management:* conflict can lead to new ideas and approaches; strengthens relationships; builds trust ; supports emotional awareness and self-management

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

- *Global network platforms:* social e.g. Facebook, Twitter; professional, e.g. LinkedIn, Plaxo, Biznik

- *Risks associated with internet networking:* e.g. hacking and posting of threatening online messages, cyber bullying

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

- *Generating leads:* set achievable goals; know your target audience; practice professional pitch; interact and contribute to group discussions; capture contact information

- *Importance:* e.g. to produce results; builds trust, reputation and relationships

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

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

Information for tutors

Suggested resources

Books

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

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

Websites

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

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

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

Unit 54: Develop and Implement an Operational Plan

Unit reference number: Y/506/1955

Level: 4

Credit value: 5

Guided learning hours: 24

Unit type: Competence

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of operational planning	1.1 Evaluate the use of risk analysis techniques in operational planning
	1.2 Explain the components of an operational plan
	1.3 Analyse the relationship between strategic and operational plans
	1.4 Evaluate the use of planning tools and techniques in the operational planning process
	1.5 Explain how to carry out a cost-benefit analysis
2 Be able to develop an operational plan	2.1 Identify specific, measurable, achievable, realistic and time-bound (SMART) objectives and key performance indicators (KPIs)
	2.2 Identify evaluation mechanisms appropriate to the plan
	2.3 Take action to ensure that plans are consistent with organisational strategy, objectives, values, policies and procedures
	2.4 Develop proportionate and targeted plans to manage identified risks
	2.5 Take action to ensure that plans complement and maximise synergy with other business areas
	2.6 Adhere to organisational policies and procedures, legal and ethical requirements
3 Be able to implement an operational plan	3.1 Implement plans within agreed budgets and timescales
	3.2 Communicate the requirements of the plans to those who will be affected
	3.3 Revise plans in the light of changing circumstances in accordance with strategic objectives and identified risks

Learning outcomes	Assessment criteria
4 Be able to evaluate the effectiveness of an operational plan	4.1 Conduct periodic reviews of the progress and effectiveness of the plans, using information from a range of sources
	4.2 Report on the effectiveness of operational plans in the appropriate format

Unit amplification

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

- *Risk management:* definition of risk; types of risks e.g. environmental uncertainty, supply chain, outsourcing, market, task loading; risk management process, i.e. identify hazards, assess hazards, make risk decisions, implement controls, supervise; risk probability

- *Risk analysis:* qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation

AC1.2:   Explain the components of an operational plan

- *Operational plan:* purpose, e.g. manages the use of resource to achieve the strategic objectives, direct the implementation of strategy, identifies responsibilities and tasks in line with strategic goals and objectives

- *Components of an operation plan:* varies across organisations; examples of components include, strategic goals and SMART objectives, activities and tasks to be completed, roles and responsibilities performance measures, KPIs, capacity requirements (human resources, time, systems, management structure), financial requirements, risk assessment and mitigation strategy

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

- *Operational plans:* short to medium term planning; five performance objectives, (cost, dependability, flexibility, quality and speed)

- *Strategic plans:* long term planning to focus an organisation's vision and priorities; strategic management responsibility; framework and basis for lower level planning

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

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

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

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

Information for tutors

Suggested resources

Books

Jones P and Robinson P - *Operations Management,* (OUP, 2012)
ISBN 9780199593583

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

Websites

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

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

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

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

Unit 55: Manage Physical Resources

Unit reference number: K/506/1989

Level: 4

Credit value: 4

Guided learning hours: 26

Unit type: Competence

Unit summary

Every organisation will need physical resources to enable them to function and operate efficiently and there will often be occasions when it is necessary to purchase new or updated resources. When considering the purchase of new resources there are several factors that need to be considered such as the cost, potential benefits and the need to follow organisation procedures in the procurement of any purchase.

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

Learning outcomes and assessment criteria

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

Learning outcomes		Assessment criteria	
1	Be able to identify the need for physical resources	1.1	Identify resource requirements from analyses of organisational needs
		1.2	Evaluate alternative options for obtaining physical resources
		1.3	Evaluate the impact on the organisation of introducing physical resources
		1.4	Identify the optimum option that meets operational requirements for physical resources
2	Be able to obtain physical resources	2.1	Develop a business case for physical resources that is supported by evidence, cost estimates, contingency arrangements and an analysis of likely benefits
		2.2	Obtain authorisation and financial commitment for the required expenditure
		2.3	Negotiate best value from contracts in accordance with organisational standards and procedures
		2.4	Adhere to organisational policies and procedures, legal and ethical requirements when obtaining physical resources
		2.5	Check that the physical resources received match those ordered
3	Be able to manage the use of physical resources	3.1	Take action to ensure physical resources are used in accordance with manufacturers' instructions
		3.2	Evaluate the efficiency of physical resources against agreed criteria
		3.3	Recommend improvements to the use of physical resources and associated working practices
		3.4	Analyse the benefits of effective equipment in the conservation of energy and the environment

Information for tutors

Suggested resources

Books

Barrat C and Whitehead M - *Buying for Business: Insights in Purchasing and Supply Management,* (John Wiley and Sons, 2004) ISBN 9780470092460

Chopra S and Meindl P - *Supply Chain Management: Strategy, Planning and Operation*, 4th edition (Pearson Education, 2009) ISBN 9780136094517

Christopher M - *Logistics and Supply Chain Management*, 4th edition (Financial Times/Prentice Hall, 2010) ISBN 9780273731122

Emmett S - *Supply Chain Management in 90 Minutes*, (Management Books 2000, 2004) ISBN 9781852524760

Institute of Leadership and Management - *Controlling Physical Resources (ILM Super Series)*, 4th edition (Pergamon, 2002) ISBN 9780750658867

Websites

www.supplymanagement.com - the Chartered Institute of Purchasing and Supply website provides up to date information on purchasing and supply news, laws, analysis and resources

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

The evidence to demonstrate achievement of the learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1 the learner's work products such as emails or minutes from meetings could be used to evidence where they have identified resource requirements, evaluated the alternative options for obtaining the resources, identified the optimum option and evaluated the impact of purchasing the resource (AC1.1, AC1.2, AC1.3, AC1.4). Alternatively, the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to demonstrate that the learner has satisfied the command verbs of identify and evaluate.

For learning outcome 2, the learner should use the resource need identified in learning outcome 1 to develop a business case for the physical resource. Work products such as emails, minutes from meetings, purchase orders and invoices could provide evidence for AC2.1 and AC2.2. Relevant sections from organisational policies and procedures supported by witness testimony will provide evidence for AC 2.3 and AC2.4. The signed delivery note highlighting that resources have been checked will provide evidence for AC2.5.

The evidence for learning outcome 3 could be generated by witness testimonies from a line manager or colleagues, which shows that actions have been taken to ensure that the resource purchased in learning outcome 2 is used in accordance with the instructions provided by the manufacturer (AC3.1). Work products such as emails or minutes from meetings could provide evidence on the evaluation of the efficiency of the resource and recommendations for improvements to the use of the resource (AC3.2 and AC3.3). Alternatively, the evidence could be provided in a professional discussion or a reflective account. The evidence must be in sufficient depth to satisfy the command verb of evaluate for AC3.2. A reflective account could be used to provide evidence for AC3.4, to demonstrate where the learner has analysed the benefits of effective equipment in the conservation of energy and the environment.

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

Unit 56: Prepare for and Support Quality Audits

Unit reference number: K/506/1992

Level: 4

Credit value: 3

Guided learning hours: 17

Unit type: Competence

Unit summary

In this unit you will learn how to prepare for and support quality audits. In order to do this you will understand the principles underpinning the management of quality in an organisation and how this contributes to meeting organisational objectives. By examining the advantages and limitations of using different quality techniques you will understand the importance of promoting a quality culture and how customer satisfaction drives continuous improvement to meet standards.

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

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

Learning outcomes and assessment criteria

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

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

Unit amplification

AC1.1: Analyse the principles of quality management

- *Quality management Theories:* e.g. W Edwards Deming - PDCA Cycle; Joseph M Juran - quality trilogy; Kaoru Ishikawa – total quality viewpoint, 7 basic tools of quality; Philip B Crosby – 14 steps to quality improvements, Zero Defects, Quality is Free; A V Feigenbaum - total quality control

- *Quality management terminology:* e.g. fitness for purpose, Total Quality Management (TQM), Quality Assurance (QA), continuous improvement (Kaizen), quality indicators, quality measures, e.g. financial measures, customer-based measures

- *ISO9001 8 Principles of quality management:* customer focus, leadership, involvement of people, process approach, system approach to management, continual improvement, factual approach to decision-making, mutually beneficial supplier relationship

AC1.2: Analyse the purpose and requirements of a range of quality standards

- *Quality standards:* e.g. International Standards ISO9000 series, British Standards Institute (BSI) BS5750, Investors in People, CE marking, Royal warrants

- *Analysis to include:* purpose, requirements, application and benefits in business operations

AC1.3: Analyse the advantages and limitations of a range of quality techniques

- *Quality techniques:* e.g. Six Sigma, TQM, Quality Circles, statistical process control, benchmarking

AC1.4: Assess how the management of quality contributes to the achievement of organisational objectives

- *Contribution to achievement of organisational objectives:* by promoting a quality culture, e.g. self-managed teams and quality circles, 'interlocking teams'; product innovation and quality; improved customer relationship; partnerships with suppliers; external auditing

- *Management of quality:* leadership and commitment; action planning on areas for improvement; setting clear organisational objectives; empowering, mentoring, counselling; delegating; responding to feedback

Information for tutors

Suggested resources

Books

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

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

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

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

Websites

www.efqm.org – the European Foundation for Quality Management website that promotes the Excellence Model through forums, training, events and information

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

Evidence to achieve this unit must come from the learner's work activities when preparing for and supporting quality audits.

Evidence to demonstrate learning outcomes 2 and 3 is likely to come from a combination of reviewing the learner's work products, witness testimony and professional discussion or reflective account. The learner's work products could include the completed audit documentation and any evidence of actions used to confirm document completion and action implementation (AC2.2 and AC2.3). Work products could also include meeting minutes or audit reports detailing what actions and timescales have been agreed and the improvement plan developed to address quality issues (AC3.2 and AC3.4). The assessor should review the work products and use them to support the professional discussion to evidence the knowledge and understanding underpinning the learner's performance. Within the professional discussion, the learner could discuss the importance of ensuring that records and documentation are complete (AC2.2 and AC2.3) and the criteria and process used to identify instances where business processes, quality standards and/or procedures could be improved (AC3.3). Alternatively, a reflective account could be used in a similar manner to assess the underpinning knowledge and understanding. Witness testimony from colleagues and the line manager should also be used to confirm that the learner has consistently met the requirements over a period of time well as to provide supporting evidence for assessment criteria such as AC2.4, AC3.1 and AC3.2.

Due to the cognitive demand of the assessment criteria in learning outcome 1, the evidence to confirm achievement would best come from a reflective account. If a reflective account is used for learning outcomes 2 and 3, it would be best to integrate the assessment of this learning outcome, giving the learner opportunity to link and apply their knowledge to workplace activities. For example, the learner could analyse the purpose and requirements of a range of quality standards in the content of how they are used to establish the quality requirements for the work audited. This enables the learner to make the relationship between the requirements of the relevant quality standards and the organisational quality requirements (AC1.1 and AC2.1). The learner's reflective account must be in sufficient depth and breadth to meet the level of demand of the operative verbs within AC1.1 to AC1.4. For example, for AC1.3, the learner needs to explain in depth a range of quality techniques, the advantages and limitations they have found with using these quality techniques and how they would use different techniques to improve on their practice in future quality audits.

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

Unit 57: Manage a Budget

Unit reference number:	**A/506/1995**
Level:	**4**
Credit value:	**4**
Guided learning hours:	**26**
Unit type:	**Competence**

Unit summary

In this unit you will learn how to set and manage a budget and evaluate how well it is meeting the organisation's need. This will involve assessing how the budget is reflecting the organisation's key strategic objectives, and whether it is showing up operating problems effectively, or revealing inefficiencies.

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

Learning outcomes and assessment criteria

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

Learning outcomes		Assessment criteria	
1	Understand how to identify financial requirements	1.1	Explain how to calculate the estimated costs of activities, resources and overheads needed to achieve objectives
		1.2	Analyse the components of a business case to meet organisational requirements
		1.3	Analyse the factors to be taken into account to secure the support of stakeholders
		1.4	Describe the business planning and budget-setting cycle
2	Understand how to set budgets	2.1	Explain the purposes of budget-setting
		2.2	Analyse the information needed to enable realistic budgets to be set
		2.3	Explain how to address contingencies
		2.4	Explain organisational policies and procedures on budget-setting
3	Be able to manage a budget	3.1	Use the budget to control performance and expenditure
		3.2	Identify the cause of variations from budget
		3.3	Explain the actions to be taken to address variations from budget
		3.4	Propose realistic revisions to budget, supporting recommendations with evidence
		3.5	Provide budget-related reports and information within agreed timescales
		3.6	Explain the actions to be taken in the event of suspected instances of fraud or malpractice
4	Be able to evaluate the use of a budget	4.1	Identify successes and areas for improvement in budget management
		4.2	Make recommendations to improve future budget setting and management

Unit amplification

AC1.1:   Explain how to calculate the estimated costs of activities, resources and overheads needed to achieve objectives

- *Types of costs and classification:* materials; labour; overheads; direct and indirect; fixed; variable and semi-variable
- *Costing methods:* job costing; batch costing; process costing; contract costing; service costing
- *Cost measurement:* absorption and marginal costing; traditional overhead absorption and activity-based costing; stock valuation methods (FIFO, LIFO, AVCO, standard costing)

AC1.2:   Analyse the components of a business case to meet organisational requirements

- *Components of a business case:* problem statement; statement of the benefits that address the concerns of all relevant stakeholders; likely risks and how they will addressed; basic plan of work with a timeline and key milestones; roles and responsibilities; alternatives; cost estimates and potential sources of funding

AC1.3:   Analyse the factors to be taken into account to secure the support of stakeholders

- *External factors:* competition; regulatory framework; economic factors and indicators; environment, e.g. green issues
- *Internal factors:* organisational objectives; management expertise; resources; financial position of the organisation

AC1.4:   Describe the business planning and budget-setting cycle

- *The business planning process:* purpose; benefits; links with organisational objectives/strategy; the budget manual; budgets as planning, coordinating, motivation and control devices
- *Budget-setting cycle:* limiting or key factors; master, subsidiary and functional budgets; cash budgets; the preparation of sales budget, debtors' budgets, creditors' budgets, production cost, raw materials and finished goods budgets

AC2.1:   Explain the purposes of budget-setting

- *Purposes:* e.g. planning the use of resources; forecasting; controlling the activities within the organisation; motivate individuals to achieve agreed performance levels; resolving conflict of interest between functional areas

AC2.2:   Analyse the information needed to enable realistic budgets to be set

- *Information:* costs, e.g. staff costs, materials, overheads; capital expenditure on machinery and equipment; budgets and other financial statements from previous year; current and previous sales estimates; business plan and strategy; profitability and liquidity ratios

AC2.3:   Explain how to address contingencies

- *Budget contingency:* covers unexpected costs; consideration of risk factors in budgeting process; advantages, e.g. risk management, budget performance; disadvantages, e.g. budgetary slick, strained

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

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

Information for tutors

Suggested resources

Books

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

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

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

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

Unit 58: Manage a Project

Unit reference number: R/506/1999

Level: 4

Credit value: 7

Guided learning hours: 38

Unit type: Competence

Unit summary

In this unit you will learn how to plan and manage a project and evaluate its effectiveness. You will gain an understanding of project management principles, methodologies and tools and techniques that may be used in any business.

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

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

- *Project management:* business case; stages in project life cycle, i.e. initiation, planning, execution, closure and evaluation; roles and responsibilities, e.g. project manager, project sponsor, project team members
- *Cost-benefit analysis:* definition (appraisal technique); purpose, e.g. assessing costs and benefits to determine the rate of return, evaluate project outcomes; analysis process including, identifying costs (physical and human resources, time) and benefits (tangible and intangible revenues) over project lifetime, allocating monetary value to costs and benefits, comparing value of costs and benefits; breakeven points; payback period

AC1.2: **Evaluate the use of risk analysis techniques**

- *Risk analysis:* qualitative techniques, e.g. probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement; quantitative techniques, e.g. schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation; use of documentation, e.g. risk log

AC1.3: **Evaluate project planning and management tools and techniques**

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

AC1.4: **Evaluate the impact of changes to project scope, schedule, finance, risk, quality and resources**

- *Impact of changes:* contingency plans e.g. increase resources, change methods; degree to which critical success factors are met; achievement of performance measures; positive outcomes; negative outcomes; implications i.e. internal, external; potential future developments, e.g. short term, long term

AC1.5: **Analyse the requirements of project governance arrangements**

- *Governance:* definition - set of policies, regulations, functions, processes, procedures and responsibilities that define establishment, management and control of projects, programmes and portfolios; principles of project governance
- *Three pillars of project governance:* structure (committee or steering group structure including stakeholder and user groups); people (role of sponsor relating to project manager and stakeholders); information (reports, issues, risks); roles and responsibilities

Information for tutors

Suggested resources

Books

Horine G – *Project Management Absolute Beginner's Guide,* 3rd edition (QUE Publishing, 2012) ISBN 9780789750105

Nokes S and Kelly S – *The Definitive Guide to Project Management: The Fast Track to Getting the Job Done on Time and on Budget,* 3rd edition (FT Publishing International, 2014) ISBN 9780273756378

Williams M – *The Principles of Project Management*, (SitePoint, 2008)
ISBN 9780980285864

Websites

www.apm.org.uk – the Association for Project Management website, providing articles on project management and information for practitioners on training and qualifications

Assessment

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

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

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

Unit assessment requirements

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

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

This unit is a barred combination with unit 52 (F/506/1934) Participate in a Project.

Unit assessment guidance

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

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

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

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

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

Unit 59: Manage Business Risk

Unit reference number: L/506/2004

Level: 4

Credit value: 6

Guided learning hours: 27

Unit type: Competence

Unit summary

Every organisation will face risks and each risk could be a potential threat to their success. Managing business risks is the process of identifying threats and then effectively implementing activities to manage or reduce the impact of the threats. This involves reviewing the business processes, identifying any potential threats and the consequences and then taking appropriate actions to address the potential threat.

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

Learning outcomes and assessment criteria

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

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

Unit amplification

AC1.1: Explain what is meant by business risk

- *Business risk:* definition; relationship between risk and probability; different types of business risks, i.e. strategic risks, compliance risks, financial risks, operational risks, reputational risks; emerging risks, e.g. cyber risks, environmental liability
- *Influencing factors:* internal factors; external factors; factors out of the control of the business; factors controllable by the business; increased business costs, increased competitors or competitor activity, changes in the economic climate, new UK and EU legislation or regulations

AC1.2: Analyse business risk identification theories and models

- *Techniques for identifying business risks:* e.g. risk analysis, risk management planning, business impact analysis, cost benefit analysis
- *Models for identifying risks:* SWOT analysis for identifying internal, external factors; PESTLE analysis, key external factors which impact on a business; SLEPT analysis, the social, legal, economic, political, technological influences; decision trees; Monte-Carlo technique, Delphi model

AC1.3: Explain measures and techniques to mitigate business risk

- *Risk management:* assessing and prioritising risks; analysing impact and consequences; level of risk, low, medium, high; implementing appropriate processes, methods and tools to manage risks; monitoring and reviewing processes
- *Reducing risks:* implement quality processes; mitigation strategies, e.g. avoidance, acceptance, transference, control

AC1.4: Explain their own level of authority in managing risk

- The knowledge to meet this AC depends on the particular organisational context and the learner's role in that context. Learners need to apply the knowledge specific to their organisation to meet this AC.
- *Level of authority:* roles; responsibilities; accountability

Information for tutors

Suggested resources

Books

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

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

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

Slack N et al - *Operations Management*, 6th edition (FT Prentice Hall, 2009) ISBN 9780273731603

Websites

europa.eu - the European Union website provides information on current EU legislation

www.gov.uk - the Government Services and Information website, where information on risk management can be found

www.hse.gov.uk - the Health and Safety Executive website that provides information on risk assessments

www.infoentrepreneurs.org - this website provides information on potential risks and risk management

www.managementhelp.org - this website provides a range of materials on risk management

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

To provide the evidence for this unit the learner will need to be involved in the process for identifying and managing business risks. The evidence to demonstrate achievement of all learning outcomes is likely to come from a combination of learner work products, professional discussion or reflective accounts and witness testimonies.

For learning outcome 1, the evidence could be provided in a professional discussion or a reflective account that explains what is meant by business risk and the measures and techniques to mitigate business risk AC1.1, AC1.3. Work products such as reports, emails or letters could be used to provide evidence for AC1.1, AC1.3 but must be in sufficient depth to satisfy the command verb of explain. A reflective account could be used to analyse the business risk identification theories and models (AC1.2). For AC1.4, the learner will need to explain in a professional discussion or a reflective account the level of authority they have in managing risk within their organisation.

For learning outcome 2, the learner could use witness testimonies from their line manager or colleagues, which show how they have monitored work in line with organisational risk procedures (AC2.1). Work products such as reports, letters or emails supported by witness testimonies could provide evidence on how the learner has identified potential risks using the agreed risk criteria and assessed the identified risks, their potential consequences and the probability of them happening (AC2.2 and AC2.3). Copies of written communication appropriately anonymised, to stakeholders on the likelihood of the risk, the potential consequences, any developments and the consequences would provide evidence for AC2.4 and AC3.4. A professional discussion or a reflective account could be used to explain the organisational business risk management policies (AC2.5).

For learning outcome 3, the learner will need to develop and implement risk management plans and processes that are appropriate for the risk, the available resources and in accordance with organisational requirements. The evidence for AC3.1 and AC3.2 will be copies of the risk management plans supported by witness testimonies from line manager or colleagues. For AC3.3, the learner will need to provide evidence that they have monitored and, where relevant, amended the risk management plans. A professional discussion or a reflective account could be used to evaluate the effectiveness of the actions taken and to identify possible areas for improvement (AC3.5).

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

Unit 60: Recruitment, Selection and Induction Practice

Unit reference number: R/506/2909

Level: 4

Credit value: 6

Guided learning hours: 33

Unit type: Competence

Unit summary

In this unit you will learn how to manage the recruitment, selection and induction processes to ensure the appointment of the most suitable people. As labour is both an expensive and valuable resource, it is important to ensure its use is planned and that staff of right calibre with suitable experience and expertise are recruited. The skills demanded by employers change as markets, technology, the legal framework and working practices change.

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

Learning outcomes and assessment criteria

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

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

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

Unit amplification

AC1.1: Explain workforce planning techniques

- *Workforce planning:* purpose, e.g. ensuring organisation has sufficient staff to enable efficient operation, clarify the future situation and the staffing implications; process stages, i.e. supply analysis, demand analysis, gap analysis, strategy development: techniques, e.g. scenario planning, trend analysis, impact analysis, Delphi technique

AC1.2: Describe the information needed to identify recruitment requirements

- *Analysis:* purpose, e.g. to meet increased or decreased volumes of business, employee turnover; job analysis, e.g. tasks, skills, qualifications, experience; current staffing levels; matching existing skills with skills requirements
- *Job description:* purpose, content, format, e.g. title, overall purpose of job, key accountabilities, scope of post, education, skills, experience, key result areas, terms and conditions
- *Person specification:* job title, essential and desirable attributes e.g. qualifications, training, experience, competences, special aptitudes, personality, interests

AC1.3: Assess the impact of an organisation's structure and culture on its recruitment and selection policies and practices

- *Organisational structures:* functional, product-based, geographically based, multi-functional and multi-divisional structures, matrix, centralisation and decentralisation
- *Organisational culture:* classification of organisational culture, e.g. power culture, role culture, task culture, person culture; cultural norms and symbols; values and beliefs; development of organisational culture, cultural issues
- *Impact of organisation's structure and culture on policies and practices:* selection based on values and work culture; reward and development strategies, e.g. pay, pension schemes, health care, flexible working, career breaks

AC1.4: Analyse the factors involved in establishing recruitment and selection criteria

- *Internal factors:* organisational needs, e.g. demand for products and services, new products and services, new markets, technological change, location of production; skills requirements; workforce profiles e.g. age, gender, ethnicity, ability
- *External factors:* supply of labour, labour costs; workforce skills; government policy; labour market competition; changing nature of work; employee expectations, e.g. full time, part time, permanent, temporary, casual work; demand for products and services

AC1.5: **Evaluate the suitability of different recruitment and selection methods for different roles**

- *Recruitment methods:* e.g. advertising in press or professional journals, advertising agencies, recruitment consultants, job centres, websites, networking
- *Selection methods:* e.g. assessment centres, interviews, ability tests, psychometric testing, biodata, references
- *Evaluation:* cost effectiveness of the process; rigour of methods used to ensure validity; achievement of new staff against benchmarks and targets; retention and development of staff

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

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

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

- *Legislative factors:* relating to equal opportunities (Equality Act 2010), discrimination, employment rights and responsibilities (Health and Safety at Work Act (1974), contractual terms and conditions, protection of personal data (Data Protection Act 1998)
- *Policies and procedures:* equality and diversity, working time, health and safety, pay, discipline, grievance, maternity/paternity, whistle blowing, smoking and drug use

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

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

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

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

Information for tutors

Suggested resources

Books

Armstrong M - *Armstrong's Handbook of Human Resource Management Practice*, 13th edition (Kogan Page, 2014) ISBN 9780749469641

Brown JN - *The Complete Guide to Recruitment: A Step-by-Step Approach to Selecting, Assessing and Hiring the Right People*, (Kogan Page, 2011)
ISBN 9780749459741

Yeung R - *Successful Interviewing and Recruitment (Creating Success)*, revised edition (Kogan Page, 2010) ISBN 9780749462222

Websites

www.acas.org.uk – the Advisory, Conciliation and Arbitration Service website, providing information on workplace problems, including the recruitment and induction advisory booklet

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

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

Assessment

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

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

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

Unit assessment requirements

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

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

Unit assessment guidance

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

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

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

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

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

Unit 61: Organise and Deliver Customer Service

Unit reference number: L/506/2150

Level: 3

Credit value: 5

Guided learning hours: 27

Unit type: Competence

Unit summary

This unit focuses on the requirements for organising and delivering customer service. Your role may or may not involve supervisory or management responsibilities but you will be expected to take some responsibility for the resources and systems you use that support the service you give.

You will learn about implications for customer service when promoting products and/or services. You will learn who should be involved in the organisation of customer service delivery and about the importance of differentiating between customers' wants, needs and expectations. You will understand how customers are segmented for the purpose of providing customer service delivery and how the analysis of the 'customer journey' is undertaken. Through your job role you will demonstrate your ability to plan for the delivery of customer service and your competence in delivering it.

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 organise customer service delivery	1.1 Explain how different methods of promoting products and/or services impact on customer service delivery
	1.2 Explain who should be involved in the organisation of customer service delivery
	1.3 Explain the importance of differentiating between customers' wants, needs and expectations
	1.4 Explain different ways of segmenting customer groups
	1.5 Explain how customer segmentation is used in organising customer service delivery
	1.6 Explain how to analyse the 'customer journey'
2 Be able to plan the delivery of customer service	2.1 Identify customers' needs and expectations
	2.2 Map the 'customer journey'
	2.3 Confirm that systems and structures are in place to enable the delivery of agreed standards of customer service
	2.4 Prepare the resources needed to deliver products and/or services to different types of customers
	2.5 Plan how to deal with unexpected additional workloads
	2.6 Allocate priorities to address points of service failure
3 Be able to deliver customer service	3.1 Take steps to ensure that the needs of customers are balanced with organisational objectives
	3.2 Agree realistic and achievable actions with customers
	3.3 Identify areas for improvement in their own customer service delivery
	3.4 Adapt their own customer service delivery to meet customers' changing expectations

Unit amplification

AC1.1: Explain how different methods of promoting products and/or services impact on customer service delivery

- *Methods of promoting goods and services:* advertising (media, print, online), outdoor, e.g. use of roadside advertising, aerial display; sales promotions, e.g. coupons, samples, competitions, new media, merchandising; public relations, e.g. sponsorships, special events, press releases, newsletters

- *Brand-Expectations-Experience cycle:* i.e. causal relationship across brand awareness, customer expectations, service delivery and customer experience; new models of customer service delivery in line with changes to marketing technologies

- *Impact on customer service delivery:* e.g. staff training and awareness of changes to product offer and promotional activities; updates to customer service knowledge base; changes to systems and procedures to align to promotional activities; alignment of staff attitudes and personal behaviours with corporate brand and image; changes in size of the customer service workforce and shift patterns; knowledge of advertising and promotional regulations

AC1.2: Explain who should be involved in the organisation of customer service delivery

- *Supervisor/line manager:* role e.g. training, auditing, day-to-day responsibility, supervision, source of help, dealing with queries/problems

- *Customer service roles*: customer facing, e.g. receptionist, contact centre worker, shop assistant, delivery driver

- *Staff not offering direct customer service:* e.g. cleaners, gardeners, engineers, entrance supervisors, account managers

AC1.3: Explain the importance of differentiating between customers' wants, needs and expectations

- *Customer wants:* definition (shaped by society and marketing); likely leads to product and/or service sale

- *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

- *Importance of differentiating:* focus on customer retention and customer loyalty instead of just making a one-time sale; creates a foundation to attract new customers, e.g. word-of-mouth advertising, customer recommendations; reduces customer defections; develops effective customer service delivery techniques and processes; reduces delivery costs; opportunity to increase sales through cross-selling and upselling

AC1.4:   Explain different ways of segmenting customer groups

- *Demographics:* e.g. age, gender, income size, occupation, religion, race, ethnicity
- *Geographic:* e.g. countries, cities, postal codes, counties, towns
- *Behavioural:* e.g. usage of product and/or service, knowledge and attitude to product, response to product, buying habits
- *Customer value-based:* e.g. revenue generated from customer, costs associated with retaining customer
- *Psychographic:* socio-economic groupings, e.g. social status, social grade; lifestyle, e.g. activities, interests, opinions, values and beliefs, personality

AC1.5:   Explain how customer segmentation is used in organising customer service delivery

- *Uses of segmentation:* identifies the specific needs of different customer groups, e.g. older customers, customers with disabilities; tailors service features to meet the needs of different customer segments; tailors communication techniques and language to demographic need; identifies additional services and/or products to meet needs; maximises opportunities to provide effective customer services; customer testing and service pilots

AC1.6:   Explain how to analyse the 'customer journey'

- *Customer journey:* i.e. series of interactions customers have with an organisation through all available interaction channels
- *Customer journey mapping:* definition (mapping customer experience across touch points); purpose, e.g. gives holistic view of the experience delivered by all customer-facing functions, strategic tool to enhance customer experience, improves customer service design
- *Customer journey mapping process*
  - identifying different types of customers and their needs
  - identifying the steps in the customer journey
  - identifying customer touch points, e.g. website, social media, telephone, face to face; owners of touch points; impact of touch points on customer experience; gaps in desired and current performance of touch points
  - assessing most important touch point and interactions; weighted importance of customer type and steps; identifying opportunities for moments of truth

Information for tutors

Suggested resources

Books

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

Fogli L - *Customer Service Delivery: Research and Best Practices – J-B SIOP Professional Practice Series,* (John Wiley & Sons, 2006) ISBN 9780787976200

Leland K and Bailey K - *Customer Service for Dummies,* (John Wiley & Sons, 2006) ISBN 9780471768692

Sylvester M and Ahmi M - *Living Service*, (Financial Times/Prentice Hall, 2008) ISBN 9780273715351

Websites

www.instituteofcustomerservice.com - the ICS website provides information and guidance on many aspects of customer service

Other

Customer Focus magazine - produced by the Institute of Customer Service. Provides information on customer service practice, including topical issues relating to the customer service industry

Assessment

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

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

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

Unit assessment requirements

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

Unit assessment guidance

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

To achieve this unit the learner needs to provide evidence that they can consistently plan and deliver customer service in line with their organisational standards and requirements, to different types of customers and in different circumstances, e.g. during very busy periods and in situations where systems, people or resources are unavailable or ineffective. The learner could be planning and delivering customer service to external or internal customers.

The evidence to demonstrate achievement of learning outcomes 2 and 3 will likely come from a combination of direct observation of the learner carrying out their work activities, examination of the learner's work products, professional discussion and witness testimony. For learning outcome 2, the learner's work products such as personal planning notes/records, customer journey mapping documents (e.g. diagrams, customer needs analysis) and records of communications with colleagues (e.g. emails, meeting notes) should be reviewed by the assessor and used to support the professional discussion to evidence the underpinning knowledge and understanding. If the work products are as a result of a wider team activity (e.g. the customer journey mapping), then the learner needs to identify their role and personal contribution to the activity and the work products. In the professional discussion, the learner could explain how their planning and preparation differed according to the type of customer, the basis for their plans to deal with unexpected workloads and service failures, and how these plans align with their responsibilities to maintain consistent service as well follow their organisational procedures (AC2.4, AC2.5 and AC2.6).

For learning outcome 3, evidence from direct observations of the learner dealing with customers should be supported with a professional discussion around the learner's performance and work products to evidence the learner's underlying knowledge and understanding. The learner's work products could include records of actions agreed with customers, notes/records relating to areas for improvements and relevant communications with colleagues and/or customers. The professional discussion could focus on the basis for the actions agreed with different customers, how they balanced the needs of customers with the organisation's objectives and how they have adapted their own customer service delivery in light of the improvements identified (AC3.1, AC3.2, AC3.3 and AC3.4).

For learning outcomes 2 and 3, witness testimony from colleagues and their line manager should be used to confirm that the learner has consistently met the requirements over a period of time.

Evidence to confirm achievement of learning outcome 1 could be integrated into the professional discussion for learning outcomes 2 and 3, giving the learner the opportunity to link and apply their knowledge to their work activities. For example, the learner could comment on the customer journey mapping, explaining how it was done, the need for each stage in the process and how the outcomes were used in planning the delivery of customer service. This would link AC1.6 to AC2.2. Similarly, the learner could explain the use of customer segmentation in relation to their preparation and delivery of customer service to different types of customers; this links AC1.4 and AC1.5 to AC2.4 and AC3.1. The learner's responses must be at a sufficient depth and breadth to meet the level of demand expected from an explanation.

Throughout the assessment of this unit the use of a reflective account is a suitable alternative to professional discussion. If this is used, the learner should reflect on their planning and delivery of customer service to address similar knowledge and understanding requirements as outlined above for the professional discussion.

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

Unit 62: 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
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

Learning outcomes	Assessment criteria
432	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* and the requirements of the Assessment Strategy below.

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

Unit assessment requirements

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

Unit assessment guidance

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

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

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

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

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

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

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

Unit 63: Using Email

Unit reference number: T/502/4301

Level: 3

Credit value: 3

Guided learning hours: 20

Unit type: Competence

Unit summary

For an administrator email is often one of the primary methods for communicating and sharing information. This unit is about the skills and knowledge required to make more efficient use of email software tools to send, receive and store messages for complex and non-routine activities.

In this unit you will develop the skills to use and manage email effectively. You will use advanced email tools, functions and techniques that are complex and require new learning and, at times, will involve having the idea that there could be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and learn how to operate email in an efficient and effective manner.

You will utilise multi-step and complex techniques and will learn to solve problems in order to improve your ability to communicate.

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 Use e-mail software tools and techniques to compose and send messages	1.1 Select and use software tools to compose and format e-mail messages, including attachments
	1.2 Explain methods to improve message transmission
	1.3 Send e-mail messages to individuals and groups
	1.4 Explain why and how to stay safe and respect others when using e-mail
	1.5 Use an address book to manage contact information
2 Manage use of e-mail software effectively	2.1 Develop and communicate guidelines and procedures for using e-mail effectively
	2.2 Read and respond appropriately to e-mail messages and attachments
	2.3 Use email software tools and techniques to automate responses
	2.4 Explain why, how and when to archive messages
	2.5 Organise, store and archive e-mail messages effectively
	2.6 Customise e-mail software to make it easier to use
	2.7 Explain how to minimise e-mail problems
	2.8 Respond appropriately to email problems

Information for tutors

Suggested resources

Books

Dyszel B - *Outlook 2013 for Dummies*, (John Wiley & Sons, 2013)
ISBN 9781118490464

Cox J and Lambert J - *Microsoft Outlook 2013 Step by Step*, (Microsoft Press, 2013)
ISBN 9780735669093

Websites

www.gcflearnfree.org/email101 - Website with learning resources for the use of email

www.mozilla.org/en-US/thunderbird - Free email application

office.microsoft.com/en-gb/outlook-help/training-courses-for-outlook-2013-HA104032127.aspx - training courses for Microsoft Outlook 2013

Assessment

This unit is internally assessed. To pass the 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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

Where possible, a holistic approach to assessment is suggested throughout this unit. However, this unit is task based and could prove difficult to achieve in one set context. It is envisaged that this unit will be assessed through various work-related topics relevant to the learners.

For learning outcomes 1 and 2, the primary assessment method is likely to be direct observation; however, work products in the form of screen captures, screen recordings, email printouts and extracts from server/client logs produced in the course of completing work tasks could also be used. It is advised that a learner diary is used to record evidence against each assessment criteria.

The unit involves sending, receiving and organising email. For security and privacy reasons, it would be sensible to perform most of these email operations using a private mail server. This could also help in collecting evidence and generating controlled problems.

For learning outcome 1, learners will need to compose and send a number of emails. For AC1.2 and AC1.4, the 'explain' requirement could be evidenced through discussion with the assessor, where the learner should relate the responses to their work activities.

Learning outcome 2 is concerned with the management of email. For AC2.1, learners may already be familiar with workplace policies for email. Assessors should ensure that the evidence shows the development process, and not simply a set of existing guidelines. Evidence could be presented in the form of a report or information leaflet for colleagues.

Throughout learning outcome 2 learners need to ensure that they are complying with organisational policies and conventions for the use and storage of email. The ability to automate responses (AC2.3), archive (AC2.4), organise email (AC2.5) and customise software (AC2.6) will, to some extent, depend on the email system being used.

For AC2.4 and AC2.7, professional discussion or reflective account could be used to explain how the learner archives messages and minimises email problems. The assessor will need to ensure that the content of the account captures the requirements of the Assessment Criteria.

For AC2.8, learners will need to respond to email problems. Some problems may arise naturally as a result of work based email communication and therefore could be assessed through work product in the form of email trails showing the problem and the resolution, or copies of error/diagnostic reports; however, an alternative form of assessment could be through discussion about problems previously encountered.

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

Unit 64: Word Processing Software

Unit reference number: Y/502/4629

Level: 3

Credit value: 6

Guided learning hours: 45

Unit type: Competence

Unit summary

Administrators use word processing software in virtually every business. This unit is about the skills and knowledge required by an administrator to select and use a range of advanced word processing software tools and techniques to produce complex and non-routine documents.

In this unit you will develop the skills to create, modify and evaluate multi-page documents. You will use advanced word processing tools, functions and techniques that are complex, require new learning and, at times, will involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach to learn how to create and work with documents in an efficient and effective manner.

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 Enter and combine text and other information accurately within word processing documents	1.1 Summarise what types of information are needed for the document and how they should be linked or integrated
	1.2 Use appropriate techniques to enter text and other types of information accurately and efficiently
	1.3 Create, use and modify appropriate templates for different types of documents
	1.4 Explain how to combine and merge information from other software or multiple documents
	1.5 Combine and merge information within a document from a range of sources
	1.6 Store and retrieve document and associated files effectively, in line with local guidelines and conventions where available
	1.7 Select and use tools and techniques to work with multiple documents or users
	1.8 Customise interface to meet needs
2 Create and modify appropriate layouts, structures and styles for word processing documents	2.1 Analyse and explain the requirements for structure and style
	2.2 Create, use and modify columns, tables and forms to organise information
	2.3 Define and modify styles for document elements
	2.4 Select and use tools and techniques to organise and structure long documents

Learning outcomes	Assessment criteria
3 Use word processing software tools and techniques to format and present documents effectively to meet requirements	3.1 Explain how the information should be formatted to aid meaning 3.2 Select and use appropriate techniques to format characters and paragraphs 3.3 Select and use appropriate page and section layouts to present and print multi-page and multi-section documents 3.4 Check documents meet needs, using IT tools and making corrections as necessary 3.5 Evaluate the quality of the documents produced to ensure they are fit for purpose 3.6 Respond appropriately to any quality problems with documents to ensure that outcomes meet needs and are fit for purpose

Information for tutors

Suggested resources

Books

Goodkin D - *Word 2013 for Dummies*, (John Wiley & Sons, 2013)
ISBN 9781118491232

Cox J and Lambert J - *Microsoft Word 2013 Step by Step*, (Microsoft Press, 2013)
ISBN 9780735669123

Websites

www.libreoffice.org/discover - free word processing application

https://office.microsoft.com/en-us/word-help/training-courses-for-word-2013-HA104030981.aspx - training courses for Microsoft Word 2013 application

www.tutorialsforopenoffice.org/category_index/wordprocessing.html - tutorial resources for Open Office Word processing applications

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

A holistic approach to assessment is suggested for this unit. Assessors should encourage learners to capture and record evidence as an ongoing process at each stage of development. Therefore, the primary assessment method is likely to be direct observation; however, work products in the form of annotated screen captures, screen recordings and printouts of the completed documents could also be used. Evidence can also come in the form of professional discussions.

Work product evidence could be used to assess elements of all three learning outcomes. For example, the design elements could be evidenced through design documents, e.g. annotations to the task brief, data sources, templates, style specifications (AC1.3; AC1.5; AC1.6). The selection of tools could be evidenced by annotations to briefs (AC1.7 and AC2.4), and the selection of techniques and layouts could be evidenced by annotations to briefs (AC3.2 and AC3.3). In all instances, the work products should be supported with planned professional discussion or question and answer (Q&A) sessions with the assessor.

For learning outcome 1, learners will need to design and create word-processed documents. This could be assessed through the planning and creation of an appropriate set of documents.

Evidence to confirm achievement of AC1.1 and AC1.4 could come from a professional discussion based on the learner's related work activities and work products. For example, the learner could use an appropriate piece of work product to explain how they have combined and merged information from other software to create it.

For AC1.6, where local guidelines are in force, learners will need to demonstrate that they have copies of those guidelines.

For AC2.1, the 'analyse' and 'explain' requirement could be evidenced by annotations to the briefs or professional discussion based on the learner's related work activities and work products. For example, the learner could use an appropriate piece of work product to explain how they have applied appropriate requirements for structure and style.

For AC3.1, the 'explain' requirement could be assessed through professional discussion where the learner explains instances of when they have formatted documents to aid meaning.

AC3.5 and AC3.6 could be assessed through work product evidence in the form of annotated documents or reports showing how the learner has evaluated and responded to quality issues with them. This could be supplemented with examples of communications with colleagues showing how a dialogue has been maintained when addressing the quality of documents.

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

Unit 65: Website Software

Unit reference number: Y/502/4632

Level: 3

Credit value: 5

Guided learning hours: 40

Unit type: Competence

Unit summary

In the modern business world websites have become an increasingly important tool for most business to communicate with their customers. This unit is about the skills and knowledge required by an administrator to select and use a range of advanced website software tools and techniques to develop multiple-page websites with multimedia and interactive features.

In this unit you will develop the skills to plan, create, test and publish websites for specified purposes.

You will use advanced software tools, functions and techniques that are complex, require new learning and, at times, will involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach to learn how to create and maintain websites in an efficient and effective manner.

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 Create structures and styles and use them to produce websites	1.1 Determine what website content and layout will be needed for each page and for the site
	1.2 Plan and create web page templates to layout content
	1.3 Select and use website features and structures to enhance website navigation and functionality
	1.4 Create, select and use styles to enhance website consistency and readability
	1.5 Provide guidance on laws, guidelines and constraints that affect the content and use of websites
	1.6 Explain what access issues may need to be taken into account
	1.7 Explain when and why to use different file types for saving content
	1.8 Store and retrieve files effectively, in line with local guidelines and conventions where available
2 Select and use website software tools and features to develop multiple page websites with multimedia and interactive features	2.1 Prepare content for web pages so that it is ready for editing and formatting
	2.2 Organise and combine information needed for web pages in line with any copyright constraints, including across different software
	2.3 Select and use appropriate editing and formatting techniques to aid meaning
	2.4 Select and use appropriate programming and development techniques to add features and enhance websites
	2.5 Select and use file formats that make information easier to download
	2.6 Check web pages meet needs, using IT tools and making corrections as necessary

Learning outcomes	Assessment criteria
3 Publish and test multiple page websites with multimedia and interactive features	3.1 Select and use appropriate testing methods to check that all elements and features of complex websites are working as planned
	3.2 Identify any quality problems with websites and explain how to respond to them
	3.3 Select and use an appropriate programme to upload and publish the website and make sure that it will download efficiently
	3.4 Respond appropriately to quality problems with websites to ensure outcomes are fit for purpose

Information for tutors

Suggested resources

Books

The textbooks used depend on which web design software is used. The software manufacturer's user guides and resources are often sufficient for the level of work required in this unit. Third party user guides such as in-house tutorials, may also be available.

Generic books:

Crowder DA - *Building a Web Site for Dummies*, 4th edition (John Wiley & Sons, 2010) ISBN 9780470560938

Stephens B - *Website Design Guide for Private and Business Users: Introductory Concepts and Techniques Demystified For Beginners*, (CreateSpace Independent Publishing Platform, 2013) ISBN 9781492104155

Websites

www.coffeecup.com - source of website building software

www.serif.com/web-design-software/ - free, simple web design software

www.google.co.uk/webdesigner/ - web design software from Google

Most web design packages have their own websites/help pages. These are often sufficient for the level of work required in this unit.

Where the official websites/help pages have insufficient information, learners should consider using:

● raising support tickets with the software manufacturer

● in-house/intranet pages

● third party technical sites e.g. forums, expert blogs

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

A holistic approach to assessment is suggested for this unit. Assessors should encourage learners to capture and record evidence as an on-going process at each stage of development. Assessment evidence will primarily come in the form of work product documentation created in the performance of the tasks, and printed annotated screenshots, highlighting the formatting and layout of work. Evidence can also be gathered through professional discussions and question and answer (Q&A) sessions.

For AC1.1; AC1.2; AC1.3 and AC1.4, the design aspects of websites could be evidenced through design documents that the learners have produced during their work activity, for example, template drawings, site maps, and style specifications.

For the practical elements of learning outcome 1, the primary assessment method is likely to be direct observation; however, work products in the form of screen captures, screen recordings and printouts of HTML or other code could be used.

The selection of features for AC1.3 could be evidenced by annotations to design documents or printouts.

For AC1.5, laws, guidelines and constraints, and AC1.6, access issues, could be dealt with together, as many access issues are bound up with disability laws and company policies. For assessment of AC1.6 Learners will need to ensure that they have copies of any local guidelines/policies and be aware of any foreign laws that apply, for example, if a website is for a company with an international presence.

For AC1.6 and AC1.7, professional discussions or reflective accounts could be used for the learner to explain access issues to be considered and to recount where they have used different file types. The explanation of which file types to use should address a representative range of content and not be restricted solely to that used in learning outcome 1.

For AC1.8, where local guidelines are in force, learners will need to ensure they have copies of those guidelines.

For learning outcome 2, multiple-page, multimedia websites could be developed from sites produced in learning outcome 1, or as new sites. Learning outcome 2 could be assessed through direct observation, or work products relating to the planning and creation of an appropriate website. For example, the design elements could be in the form of design documents showing annotations to the task brief, data sources, templates, style specifications, site maps or storyboards.

The selection aspects for AC2.3; AC2.4 and AC2.5 could be evidenced by annotations to design documents or printouts and AC2.6 could be evidenced through communications and with colleagues, such as emails, showing how each of the website brief requirements have been met.

For learning outcome 3, the multiple-page, multimedia websites used are likely to be sites produced in learning outcome 2, but could be new sites. The testing process in AC3.1 is likely to lead to the discovery of problems addressed in AC3.2. The 'explain' requirement of AC 3.2 could be evidenced by a discussion with the assessor.

AC3.2 could be assessed through professional discussion where the learner explains how they have identified and responded to problems with websites.

For AC3.1; AC3.3 and AC3.4, assessment could be through direct observation of the learner using testing methods, appropriate programmes to upload and publish on either the internet or intranet, and responding to website problems. This evidence could be supplemented with work product in the form of screen recordings and logs from transfer software. If the websites are uploaded to an intranet, server logs could also be used. On the Internet, logs from on-line testing resources might be suitable.

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

Unit 66: Spreadsheet Software

Unit reference number: J/502/4626

Level: 3

Credit value: 6

Guided learning hours: 45

Unit type: Competence

Unit summary

Many businesses use spreadsheet software for the reporting and presentation of data such as tracking orders, sales figures or finances. This unit is about the skills and knowledge required by an administrator to select and use a wide range of advanced spreadsheet software tools and techniques to produce, present and check complex and non-routine spreadsheets.

In this unit you will develop skills to input, manipulate and output data, using complex and non-routine techniques to analyse and interpret the required information. You will use complex and non-routine knowledge and understanding, for example, data restrictions, data validation using formula, pivot tables, data maps to set up and develop the functionality of spreadsheets in work-based scenarios.

You will use advanced spreadsheet tools, functions and techniques that are complex, require new learning and, at times, will involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach to learn how to operate a complex spreadsheet in an efficient and effective manner.

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 Use a spreadsheet to enter, edit and organise numerical and other data	1.1 Identify what numerical and other information is needed in the spreadsheet and how it should be structured
	1.2 Enter and edit numerical and other data accurately
	1.3 Combine and link data from different sources
	1.4 Store and retrieve spreadsheet files effectively, in line with local guidelines and conventions where available
2 Select and use appropriate formulas and data analysis tools and techniques to meet requirements	2.1 Explain what methods can be used to summarise, analyse and interpret spreadsheet data and when to use them
	2.2 Select and use a wide range of appropriate functions and formulas to meet calculation requirements
	2.3 Select and use a range of tools and techniques to analyse and interpret data to meet requirements
	2.4 Select and use forecasting tools and techniques
3 Use tools and techniques to present, and format and publish spreadsheet information	3.1 Explain how to present and format spreadsheet information effectively to meet needs
	3.2 Select and use appropriate tools and techniques to format spreadsheet cells, rows, columns and worksheets effectively
	3.3 Select and use appropriate tools and techniques to generate, develop and format charts and graphs
	3.4 Select and use appropriate page layout to present, print and publish spreadsheet information
	3.5 Explain how to find and sort out any errors in formulas

Learning outcomes	Assessment criteria
454	3.6 Check spreadsheet information meets needs, using IT tools and making corrections as necessary
	3.7 Use auditing tools to identify and respond appropriately to any problems with spreadsheets

Information for tutors

Suggested resources

Books

Frye CD - *Excel 2013 Step by Step*, (Microsoft press, 2013) ISBN 9780735681019

Harvey G - *Excel 2013 for Dummies*, (John Wiley and Sons, 2013)
ISBN 9781118510124

Walkenbach J - *Excel 2013 Bible*: *The Comprehensive Tutorial Resource*, (John Wiley & Sons, 2013) ISBN 9781118490365

Websites

www.bized.co.uk/learn/sheets/sheet_guide.htm - an introduction to spreadsheet software

www.libreoffice.org/discover/calc/ - free spreadsheet application

office.microsoft.com/en-gb/excel-help/training-courses-for-excel-2013-HA104032083.aspx - training courses for Microsoft Excel 2013 application

www.openoffice.org/product/calc.html - free Open Office spreadsheet software and tutorials

www.tutorialsforopenoffice.org/category_index/spreadsheet.html - tutorial resources for Open Office spreadsheet applications

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

At this level, assessment is probably suited to following the learner through the completion of one work project, where the learner can apply all the principles of the unit to a work-related problem.

The primary form of assessment for all practical elements throughout all three learning outcomes is likely to be direct observation of the learner designing the spreadsheet and then using it to analyse and present data; however, work products in the form of screen captures, screen recordings and printouts could also be used.

Learning outcome 1 could be assessed through direct observation of the learner planning and creating an appropriate spreadsheet. This could be supplemented with work product in the form of spreadsheet itself. AC1.1 could be evidenced by a professional discussion where the learner identifies the information required; this could be supplemented with design documents that the learner has produced, for example templates, style information or lists of data sources.

For AC1.4, where local guidelines are in force, learners will need to ensure that they have copies of those guidelines.

AC2.1 could be evidenced by a professional discussion with the assessor where the learner explains the methods they have used to analyse summarise and interpret information.

For AC2.2; AC2.3 and AC2.4, direct observation could be used to demonstrate where the learner has used appropriate formulas, tools and techniques. This could be supplemented with work products, for example, lists of formulae and functions or code for scripts/macros.

AC3.1 and AC3.5 could be evidenced by a professional discussion where the learner explains how to present and format information and how to find and sort errors in formulas. This discussion could be supported by a reflective account where the learner describes instances where they have had to present information and sort errors, and the reasoning behind how they have gone about doing this.

AC3.2; AC3.3 and AC3.4 could be evidenced by direct observation of learners selecting and using the appropriate tools and techniques. This could be supplemented with annotations to spreadsheet printouts or a reflective account of when the learner has needed to make the selection of tools and techniques.

For AC3.6 and AC3.7, the learner must check their spreadsheets and respond to errors. It is likely that such problems will arise naturally during the creation process. Work product evidence for problem solving could be in the form of a short report, screen captures or printouts. Evidence for meeting the requirements could be a discussion with the assessor.

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 67: Presentation Software

Unit reference number: T/502/4623

Level: 3

Credit value: 6

Guided learning hours: 45

Unit type: Competence

Unit summary

Many administrators use presentation software in order to create presentations for themselves or others. This unit is about the skills and knowledge required by an administrator to select and use a wide range of advanced presentation software tools and techniques effectively to produce presentations.

In this unit you will develop skills to create complex and non-routine combinations of media, e.g. images, animation and sound - for education, entertainment or information sharing. You will use advanced presentation tools, functions and techniques that are complex and require new learning and, at times, will involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach to learn how to create interactive presentations in an efficient and effective manner.

You will identify, select and create media elements and combine them with other material to create an interactive presentation. You will also evaluate the product and correct any problems that are encountered.

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 Input and combine text and other information within presentation slides	1.1 Explain what types of information are required for the presentation
	1.2 Enter text and other information using layouts appropriate to type of information
	1.3 Insert charts and tables and link to source data
	1.4 Insert images, video or sound to enhance the presentation
	1.5 Identify any constraints which may affect the presentation
	1.6 Organise and combine information for presentations in line with any constraints
	1.7 Store and retrieve presentation files effectively, in line with local guidelines and conventions where available
2 Use presentation software tools to structure, edit and format presentations	2.1 Explain when and how to use and change slide structure and themes to enhance presentations
	2.2 Create, amend and use appropriate templates and themes for slides
	2.3 Explain how interactive and presentation effects can be used to aid meaning or impact
	2.4 Select and use appropriate techniques to edit and format presentations to meet needs
	2.5 Create and use interactive elements to enhance presentations
	2.6 Select and use animation and transition techniques appropriately to enhance presentations

Learning outcomes	Assessment criteria
3 Prepare interactive slideshow for presentation	3.1 Explain how to present slides to communicate effectively for different contexts
	3.2 Prepare interactive slideshow and associated products for presentation
	3.3 Check presentation meets needs, using IT tools and making corrections as necessary
	3.4 Evaluate presentations, identify any quality problems and discuss how to respond to them
	3.5 Respond appropriately to quality problems to ensure that presentations meet needs and are fit for purpose

Information for tutors

Suggested resources

Books

Atkinson C - *Beyond Bullet Points*, 3rd edition (Microsoft press, 2011)
ISBN 9780735627352

Cox J and Lambert J - *Microsoft PowerPoint 2013 Step by Step*, (Microsoft press, 2013) ISBN 9780735669109

Lowe D - *PowerPoint 2013 for Dummies*, (John Wiley and Sons, 2013)
ISBN 9781118502532

Websites

www.libreoffice.org/discover/impress - free presentation software and tutorials

office.microsoft.com/en-gb/powerpoint-help/training-courses-for-powerpoint-2013-HA104015465.aspx - training courses for Microsoft PowerPoint 2013 application

www.openoffice.org/product/impress.html - free Open Office presentation software and tutorials

www.tutorialsforopenoffice.org/category_index/presentation.html - tutorial resources for Open Office presentation software applications

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

Where possible, a holistic approach to assessment is suggested throughout this unit. Assessors should encourage learners to capture and record evidence as an ongoing process at each stage of development. Therefore, the primary form of assessment for all practical elements throughout all three learning outcomes is likely to be direct observation. For the design elements, work products in the form of printed annotated screenshots, screen captures, screen recordings and printouts, highlighting the formatting and layout of work, could be used. Evidence can also come in the form of professional discussions.

Learning outcome 1 could be assessed through the direct observation of the planning and creation of an appropriate presentation. This could be supported by work product in the form of the presentation itself, with annotations showing the design process.

AC1.1 and AC1.5 could be evidenced by a professional discussion with the assessor where the learner explains the types of information required and possible constraints.

For learning outcome 2, a multi-media presentation with customised and interactive components could be developed from the presentation produce for learning outcome 1, or, alternatively, it could be created from a new brief. AC2.2; AC2.4; AC2.5 and AC2.6 could be assessed through direct observation of the learner using techniques to edit and format their presentations. This could be supported by work products such as the edited presentation itself, with learner annotations describing the processes, tools and techniques they have used.

AC2.1 and AC2.3 could be evidenced by a professional discussion or a reflective account where the learner explains how they use slide structure, themes and interactive effects to enhance presentations.

For AC3.1, the learner could provide a reflective account based on and illustrated by their own work in presenting effective slides for different contexts, but it need not be limited to this.

For AC3.2 and AC3.3, direct observation of the learner preparing and checking the presentation could be used, supported by work products, such as completed presentations with annotations to existing design documents.

For AC3.4 and AC3.5, learners will need to provide evaluations of their own work, along with evidence of communications with colleagues showing where they have responded appropriately to problems. This could be through work product documents and communications, such as email trails, or through reflective account, supported by witness testimony.

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

Unit 68: Bespoke Software

Unit reference number:	**J/502/4397**
Level:	**3**
Credit value:	**4**
Guided learning hours:	**30**
Unit type:	**Competence**

Unit summary

Many administrators are required to use bespoke software to complete tasks within their wider administrative role. This unit is about the skills and knowledge needed by an administrator to use bespoke software tools and techniques. Bespoke software is software that is written for a specific function in an organisation. This software could be unique to that organisation.

In this unit you will develop the skills to select and use a range of advanced bespoke software tools and techniques for complex or non-routine information. The software and functions used will be complex and, at times, involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach, to learn how to input, select and modify information using bespoke software.

You will explore the use of the software's functionality to organise information. You will effectively manipulate process and present information as an output, checking that the output meets needs, legal and company requirements, and responding appropriately to quality 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 Input and combine information using bespoke software	1.1 Input relevant information accurately so that it is ready for processing
	1.2 Select and use appropriate techniques to link and combine information within the application and across different software applications
2 Create and modify appropriate structures to organise and retrieve information efficiently	2.1 Evaluate the use of software functions to structure, layout and style information
	2.2 Create, change and use appropriate structures and/or layouts to organise information efficiently
	2.3 Manage data files effectively, in line with local and/or legal guidelines and conventions for the storage and use of data where available
3 Exploit the functions of the software effectively to process and present information	3.1 Select and use appropriate tools and techniques to edit, analyse and format information
	3.2 Check information meets needs, using IT tools and making corrections as necessary
	3.3 Identify and respond appropriately to quality problems to ensure that outcomes are fit for purpose and meet needs
	3.4 Select and use presentation methods to aid clarity and meaning

Information for tutors

Suggested resources

Books

The textbooks used depend on which software is used. The software manufacturer's user guides and resources are often sufficient for the level of work required in this unit. Third party user guides such as in-house tutorials, may also be available for bespoke software.

Websites

Some bespoke software packages have their own websites/help pages. These are often sufficient for the level of work required in this unit.

Where the official websites/help pages have insufficient information, learners should consider using:

- raising support tickets with the software manufacturer
- in-house/intranet pages
- third party technical sites, e.g. forums, expert blogs

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in Annexe B.

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.

A holistic approach to assessment is suggested for this unit. Assessors should encourage learners to capture and record evidence as an ongoing process at each stage of database development, for example a learner diary recording practice against each assessment criterion.

The primary assessment method is likely to be direct observation of the learner using the software; however, work products, for example screenshots and documentation produced in the course of completing work tasks can also be used.

For AC1.1, the learner could use software techniques to determine accuracy, e.g. spellcheck/grammar check.

For AC1.2, evidence for the selection of techniques could take the form of a discussion, supported by work products such as screen captures or screen recordings demonstrating the learners' use of techniques.

Learners should be familiar with a range of tools and techniques at this level but it is expected that they will use appropriate resources to research methods of dealing with novel or uncommon requirements.

Learning outcome 2 could be assessed through the presentation of work products such as a short evaluative report or presentation (AC2.1), screen captures or screen recordings showing creation, change and use of structures (AC2.2) and copies of storage records and local guidelines (AC2.3). This evidence should be supported with professional discussion or reflective account to assess how the learner uses appropriate structures and adheres to guidelines and conventions in their work. For AC2.2, learners could build on the evaluation work performed in AC2.1.

Where making a copy of documentation is impractical or disallowed, a witness statement and reference to the document's location is sufficient.

Learning outcome 3 is likely to be assessed through direct observation of the learner using the functions of the software in their job role. This should be supported with professional discussion or reflective account to demonstrate the learner's understanding of the reasoning behind any decisions made in the selection process (AC3.1) and how the final product satisfies the specific requirements of the task (AC3.2; AC3.3).

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

Unit 69: Database Software

Unit reference number: T/502/4556

Level: 3

Credit value: 6

Guided learning hours: 45

Unit type: Competence

Unit summary

Many administrators are required to use databases to gather and scrutinise data for a variety of administrative tasks. This unit is about the skills and knowledge required by an administrator to select and use advanced database software tools and techniques.

In this unit you will develop the skills to enter complex information into databases; retrieve information by creating queries using multiple selection criteria and produce reports by setting up menus or short cuts.

You will also be able to customise relational databases by designing, creating and interrogating multiple-table relational databases.

You will use advanced database tools, functions and techniques that are complex and require new learning and, at times, will involve having the idea that there may be a tool or function to make your task easier, e.g. improve efficiency or create an effect. You will explore technical support and self-teach to learn how to operate a relational database in an efficient and effective manner.

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 Plan, create and modify relational database tables to meet requirements	1.1 Explain how a relational database design enables data to be organised and queried
	1.2 Plan and create multiple tables for data entry with appropriate fields and properties
	1.3 Set up and modify relationships between database tables
	1.4 Explain why and how to maintain data integrity
	1.5 Respond appropriately to problems with database tables
	1.6 Use database tools and techniques to ensure data integrity is maintained
2 Enter, edit and organise structured information in a database	2.1 Design and create forms to access, enter, edit and organise data in a database
	2.2 Select and use appropriate tools and techniques to format data entry forms
	2.3 Check data entry meets needs, using IT tools and making corrections as necessary
	2.4 Respond appropriately to data entry errors
3 Use database software tools to create, edit and run data queries and produce reports	3.1 Explain how to select, generate and output information from queries according to requirements
	3.2 Create and run database queries to display, amend or calculate selected data
	3.3 Plan and produce database reports from a multiple-table relational database
	3.4 Select and use appropriate tools and techniques to format database reports
	3.5 Check reports meet needs, using IT tools and making corrections as necessary

Information for tutors

Suggested resources

Books

Cox J and Lambert J - *Microsoft Access 2013 Step by Step*, (Microsoft press, 2013)
ISBN 9780735669086

MacDonald M - *Access 2013: The Missing Manual*, (O'Reilly, 2013)
ISBN 9781449357412

Alexander M and Kusleika D - *Access 2013 Bible*, (John Wiley & Sons, 2013)
ISBN 9781118490358

Websites

www.databasedev.co.uk - database development page with database solutions and downloads for Microsoft Access

www.icteachers.co.uk/resources/resources_home.htm - resources for teachers, covering databases

www.libreoffice.org/discover/base/ - free database software and tutorials

office.microsoft.com/en-us/access-help/training-courses-for-access-2013-HA104030993.aspx - training courses for Microsoft Access 2013 application

wiki.openoffice.org/wiki/Database - Open Office database and tutorials

www.tutorialsforopenoffice.org/category_index/base.html - tutorial resources for Open Office database software applications

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

Evidence of achievement can be derived from a variety of sources. Learners who use IT skills directly in their day-to-day work can prove their competence while doing so. Alternatively, learners can use scenarios and knowledge tests, or a mixture of both, to demonstrate competence.

For further guidance on assessing this unit, please refer to the e-skills UK ITQ Assessment Strategy in *Annexe B*.

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.

A holistic approach to assessment is suggested for this unit. Assessors should encourage learners to capture and record evidence as an ongoing process at each stage of database development For example, a diary recording practice against each assessment criterion.

The primary assessment method for the practical activities is likely to be direct observation; however, work products, for example databases and documentation produced in the course of completing tasks, can also be used.

Evidence to confirm achievement of AC1.1 and AC1.4 could come from a professional discussion based on the learner's related work activities and work products. For example, the learner could use an appropriate piece of work product to explain how they use a relational database and maintain data integrity.

The design elements of learning outcomes 1, 2 and 3 could be assessed through work product in the form of design documents. For example entity relationship diagrams, data flow diagrams, data dictionaries, screen captures and printouts.

For AC1.5 and AC1.6, learners must be able to correct problems with the database. It is likely that such problems will arise naturally during the creation process.

For learning outcome 2, learners will need to work with a relational database. This is likely to have been produced during the completion of tasks for learning outcome1.

For AC2.1 and AC2.2, form design and formatting could be assessed through the production of work products, with annotations or a discussion used to indicate why particular tools or techniques were used.

For AC2.3 and AC2.4, it is likely that such problems as data errors will arise naturally during the creation process.

For learning outcome 3, learners will need to use a working, relational database. This is likely to have been produced during the completion of tasks for learning outcomes 1 and 2.

For AC3.1, the 'explain' requirement could be evidenced by a discussion based on the learner's related work activities and work products. For example, the process the learner uses to select and generate information according to requirements. The query requirements should be sufficiently complex for the learner to be able to report on or discuss multi-table and multi-criteria queries.

For AC3.2, the learner could be observed setting up and running the queries considered in AC3.1.

For AC3.3; AC3.4 and AC3.5, the queries from AC3.2 could be used as a basis for the required reports. Annotations or a discussion could be used to indicate why particular tools or techniques were used.

For AC3.5, learners must check their reports and respond to errors. It is likely that such problems will arise naturally during the creation process.

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

Unit 70: Principles of Leadership and Management

Unit reference number: F/506/2596

Level: 3

Credit value: 8

Guided learning hours: 50

Unit type: Knowledge

Unit summary

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

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

Learning outcomes and assessment criteria

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

Learning outcomes	Assessment criteria
1 Understand the principles of effective decision making	1.1 Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken
	1.2 Assess the importance of analysing the potential impact of decision making
	1.3 Explain the importance of obtaining sufficient valid information to enable effective decision making
	1.4 Explain the importance of aligning decisions with business objectives, values and policies
	1.5 Explain how to validate information used in the decision making process
	1.6 Explain how to address issues that hamper the achievement of targets and quality standards
2 Understand leadership styles and models	2.1 Explain the difference in the influence of managers and leaders on their teams
	2.2 Evaluate the suitability and impact of different leadership styles in different contexts
	2.3 Analyse theories and models of motivation and their application in the workplace

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

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 importance of defining the objectives, scope and success criteria of the decisions to be taken

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Leadership styles

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

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

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

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

- *Mayo's Human Relations Theory:* Hawthorne effect; staff can be better motivated by social needs; managers taking more interest in staff; treating workers in a caring and humane manner will motivate them; relates to paternalistic leadership

- *Frederick Taylor's Scientific Management theory:* people are motivated by money; people respond individually not as a group; pay should be linked to the amount produced (piece rates); people dislike work and so need close supervision

- *Application of theories in the workplace:* democratic leadership; provision of social activities; competitive remuneration packages (pay, fringe benefits, contract); emphasis on learning and personal development; use of groups and teamwork; personalised incentives schemes; open communications; effective performance management; job enlargement; job rotation; job enrichment; delegation; recognition and reward systems

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

- *Planning:* types of planning (strategic, tactical, operational); environmental analysis (SWOT, PEST); stakeholder engagement; decision making; forecasting; setting SMART objectives and targets

- *Coordinating:* identifying tasks and activities; resource planning (people, physical, financial); staffing (recruitment and selection, training, development) organising and allocating resources; assigning roles and responsibilities; establishing lines of communication

- *Controlling work:* management by objective (MBO); establishing performance standards (benchmarking); implementing performance management systems (frequency; timing; performance measures); measuring individual and organisational performance; comparison of actual performance with expected standards and goals (management by exception, MBE); corrective or preventative actions

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

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

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

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

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

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

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

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

AC3.6   Explain the operational constraints imposed by budgets

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

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

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

AC4.2   Explain the features of a performance measurement system

- *Performance Measurement System (PMS):* a set of performance measures used to quantify efficiency and effectiveness of actions; provides information to identify the best strategies for meeting organisation goals and objectives; aligns management processes with strategic objectives
- *Features of a PMS*
  - *results oriented:* focuses primarily on outcomes and outputs; linked to organisational goals and objectives
  - *selective:* concentrates on the most important performance measures relevant to the organisation; balance of financial and non-financial performance measures

- o *useful:* provides information of value to the organisation and its decision makers
- o *accessible:* provides periodic information about results; has supporting infrastructure for collecting, recording and analysing data
- reliable: *provided accurate, consistent information over time*

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

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

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

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

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

- *Management accounts: financial and non-financial accounting data related to key business processes and activities (product sales and distribution, stock, debtors, creditors, purchase and sale of fixed assets, employee records, customer transactions); prepared on a frequency to match the business needs; forward-looking and predictive;*
  - o uses: supports decision making; helps to identify risks and consequences of actions; uses historical data to inform target setting; provides information used in performance dashboards; assists business planning and strategy development

- *Management Information Systems (MIS):* computerised information-processing systems designed to support and improve the quality and efficiency of business operations and human decision making; systems that turn raw data into information for management levels

- uses: *store and manage performance data; provides information to support performance evaluation; tracks progress*

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

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

Information for tutors

Suggested resources

Books

Brent M and Dent E - *The Leader's Guide to Managing People,* (Pearson Education Limited, 2013) ASIN B00H83R18Q (Kindle edition)

Websites

www.bized.co.uk - a free online service for students, teachers and lecturers of business and provides information and resources on the topic of Human Resource Management

www.bookboon.com – a website that offers free eBooks and textbooks for download on a range of subjects, including Human Resource Management

www.businessballs.com – a website that offers free learning and development resources relating to topics such as management and leadership and leadership theories

www.management.about.com - a website that offers free online information on business topics such as Key Performance Indicators

www.mindtools.com - a website that offers free online skills training on topics such as management and leadership

Assessment

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

External assessment

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

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

Internal assessment

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

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

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

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

Unit assessment guidance

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

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

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

Unit 71: Principles of Market Research

Unit reference number: K/502/9933

Level: 3

Credit value: 5

Guided learning hours: 40

Unit Type: Knowledge

Unit summary

Market research is an essential process for any business that wants to gather information on goods or services to determine whether the product or service will satisfy customers' needs. Market research can also identify market trends, demographics, economic shifts, customer's buying habits, and important information on competition. In this unit you will learn about the importance of market research and the processes for designing, carrying out and evaluating market research.

You will explore the scoping, research, parameters and evaluation used to decide if market research is needed. You will investigate how to choose appropriate research methods, objectives and evaluation criteria, including strengths, limitations and inherent risks. You will consider the principles of data collection, including types of data, possible problems, the importance of accuracy and data storage, security and access requirements. Finally, you learn how to interpret and evaluate the data collected, including the importance of size, validity and reliability in the sample and the analysis methods and statistical tools used.

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 basis on which market research is commissioned	1.1 Describe how to identify the need for market research and the sources of evidence to support this
	1.2 Describe the basis for scoping the research and identifying linkages, interdependencies and the possible impact of one element on others
	1.3 Explain how to set research parameters, aims and evaluation criteria
	1.4 Explain the importance of involving stakeholders in the definition of research to be carried out
	1.5 Explain how to evaluate different options for conducting the research
2 Understand how to design market research projects	2.1 Explain how to set research objectives, timescales, budget and resource requirements and success criteria
	2.2 Explain how to specify the characteristics and size of the sample to be researched in accordance with the research aims and objectives
	2.3 Describe the factors to be taken into account when selecting research instruments that are fit for purpose
	2.4 Explain how to ensure the suitability of methods chosen to conduct research
	2.5 Explain the strengths and limitations of quantitative and qualitative research
	2.6 Explain how risks inherent in market research may be addressed
	2.7 Explain how to ensure that research data collected is valid and reliable
	2.8 Describe the uses of the research outputs
	2.9 Explain how to obtain approval to the proposed research

Learning outcomes	Assessment criteria
3 Understand the principles of marketing data collection	3.1 Explain the difference between primary and secondary research and how this affects data collection methods and interpretation
	3.2 Describe the importance of using research instruments correctly
	3.3 Explain the role of data collection in a market research project
	3.4 Explain how to address problems arising in data collection, e.g. insufficiency of representative sample, unreliable or invalid data
	3.5 Explain the importance of accurate data recording
	3.6 Explain marketing data storage, security and access requirements
4 Understand the principles of marketing data interpretation and evaluation	4.1 Explain the volume of data needed to ensure statistical confidence
	4.2 Explain how to evaluate the quality, reliability and validity of market research data
	4.3 Describe the use(s) of market research
	4.4 Explain the application, strengths and weaknesses of different data analysis methods
	4.5 Explain the use of statistical tools to identify trends, causes and correlations in marketing data

Unit amplification

AC1.1: Describe how to identify the need for market research and the sources of evidence to support this

- *Identifying need:* competitor activity, complaints from customers, innovation, new partnerships, new marketing strategies
- *Sources of evidence:* sales figures, competitor activity, observed changes in nature of the market, new customer/stakeholder, competitors, feedback

AC1.2: Describe the basis for scoping the research and identifying linkages, interdependencies and the possible impact of one element on others

- *Basis for scoping and research:* setting research objectives, setting research parameters, defining the problem or need, determining who will conduct the research, determining the methods to be used
- *Interdependencies:* i.e. activities, departments or functions whose actions are mutually dependent on each other
- *Linkages:* i.e. activities, departments or functions whose actions are linked, but not mutually dependent on each other
- *Possible impacts on each other:* ensuring research meets needs of each element, ensuring objectives are aligned, mutual benefits of research, analysis of research results, communication of research outcomes, opportunity for feedback, risk

AC1.3: Explain how to set research parameters, aims and evaluation criteria

- *Process:* liaison with stakeholders; agreeing aims, e.g. specific and limited aims; agreeing scope and parameters of research, e.g. to define scope of needs and wants of target customers; agreeing evaluation criteria to be used, e.g. timescales, size of sample, usefulness to the decision-making process; agreeing methods of measurement, agreeing methods of analysis

AC1.4: Explain the importance of involving stakeholders in the definition of research to be carried out

- *Stakeholders:* internal e.g. sales department, customer services, research & development, logistics, finance; external e.g. shareholders, suppliers, partner organisations, customers, regulators
- *importance of stakeholder involvement:* to help to define the purpose, to influence research methodology used, to bring different and valuable perspectives to research design

AC1.5: **Explain how to evaluate different options for conducting the research**

- *Different options:* primary, secondary, qualitative, quantitative
- *Evaluation criteria:* information needed, intended information use, most appropriate mix of factors, e.g. validity and reliability, time, human, financial resources available; appropriateness of sample choice, e.g. representativeness, size; costs versus benefits

AC2.1: **Explain how to set research objectives, timescales, budget and resource requirements and success criteria**

- *Process:* setting objectives, e.g. using SMART objectives, linking objectives to purpose and desired outcomes, including stakeholder requirements; setting timescales, e.g. allocating time to different stages of the research, building in contingency time, identifying with stakeholders when results are needed; identifying resources needed, e.g. financial, staff, outside agencies; setting success criteria, e.g. linking to research objectives and desired outcomes, specifying quantity and quality of data expected

AC2.2: **Explain how to specify the characteristics and size of the sample to be researched in accordance with the research aims and objectives**

- *Characteristics:* clearly defined target population, based on relevant factors, e.g. socioeconomic, demographic, psychographic classifications, buyer behaviours, attitudes, opinions
- *Size of sample:* accuracy of results, validity of results, statistical significance

AC2.3: **Describe the factors to be taken into account when selecting research instruments that are fit for purpose**

- *Factors:* cost; product; time; target audience; quantitative and qualitative data, financial factors, e.g. budget constraints; nature of enquiry, e.g. analytical vs. descriptive; marketing/business objectives that will be informed by the research
- *Research instruments:* questionnaires, surveys, psychological tools, mechanical devices, qualitative measurements

AC2.4: **Explain how to ensure the suitability of methods chosen to conduct research**

- *Methods for ensuring suitability:* piloting of research instruments, testing for lack of bias, testing validity, testing reliability, reviewing against research objectives

AC2.5: **Explain the strengths and limitations of quantitative and qualitative research**

- *Quantitative research strengths:* based on facts, tends to be reliable, can be cost effective, allowing lots of data to be collected relatively cheaply, can be easier to process

- *Quantitative research limitations:* can be difficult to assess behavioural factors, often excludes real-life factors, can be difficult to apply to specific situations

- *Qualitative research strengths:* can give 'richer' data than quantitative research that reflects reality better, suited to capturing information about opinions

- *Qualitative research limitations:* tends to be less reliable, tends to cost more to gather using more expensive/labour-intensive methods, is more difficult to process as judgement needs to be used to analyse findings, small sample findings cannot be generalised to the wider population

AC2.6: **Explain how risks inherent in market research may be addressed**

- *Risks:* insufficient data, inaccurate source data, breach of legislation, validity of data, results bias

- *Solutions:* use of project-planning tools to ensure research meets objectives, setting clear objectives, use of specialist market research agencies, robust instrument design, chosen methodology matched to goals and audience needs, research completed within timescales and budget, checks on internal validity of data, triangulation

AC2.7: **Explain how to ensure that research data collected is valid and reliable**

- *Validity:* measuring what you think is being measured
  - *Internal:* subject variability, size of subject population, time given for data collection, instrument sensitivity
  - *External:* extent that findings can be generalised to the wider population, researcher effects, environmental effects, data collection methodology, outside influencers

- *Reliability:* research produces stabile and consistent results, use of sampling methods, e.g. test/retest, simple random, stratified random, cluster, systematic; design of survey questions to eliminate bias; use of triangulation, e.g. to provide a better overall picture, to allow for unusual/unexpected outcomes to be identified

AC2.8: **Describe the uses of the research outputs**

- *Uses:* informs decision making regarding the market, e.g. size, growth, segmentation; performance measurement, e.g. new product development, new market development, advertising campaigns; strategic planning, e.g. overseas market entry, retaliation to competitor activity, response to stakeholder concerns

AC2.9:   Explain how to obtain approval to the proposed research

- 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.

  Generic knowledge

- *Approval process:* discussions with key stakeholders, e.g. senior management, finance, marketing staff; design and approval gates; approval stages

AC3.1:   Explain the difference between primary and secondary research and how this affects data collection methods and interpretation

- *Primary/field research:* requires data collection by own organisation
- *Effects on data collection and interpretation:* requires application of statistical methods for purpose of analysis and interpretation, time, cost, reliability and accuracy of data
- *Secondary/desk research:* uses data already collected, not specifically focused on own research objectives
- *Effects on data collection and interpretation:* statistical analysis already complete, potential issues with reliability and accuracy of data, suitability of data, interpretation of external bodies, bias

AC3.2:   Describe the importance of using research instruments correctly

- *Importance:* to avoid mistakes, e.g. bias, inaccuracies; to ensure continuous research can be carried out to produce accurate trend/comparison data

AC3.3:   Explain the role of data collection in a market research project

- *Role of data collection:* provides data relating to a marketing problem, provides insights that influence the marketing strategy, provides information that can be analysed, provides measurements of qualitative (what type) or quantitative (how many, how much, how often) variables belonging to a set of items e.g. how many consumers aged 18-30 purchase a particular brand of clothing

AC3.4:   Explain how to address problems arising in data collection (e.g. insufficiency of representative sample, unreliable or invalid data)

- *Problems arising:* relevance, simplicity, accuracy, clarity
- *Solutions:* use of different methods to test elements of research, e.g. distribution or valid correlation; additional research if problems are found, e.g. increase sample size, revisions to research instruments; ensure relevant data is collected; ensure data collection method is appropriate; ensure data is current; ensure data collection process is rigorous

AC3.5:   Explain the importance of accurate data recording

- *Problems that can occur with data recording:* failure to transcribe interviews correctly, corrupted data sets
- *Implications of failure to ensure accurate data recording:* inaccuracy of data, incorrect interpretation of data, inconsistency of data, strategic decisions based on invalid results

AC3.6: Explain marketing data storage, security and access requirements

- *Legal requirements:* Data Protection Act 1998, considerations in relation to personal data and sensitive personal data
- *Security requirements:* internal procedures, e.g. passwords for computer, lockable cupboards; electronic storage systems, use of password-protected secure systems; transportation of data, data file naming conventions; anonymity
- *Access requirements:* data file access authorisations, e.g. research team, wider staff

AC4.1: Explain the volume of data needed to ensure statistical confidence

- *Concepts:* 'confidence level' (as a measure of how representative data is), 'confidence interval' (as margin of error in responses)
- *Impact of sample size on confidence intervals:* increase in sample size results in decreased confidence interval
- *Impact of sample size on confidence level:* increase in sample size results in higher confidence level

AC4.2: Explain how to evaluate the quality, reliability and validity of market research data

- *Evaluation techniques:* screening of data for invalid responses, correlations of similar questions to check consistency, checking for contradictory responses, checking for unusual/outlier responses

AC4.3: Describe the use(s) of market research

- *Market research uses:* increase understanding of a subject, measurement of behaviour(s), measurement of characteristics, measurement of possessions, measurement of attitudes/opinions

AC4.4: Explain the application, strengths and weaknesses of different data analysis methods

- *Data analysis methods:* data mining, business intelligence, statistical applications
- *Applications:* identifying customers, identifying segmentation characteristics, identifying buying patterns, finding association among customer demographic characteristics, predicting response to marketing campaigns, identifying market trends, identifying competitor activity
- *Strengths:* extraction of meaningful trends and patterns from large amounts of data, insight into customer behaviour, identification of additional selling opportunities
- *Weaknesses:* method must be appropriate for type of data, search parameters, inaccurate data, tools can't be used as predictors, may provide out-of-date information, may fail to identify process problems

AC4.5: **Explain the use of statistical tools to identify trends, causes and correlations in marketing data**

- *Correlation:* difference between positive and negative correlations, establishing strength of relationship between two variables e.g. through data-mining
- *Causation:* experimental data collected to establish causation, e.g. measuring impact of different prices on sales volume; statistical tools used to check for statistically significant causal relationships
- *Calculating trends:* to show direction clearly by eliminating fluctuations, to enable forecasting into the future

AC4.6: **Explain the strengths and weaknesses of different data evaluation methods**

- *Evaluation methods:* quantitative approaches, qualitative approaches
- *Strengths of data evaluation methods:* can provide information about relationships between different variables', some methods can generate clear visual representations
- *Weaknesses of data evaluation methods:* type and distribution of data may not be suitable for a given data evaluation method, some data evaluation methods may not be suitable for small data sets

AC4.7: **Explain the basis on which to reach conclusions as to the usefulness of the research**

- *Basis for conclusions:* does data provide sufficient information to meet the research objectives, does research aid marketing decisions as planned, e.g. research and its findings are valid, accurate, consistent, reliable; is evidence sufficient to draw conclusion

Information for tutors

Suggested resources

Books

Bradley N - *Marketing Research: Tools and Techniques*, 3rd edition (Oxford University Press, 2013) ISBN 9780199655090

Cave S - *Consumer Behaviour in a Week*, 2nd edition (Hodder Arnold, 2002) ISBN 9780340849712

Dibb S et al - *Marketing: Concepts and Strategies*, 5th edition (Houghton Mifflin, 2005) ISBN 9780618532032

Proctor T - *Essentials of Marketing Research*, 3rd edition (Financial Times/Prentice Hall, 2002) ISBN 9780273674009

Websites

www.adassoc.org.uk - the Advertising Association is the trade association for advertisers - Providing guidance, research and standards for the advertising industry

www.asa.org.uk – the Advertising Standards Authority: the regulator for advertising across all media

www.cim.co.uk - the Chartered Institute of Marketing: the professional membership body for individuals working in the marketing industry

www.mintel.com - a global supplier of consumer, media and market research

www.marketingteacher.com - free marketing resources for learners, teachers and professionals

www.mrs.org.uk - the Market Research Society: the world's leading research association - Information on how to conduct a marketing research

www.statistics.gov.uk - official UK statistics

Other - Journals

Business Review Magazine (Phillip Allan Publishers)

Campaign (Haymarket Business Subscriptions)

*The Economist (*The Economist Newspaper Group, Inc)

Marketing (Haymarket Business Subscriptions)

Marketing Week (Centaur Communications Ltd)

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

This unit solely focuses on knowledge therefore learners undertaking this unit will be required to carry out a range of research activities to explore the design and use of market research. Assessors are encouraged to plan research activities across the scope of this unit with learners before formal assessment of learner knowledge and understanding of market research. Learners should be encouraged to compile and submit research notes as valid evidence towards of achievement of this unit. Assessors will need to ensure that all command verbs have been met and evidence is sufficient to meet the requirements of each knowledge assessment criterion.

Assessment of knowledge is likely to occur primarily through use of professional discussion or reflective account, where the learner explains the need for, and methods of, market research; However an appropriate assessment approach for all learning outcomes could be linked to evidence of work products relating to the design and implementation of an existing or proposed market research project that they have been involved with, for example an annotated research proposal or plan.

For AC1.1; AC1.2 and AC3.5, the learner can choose to present their findings and recommendations regarding the design and implementation of a market research project in a research proposal or brief for a research project. It is expected that learners will cover the need for market research and what the scope and limits will be, as well as how process for evaluating research options. The brief should be supported with more comprehensive work products, such as annotated planning documents, detailed written reflective accounts, or well-planned professional discussions that will assess the learners understanding of the basis on which market research is commissioned and designed.

For AC1.3; AC1.5; AC2.3 and AC3.4, a learner diary or reflective account could be used to document the decision-making process for choosing, planning and implementing the methodologies research recommendations as well as recording research relating to design ideas and options.

For AC2.1; AC2.4; AC2.7; AC4.1 and AC4.2 professional discussion or reflective account could be used to explain the design of the project, including how accurate, reliable and valid results are to be obtained and the reasoning behind design decisions made. This could be supported by the annotated brief document, demonstrating where the learner has put this understanding into practice.

For AC3.1; AC3.2 and AC3.3 the learner can use sections of the research proposal to give justification for the choice of methods and methodology. This should be supported by professional discussion or question and answer session to show how research theory underpins practice.

For learning outcome 4, professional discussion or reflective account could be used to assess the learner understanding of marketing data interpretation and evaluation. This can also be linked to the annotated research proposal, for example, learners can explain the proposed methods of data interpretation and evaluation, giving justification to the methods chosen.

Alternatively, in a classroom-based environment, all Learning Outcomes could be assessed through methods such as written assignments, presentations and case studies.

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 72: Principles of Marketing and Evaluation

Unit reference number: T/502/9935

Level: 3

Credit value: 7

Guided learning hours: 50

Unit type: Knowledge

Unit summary

This unit is important as it will give you an overview of how marketing works and is an introduction to the other marketing units in the qualification.

In this unit you will learn about how and why markets are segmented including the importance of market segmentation, the characteristics and classifications that are used to segment and the evaluation criteria that are used to confirm the viability of segments. You will explore the processes involved in assessing marketing opportunities, including the effects of customer perception, behaviour and competitor activity. You will consider the processes, objectives, topics, analyses, evaluations and forecasts that contribute towards the presentation of a marketing strategy. Finally, you will learn how to evaluate marketing strategies including the factors to be taken into account, evaluation methods, justification of recommendations and links between marketing strategies and corporate social responsibility.

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 market segmentation	1.1 Explain the importance of defining market segments to the development and achievement of the marketing strategy
	1.2 Explain the difference between market segments and customer classification
	1.3 Explain how the characteristics, motivations and behaviours of potential target customers are identified
	1.4 Explain how to cluster customers with similar characteristics
	1.5 Describe how to confirm that proposed segments are real, distinctive, viable and their buying power measurable
	1.6 Explain how to evaluate the profitability and stability of market segments
	1.7 Describe how a range of products may appeal to different market segments
	1.8 Explain the motivators and inhibitors that influence customer behaviour
	1.9 Explain the use of Customer Relationship Management (CRM)

Learning outcomes	Assessment criteria
2 Understand how to assess market opportunities for new products and/or services	2.1 Describe the economic and buyer behavioural factors to be taken into account when assessing new market opportunities
	2.2 Describe the cultural factors that are likely to affect customers' perception of products and/or services and sales performance
	2.3 Explain how to identify opportunities and threats in new markets and for new products in existing markets
	2.4 Explain how competitor and potential competitor activity may affect projected sales performance
	2.5 Explain the basis of recommendations to exploit new market opportunities
3 Understand the principles of marketing strategy development	3.1 Describe the topics to be addressed in a marketing strategy
	3.2 Explain the use of market analyses to inform the development of a marketing strategy
	3.3 Explain how to evaluate risks to the achievement of objectives
	3.4 Describe how to forecast sales by product and/or service
	3.5 Explain how to present a marketing strategy including aims, objectives, actions accountabilities, resources, budgets and forecasts
	3.6 Explain the importance of engaging stakeholders in the development of a marketing strategy
	3.7 Explain the significance of customer loyalty to the achievement of marketing objectives and strategy
	3.8 Explain how to set performance indicators and evaluation arrangements that are capable of measuring returns on investment

Learning outcomes	Assessment criteria
4 Understand how to evaluate the effectiveness of a marketing strategy	4.1 Explain the importance of conducting the evaluation in accordance with the specification
	4.2 Describe the factors to be taken into account in the evaluation of the effectiveness of a marketing strategy
	4.3 Explain the strengths and weaknesses of different evaluation methods
	4.4 Describe how to identify trends and themes from evaluation data
	4.5 Explain how to ensure the reliability and validity of evaluation data
	4.6 Explain how to achieve an acceptable level of statistical confidence
	4.7 Explain how to address critical issues revealed by evaluation
	4.8 Explain the importance of justifying recommendations and conclusions with evidence
	4.9 Explain the use of impact analysis in the evaluation process
	4.10 Explain the importance of marketing to the achievement of business objectives and strategies
	4.11 Describe the links between corporate social responsibility (CSR) and marketing strategies

Unit amplification

AC1.1: **Explain the importance of defining market segments to the development and achievement of the marketing strategy**

- *Market segments:* age, gender, religion, culture, income, lifestyle
- *Importance:* to identify best opportunities for market success by targeting correct segment, to allow targeting of segments with different marketing strategies, to enable better focus on target segment through marketing activities, e.g. better targeted communications

AC1.2: **Explain the difference between market segments and customer classification**

- *Customer classifications:* defining target customer characteristics, e.g. business customers, leisure customers, customer profiles, e.g. A1, D1, 4K, see ACAIs Acorn system
- *Market segmentation:* dividing a broad target market into subsets of customers who have common needs and priorities, e.g. specific characteristics; designing and implementing strategies to target each segment

AC1.3: **Explain how the characteristics, motivations and behaviours of potential target customers are identified**

- *Methods of identification:* customer information from market research, e.g. attitudes, beliefs, opinions, purchase intentions; observation of behaviour; analysis of data, e.g. analysis of loyalty card purchases; intelligence from staff, e.g. feedback relayed via sales staff

AC1.4: **Explain how to cluster customers with similar characteristics**

- *Similar characteristics:* age, gender, income, location, occupation
- *Clustering methods:* buying behaviour, e.g. what customers buy, how frequently, motivation; customer attitudes/opinions/intentions

AC1.5: **Describe how to confirm that proposed segments are real, distinctive, viable and their buying power measurable**

- *Proposed segments:* audience, amount of people targeted, suppliers, demographic
- *Criteria used to validate segments:* size, distinctiveness, accessibility, measurability
- *Methods used to validate segments:* factor analysis, hierarchical clustering, CHAID analysis to predict customer intentions

AC1.6: **Explain how to evaluate the profitability and stability of market segments**

- *Profitability:* assessing achievable pricing levels, assessing likely sales volume, growth potential, opportunity costs, elasticity of pricing, availability of alternative products, cost of retaining a customer, cost of product over the potential profit
- *Stability:* trends in buying of similar products by similar target customers, repeat customers, scarcity of product; cross validation of market segments; identification of volatile segments; identification of changes over time

AC1.7: **Describe how a range of products may appeal to different market segments**

- *Differentiation criteria:* on basis of product design/image/features; effects of branding; premium/mainstream/budget brands; appeal based on attitudes/beliefs opinions/brand values; appeal based on economic/quality/status orientation

AC1.8: **Explain the motivators and inhibitors that influence customer behaviour**

- *Motivators:* aspirations, reference groups, self-image, previous experience, lifestyle; Maslow's hierarchy of needs
- *Inhibitors:* price, negative brand associations, previous experience, product acceptance, alternative products

AC1.9: **Explain the use of Customer Relationship Management (CRM)**

- *Customer relationship management:* systematic use of technology, e.g. databases to manage interactions with former/current/potential customers; logging customer details, e.g. needs, preferences, sales history
- *Uses:* maintaining and building long-term relationships with customers, gathering marketing information and feedback, developing marketing strategies, encouraging brand loyalty

AC2.1: **Describe the economic and buyer behavioural factors to be taken into account when assessing new market opportunities**

- *Economic factors:* state of the economy, recession, impact on individual's purchasing power, taxation, employment levels, cost of living, price sensitivity, e.g. elasticity
- *Behavioural factors:* based on orientation, e.g. economic, status, quality; seasonal changes; role of reference groups, e.g. family, friends, peers; trends; attitudes/opinions

AC2.2: **Describe the cultural factors that are likely to affect customers' perception of products and/or services and sales performance**

- *Cultural factors:* supply and demand, demographics, role of reference groups, e.g. family, friends, peers
- *Factors that influence perception:* language, religion, education, aspirations, previous experience

AC2.3: **Explain how to identify opportunities and threats in new markets and for new products in existing markets**

- *Analysis tools:* Porter's 5 forces analysis, SWOT analysis, PESTEL analysis

AC2.4: **Explain how competitor and potential competitor activity may affect projected sales performance**

- *Competitor activity:* price undercutting, product development, promotional retaliation, discrediting competitors' products or selling practices, celebrity endorsement, adding value through customer service, co-product promotion, e.g. buy a TV and get a free DAB radio
- *Effect of competitor activity:* impact on sales across the market, initial loss of market share, increased marketing activity to retain market share, need for increased innovation

AC2.5: **Explain the basis of recommendations to exploit new market opportunities**

- *Basis of recommendations:* size of potential market, sustainability of new market, accessibility of new market, profitability, extent to which new market is defendable

AC3.1: **Describe the topics to be addressed in a marketing strategy**

- *Topics:* research, planning and development, packaging, pricing, promotion, distribution, after-sales service
- *Other considerations:* how the marketing strategy fits within corporate strategy; objectives for each element of the marketing mix; market-product development, e.g. Ansoff matrix; differentiation and focus

AC3.2: **Explain the use of market analyses to inform the development of a marketing strategy**

- *Market analyses*: Marketing audit, e.g. internal and external; SWOT analysis, PESTEL analysis, Porter's 5 forces analysis; Portfolio analysis, e.g. Boston Consulting Group matrix

AC3.3: **Explain how to evaluate risks to the achievement of objectives**

- *Risk evaluation:* risk rating based on likelihood vs. risk rating based on impact, risk-rating systems, e.g. risk matrices

AC3.4: **Describe how to forecast sales by product and/or service**

- *Forecast:* projection of past sales to identify trends, use of qualitative data to inform forecast regarding behavioural factors, analysis of sales performance of similar products/services

AC3.5: **Explain how to present a marketing strategy including aims, objectives, actions accountabilities, resources, budgets and forecasts**

- *Marketing strategy components:* overall direction of strategy; specific shorter-term outcomes linked to overall strategy; how objectives will be achieved; who is responsible for what; human, materials, equipment, time; financial resources; planned performance using indicators to be measured against actual performance

AC3.6: **Explain the importance of engaging stakeholders in the development of a marketing strategy**

- *Stakeholders:* internal, e.g. management, operations, finance, customer services, IT; external, e.g. customers, partners
- *Value of engaging stakeholders:* sharing expertise, sharing experience, ensuring buy-in across the organisation

AC3.7: **Explain the significance of customer loyalty to the achievement of marketing objectives and strategy**

- *Marketing objectives:* growth, expansion into new markets, market leadership, brand awareness, positive perceptions of customers or users, linkage to organisational objectives
- *Significance of customer loyalty:* objectives informed by understanding behaviour of loyal customers, difficulty of attracting new customers, cost of lost customers, lifetime value of customers, achievement of strategic and organisational objectives, stakeholders' needs and expectations

AC3.8: **Explain how to set indicators and evaluation arrangements that are capable of measuring returns on investment**

- *Setting performance indicators:* identifying critical success factors based on objectives; clear relationship to marketing objectives; what must be done for the strategy to be successful; providing useful data
- *Evaluation arrangements:* aspects of marketing performance that can be measured, e.g. customer satisfaction, brand health, volumes of enquiries or sales; measuring actual performance against planned objectives, including returns on investment using appraisal methods, e.g. payback, average rate of return, net present value

AC4.1: **Explain the importance of conducting the evaluation in accordance with the specification**

- *Importance:* to judge how successful the strategy has been, to allow effective evaluation that can inform future strategy, to ensure evaluation of correct criteria and data

AC4.2: **Describe the factors to be taken into account in the evaluation of the effectiveness of a marketing strategy**

- *Factors:* performance against budget; performance against timelines; achievement of KPIs; original objectives for the strategy; relative importance of the different objectives; what performance measures have been chosen; how the marketing strategy relates to overall corporate strategy

AC4.3: **Explain the strengths and weaknesses of different evaluation methods**

Evaluation methods
- *SWOT analysis*
    - *Strengths:* e.g. understand your business better, address weaknesses, deter threats, capitalise on opportunities, take advantage of your strengths
    - *Weaknesses:* e.g. doesn't prioritise issues, doesn't provide solutions or offer alternative decisions, can generate too many ideas but not help you choose which one is best
- *PESTEL*
    - *Strengths* e.g. simple and easy-to-use framework for analysis, helps to reduce the impact and effects of potential threats to an organisation, enables an organisation to identify and exploit new opportunities, enables assessment of the implications of entering new markets
    - *Weaknesses:* e.g. oversimplified information used for making decisions, the process has to be conducted regularly, danger of gathering too much information and forgetting the objective of the tool, access to quality external information is often restricted, data often based on assumptions
- *Porter's five forces*
    - *Strengths* e.g. helps to understand the factors affecting profitability in a specific industry, helps inform decisions relating to entry into a specific industry or consolidation in an existing one, enables managers to think about the current situation of their industry in a structured way
    - *Weaknesses:* e.g. assumes a classic perfect market, only applicable for analysis of simple market structures, risks important elements being missed, assumes relatively static market structures, assumes all organisations try to achieve competitive advantages over competitors, suppliers and customers, no consideration of strategies like strategic alliances
- *Financial methods:* e.g. sales/profit figures, easy to calculate; can be crude and hide underlying problems
- *Customer feedback*: e.g. can give valid findings; can be difficult to analyse qualitative data, can be influenced by economic trends and/or current short term difficulties
- *Measuring response rates:* e.g. volume of enquiries generated from promotions, website 'hits'; easy to analyse data; data could be difficult to collect and may not convert into sales

AC4.4: **Describe how to identify trends and themes from evaluation data**

- *Methods for identifying trends:* use of longitudinal studies to identify trends from time series data, use of cross-sectional studies to look at similar/parallel markets, use of environmental scanning to identify external factors that can aid evaluation, e.g. PESTEL analysis

AC4.5: **Explain how to ensure the reliability and validity of evaluation data**

- *Ensuring validity*: use collection/analysis methods that are appropriate to the type of data, use methods that are appropriate for the objectives that are being evaluated, use a mix of data collection methods
- *Ensuring reliability:* careful design of measurement instruments before use, data cleansing after data is collected, data checked for consistency, ignoring outliers and/or exceptions

AC4.6: **Explain how to achieve an acceptable level of statistical confidence**

- *Statistical confidence level:* definition; increase in sample size results in higher confidence level
- *Statistical confidence interval:* definition; increase in sample size results in decreased confidence interval

AC4.7: **Explain how to address critical issues revealed by evaluation**

- *Critical issues:* inaccurate/unreliable data, KPIs not achieved, over budget
- *Means to address:* amending marketing strategy with reference to the 4Ps or 7Ps; assessing risks and benefits of making each decision

AC4.8: **Explain the importance of justifying recommendations and conclusions with evidence**

- *Importance:* to avoid opinion-based 'hunches'; to support negotiation for resources, e.g. financial, staff; to legitimise actions taken as a result of strategy implementation

AC4.9: **Explain the use of impact analysis in the evaluation process**

- *Impact analysis:* positive and negative, any risk factors
- *Uses:* to identify potential impacts on other areas of business, to identify potential resource issues from within the organisation, to provide a full picture of where indirect consequences might arise

AC4.10: Explain the importance of marketing to the achievement of business objectives and strategies

- *Business objectives:* e.g. survival, growth, innovation, service provision, cost limitation, meeting quality standards, return on investment
- *Importance:* e.g. impact on other business objectives, e.g. financial, production, operations, human resources; marketing strategies support achievement of business strategies and objectives; risk of failure in overall business strategy if marketing strategy fails

AC4.11: Describe the links between corporate social responsibility (CSR) and marketing strategies

- *Corporate social responsibility:* corporate reputation, economic, legal, ethical and philanthropic social responsibilities, impact on brand reputation
- *Marketing strategy links to CSR:* increasing demand from the market for socially-responsible behaviour, CSR as a way of enhancing corporate image, using marketing strategy to contribute to overall CSR goals of organisation, using marketing activities to raise awareness among consumers, staff and other stakeholders of CSR activities

Information for tutors

Suggested resources

Books

Blythe J - *Essentials of Marketing*, 5th edition (Pearson, 2012)
ISBN 9780273757689

Bradley N - *Marketing Research: Tools and Techniques*, 3rd edition (Oxford University Press, 2013) ISBN 9780199655090

Brassington F and Pettitt S - *Principles of Marketing*, 4th edition (Financial Times/Prentice Hall, 2006) ISBN 9780273695592

Dibb S et al - *Marketing: Concepts and Strategies*, 5th edition (Houghton Mifflin, 2005) ISBN 9780618532032

Kotler et al - *Principles of Marketing,* 5th edition (Financial Times/Prentice Hall, 2008) ISBN 9780136132370

Websites

www.adassoc.org.uk - the Advertising Association is the trade association for advertisers: providing guidance, research and standards for the advertising industry

acorn.caci.co.uk - a powerful consumer classification that segments the UK population. By analysing demographic data, social factors, population and consumer behaviour, it provides precise information and an understanding of different types of people.

www.asa.org.uk - the Advertising Standards Authority: the regulator for advertising across all media

www.cim.co.uk - the Chartered Institute of Marketing: the professional membership body for individuals working in the marketing industry

www.marketingteacher.com - free marketing resources for learners, teachers and professionals

Other - Journals

Campaign (Haymarket Business Subscriptions)

International Journal of Customer Relationship Marketing (IGI Global)

Journal of International Marketing (American Marketing Association)

Journal of Marketing (American Marketing Association)

Marketing (Haymarket Business Subscriptions)

Marketing Week (Centaur Communications Ltd)

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

This unit solely focuses on knowledge therefore learners undertaking this unit will be required to carry out a range of research activities to explore the principles of market segmentation and marketing strategy development. Assessors are encouraged to plan research activities across the scope of this unit with learners before formal assessment of learner knowledge and understanding of marketing and evaluation. Learners should be encouraged to compile and submit research notes as valid evidence towards of achievement of this unit. Assessors will need to ensure that all command verbs have been met and evidence is sufficient to meet the requirements of each knowledge assessment criterion.

Assessment of knowledge is likely to occur primarily through use of professional discussion or reflective account, where the learner explains the processes underpinning segmentation, assessment of market opportunities and development of marketing strategy; however, the learner could use evidence of annotated work product evidence to demonstrate the application of knowledge and understanding in their role.

For learning outcome 1, the primary method of assessment is likely to be professional discussion or reflective account, for example, the learner could discuss the characteristics and methods that their organisation uses to segment target markets and the decision-making processes behind their selection/use. This could be supported by annotated work products demonstrating where segmentation has occurred, for example, segmentation classification tables, spreadsheet data or screenshots from CRM systems.

For learning outcome 2, the primary method of assessment is likely to be through detailed reflective accounts, and well-planned professional discussions, enabling the learner to express the behavioural and cultural factors and processes for analysing opportunities and threats.

This could be supported by work products such as completed 5 forces, SWOT and PESTEL analyses and competitor analysis; however, this may be dependent on the commercial sensitivity of the information presented.

For learning outcome 3 and learning outcome 4, the learner could present the organisations annotated marketing strategy document, along with supporting documents such as stakeholder meeting minutes, process charts, or records of analysis, e.g. impact analysis. This should be supported by reflective accounts, and well-planned professional discussions, enabling the learner to express understanding of the decision-making processes behind the development monitoring, control and evaluation of the strategy.

Alternatively, in a classroom-based environment, all learning outcomes could be assessed through methods such as written assignments, presentations and case studies.

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 73: Principles of Digital Marketing and Research

Unit reference number: F/502/9937

Level: 3

Credit value: 7

Guided learning hours: 50

Unit type: Knowledge

Unit summary

For administrators who are involved in the Marketing function of their business Digital marketing and research is becoming an extremely important part of the role. Digital Marketing is not only a rapidly growing force in the current marketing playing field, but it is set to be the future of marketing, and it seems likely that digital media will soon replace more traditional forms altogether.

In this unit you will learn about the role of digital marketing, its strengths and weaknesses, the importance of using targeted data lists, design requirements for data capture systems and the legal requirements and implications of digital marketing.

You will explore the principles and practices of Search Engine Optimisation (SEO), its importance, advantage, disadvantages cost-effectiveness and design principles of the response systems employed.

You will consider the use of the internet for marketing research including the use of different data mining techniques, customisation of search-related internet facilities, use of multiple-table relational databases and ensuring validity and reliability of information retrieved from the internet.

You will investigate the uses and design of Customer Relationship Management (CRM) systems, the characteristics of digital marketing devices and digital response systems, the advantages and disadvantages of tracking systems, and the ways to overcome barriers posed by non-interoperable technologies.

Finally, you will explore the uses, advantages and disadvantages of a range of digital technologies for marketing campaigns including methods of managing digital databases.

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 and requirements of digital marketing	1.1 Explain the role of digital marketing within the overall marketing strategy
	1.2 Explain the strengths and weaknesses of digital marketing for different marketing applications
	1.3 Explain the importance of targeted digital marketing
	1.4 Describe the sources of data lists for use in targeting customers and potential customers
	1.5 Explain the legal requirements and implications of digital marketing
	1.6 Describe the design requirements of data capture and reporting systems for digital marketing
	1.7 Explain the importance of evaluating the impact of digital marketing activities
2 Understand the principles of search engine optimisation (SEO)	2.1 Explain the importance of search engine optimisation
	2.2 Describe how to calculate the cost-efficiency of SEO
	2.3 Explain the use of meta tags, website codes and keywords
	2.4 Explain the use of offsite SEO in optimising marketing effectiveness
	2.5 Explain the design principles of response systems
	2.6 Explain the advantages and disadvantages of links to other websites

Learning outcomes	Assessment criteria
3 Understand the principles of marketing research using the internet	3.1 Explain the scope for customising search-related internet facilities to enable the identification and retrieval of targeted information 3.2 Explain the advantages and disadvantages of different data mining techniques 3.3 Explain how to use multiple-table relational databases 3.4 Explain how to ensure the validity and reliability of information retrieved from the internet
4 Understand the principles of digital marketing device and message design	4.1 Explain the potential uses of a Customer Relationship Management (CRM) system 4.2 Explain the design requirements of a CRM system 4.3 Describe the characteristics of an effective digital marketing device 4.4 Describe the characteristics of an effective digital response system 4.5 Explain the requirements, advantages and disadvantages of different tracking systems 4.6 Explain how to overcome the barriers posed by non-interoperable technologies
5 Understand how to use digital technology for marketing purposes	5.1 Explain the implications for the use of digital technology of campaigns that are aimed at retention, acquisition and conversion 5.2 Explain methods of managing digital databases including permission marketing and the application of suppressions/opt-outs 5.3 Explain the advantages and disadvantages of different digital technologies and combination of technologies for a range of marketing applications

Unit amplification

AC1.1: Explain the role of digital marketing within the overall marketing strategy

- 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.

Generic Knowledge

- *Digital marketing:* types, e.g. company websites and online advertising, email marketing, social media, mobile phone marketing
- *Role of digital marketing:* to lead a marketing strategy; to support marketing strategy, e.g. supplementary use of digital marketing

AC1.2: Explain the strengths and weaknesses of digital marketing for different marketing applications

- *Marketing applications:* awareness campaigns, specific product/service campaigns, re-branding/re-positioning, public relations, selling
- *Strengths:* immediacy, potentially improved opportunities for interaction, easily measured responses, perceived to be more modern, better for reaching a younger demographic, can be cheaper, can have greater reach
- *Weaknesses:* may not reach target audience, may not be appropriate for the business or product, possible technology costs, information overload, alienation of some customers

AC1.3: Explain the importance of targeted digital marketing

- *Targeted digital media:* i.e. the process of identifying customers and promoting products and services via digital mediums that are likely to reach those potential customers
- *Effects:* if targeted correctly, e.g. drives traffic to product or website, makes sales; if targeted incorrectly, e.g. cost, negative responses, opportunities created for competitors
- *Implications*: using the correct media to reach target market, identifying target market, identifying correct media

AC1.4: Describe the sources of data lists for use in targeting customers and potential customers

- *Data list sources:* internal, e.g. developed from own resources, based on customer records/enquiries, responses to promotions, primary market research; external, e.g. purchased from marketing organisations, from market research organisations, from list brokers; for potential customers, e.g. use of permission marketing in the development of customer lists

AC1.5: **Explain the legal requirements and implications of digital marketing**

- *Current legislation:* Misleading Marketing Regulations 2008, Data Protection Act 1998, Copyright, Patents and Designs Act 1988, Advertising codes of practice, relating to privacy, consumer protection, content of digital marketing material, diversity
- *Implications:* complying with legal requirements, e.g. awareness of constraints, checking material before it goes live, monitoring during campaign, ensuring secure systems for managing customer data

AC1.6: **Describe the design requirements of data capture and reporting systems for digital marketing**

- *Data capture and reporting systems:* general and specific to digital marketing, e.g. age, gender, ethnicity, address, online behaviour and trends, incentives
- *Design requirements:* accuracy, reliability, cost effectiveness, fitness for purpose, management information requirements

AC1.7: **Explain the importance of evaluating the impact of digital marketing activities**

- *Evaluation of impact:* have aims and objectives been met, did it achieve what was planned, were there any unforeseen benefits or problems
- *Importance of evaluating impact:* to assess how effective the current strategy is, to enable the strategy to be adapted if necessary

AC2.1: **Explain the importance of search engine optimisation**

- *Search engine optimisation (SEO):* definition; Importance, e.g. to improve visibility, to increase web traffic, for competitive advantage, return on investment

AC2.2: **Describe how to calculate the cost-efficiency of SEO**

- *Calculation of SEO cost-efficiency:* use of analytic tools, available budget, average spend per lead, conversion of leads into sales, comparing cost of SEO with the value of sales generated, return on investment, use of website metrics

AC2.3: **Explain the use of meta tags, website codes and keywords**

- *Meta tags:* to provide additional information about a web page, e.g. website title, website description, website keywords
- *Keywords:* choice of targeted keywords, placement on web pages, order of words, specific terms and keywords that target a business, call to action
- *Website codes*: language, semantics, format, Quick Response codes (QR)

AC2.4: Explain the use of offsite SEO in optimising marketing effectiveness

- *Offsite SEO:* bigger/global market, data from wider internet, site ranking
- *Marketing effectiveness:* creating incoming links to your website from other sites, e.g. via distribution of articles and press releases; web directory submissions, blog commenting, social network bookmarking, Quick Response codes (QR)

AC2.5: Explain the design principles of response systems

- *Response systems:* collecting responses containing sufficient customer information, handled in accordance with current legislation, managed within current resources
- *Design principles:* technological requirements, ease of use and effort, enabling desired results, e.g. to sign up to a new service, to express an interest, to request further information, to opt out of further communication

AC2.6: Explain the advantages and disadvantages of links to other websites

- *Advantages:* customers can find it useful, builds relationships with other websites, can lead to reciprocal links and improve search engine rankings
- *Disadvantages:* takes traffic away from own website, resource implications for vetting websites and maintaining links

AC3.1: Explain the scope for customising search-related internet facilities to enable the identification and retrieval of targeted information

- *Customised search-related internet facilities:* personalised results, offering suggestions based on customer interests, improving relevance of internet searches
- *Identification:* customer knowledge, e.g. preferences, needs, history, likely value to the organisation
- *Retrieval:* forming links between what is known and search

AC3.2: Explain the advantages and disadvantages of different data mining techniques

- *Data-mining techniques:* specific content, focussed searching, relevant trusted sources, statistics, sampling, correlating information, cluster detection, segmentation, affinity analysis, market basket analysis, link analysis
- *Advantages:* flexibility, relevance to market/business/product, reliability, risk analysis, trend analysis, allows knowledge based decision making
- *Disadvantages:* data protection, e.g. data security, possible misuse of data

AC3.3: **Explain how to use multiple-table relational databases**

Uses

- *To analyse business:* sales patterns, trends, identifying purchasing combinations for cross-selling opportunities, identifying opportunities for upselling
- *To analyse customers:* grouping based on common behaviour patterns, analysing spend, analysing frequency of purchase, linking purchasing patterns across tables
- *To analyse customer behaviour:* how customers navigate the website, identifying selling opportunities, identifying any weaknesses in the website

AC3.4: **Explain how to ensure the validity and reliability of information retrieved from the internet**

- *Validity:* measuring what you think is being measured
  - *Internal:* subject variability, size of subject population, time given for data collection, instrument sensitivity
  - *External:* extent that findings can be generalised to the wider population, researcher effects, environmental effects, data collection methodology, outside influencers
- *Reliability:* research produces stabile and consistent results, use of sampling methods, e.g. test/retest, simple random, stratified random, cluster, systematic; design of survey questions to eliminate bias; use of triangulation, e.g. to provide a better overall picture, to allow for unusual/unexpected outcomes to be identified
- *Methods used to ensure:* assessing how trustworthy the source is, checking currency of information, information based on fact or opinions, assessing validity and reliability of any data reported, e.g. appropriateness of data collection/analysis methods

AC4.1: **Explain the potential uses of a Customer Relationship Management (CRM) system**

- *Customer relationship management:* systematic use of technology, e.g. databases to manage interactions with former/current/potential customers; logging customer details, e.g. needs, preferences, sales history
- *Uses:* maintaining and building long-term relationships with customers, gathering marketing information and feedback, developing marketing strategies, encouraging brand loyalty

AC4.2: **Explain the design requirements of a CRM system**

- *Design requirements:* customer details, e.g. contact details; customer history, e.g. what they buy, when they buy, response to promotion, communication; professional details; marketing activity; sector
- *System requirements:* flexibility, ease of data input and reporting, access, security

AC4.3: **Describe the characteristics of an effective digital marketing device**

- *Digital marketing devices*
  - *Websites:* appearance, contents, functionality, usability, Search Engine optimised
  - *email systems:* immediacy, relative informality, tone of email matched to the customer, response times, easily shared, potential for misuse
  - *SMS:* access to customers' mobile phones, personalisation of message, short focussed messages, not suitable for long messages, photos, videos and audio messages can be sent
  - *social media:* user based, community driven, interactive, relationship based, emotional
  - *e-flyers and newssheets:* sent to existing lists of customers, click through to website, timed mailings, use of a catch phrase or hook, pictures to add interest
- *Effectiveness:* effect on customers, ability to communicate message, interoperability, cost

AC4.4: **Describe the characteristics of an effective digital response system**

- *Digital response systems:* types, e.g. embedded links in emails, website registration systems, SMS short codes, quick response (QR) codes, questionnaires, promotions, vouchers; effectiveness, e.g. ability to communicate message, interoperability, cost, response

AC4.5: **Explain the requirements, advantages and disadvantages of different tracking systems**

- *Tracking systems*: e.g. cookies, website login systems; open rates, click through rates, conversion rates
- *Requirements:* ease of use, accuracy, unobtrusiveness, legal compliance
- *Advantages:* cookies, e.g. automatically sent, improve customer experience by remembering preferences; website login systems, e.g. works even if cookies disabled, useful for storing personal data securely
- *Disadvantages:* cookies, e.g. privacy concerns, potentially reduced website functionality if blocked, possible security attacks; website login systems, e.g. requires effort from customers and so might be off putting

AC4.6: **Explain how to overcome the barriers posed by non-interoperable technologies**

- *Non-interoperable technologies:* non-compatible systems, e.g. unreadable file formats between systems, constantly crashing websites
- *Ways to overcome barriers:* designing/producing separate marketing devices/messages for each technological platform, using only the most popular technological platform

AC5.1: **Explain the implications for the use of digital technology of campaigns that are aimed at retention, acquisition and conversion**

Implications

- *Campaigns focused on retention:* regular communication, using rewards and special offers, use of opt-in emails, use of 'keep me signed in' for visitors to website, reminder service for forgotten IDs or passwords
- *Campaigns focused on acquisition:* use of social networking to drive traffic to a website, search engine optimisation
- *Campaigns focused on conversion:* simplified buying and payment making processes, use of logins to store and recover customer details securely
- *The use of digital technology campaigns:* appropriateness of digital technology to the market, relevance of message to the recipient, balance between being annoying and informing, ability of the campaign to achieve its aim

AC5.2: **Explain methods of managing digital databases including permission marketing and the application of suppressions/opt-outs**

- *Methods:* customer preferences for permission marketing, e.g. opting in/opting out, soft opt-ins; using a database that can record customer preferences; legal aspects; data storage; encryption
- *Suppression:* i.e. matching consumer records against industry data files to remove those who cannot or will not respond, e.g. when customer deceased, customer has opted out, customer has moved address

AC5.3: **Explain the advantages and disadvantages of different digital technologies and combination of technologies for a range of marketing applications**

- *Marketing applications:* see AC1.2 amplification
- *Advantages of different digital technologies:* flexibility, effectiveness of access for actual/potential customers, opportunities for customers to respond to messages using different digital technologies
- *Disadvantages:* cost of developing digital messages for different digital technologies, need to regularly 'upgrade' to keep ahead of competitors, financial cost of investing in infrastructure, easy to copy innovations, customer awareness of digital technologies

Information for tutors

Suggested resources

Books

Cave S - *Consumer Behaviour in a Week*, 2nd edition (Hodder Arnold, 2002) ISBN 9780340849712

Chaffey D - *E-Business and E-Commerce Management*, 5th edition (FT Prentice Hall, 2011) ISBN 9780273752011

Chaffey D et al - *Internet Marketing: Strategy, Implementation and Practice*, 4th edition (FT/Prentice Hall, 2009) ISBN 9780273717409

Chaffey D and Smith P - *Emarketing Excellence: Planning and Optimizing your Digital Marketing*, 4th Edition (Routledge, 2013) ISBN 9780415533379

Dibb S et al - *Marketing: Concepts and Strategies*, 5th edition (Houghton Mifflin, 2005) ISBN 9780618532032

Greenburg P - *CRM at the Speed of Light, Strategies, Tools, and Techniques for Engaging Your Customers*, 4th edition (McGraw-Hill, 2010) ISBN 9780071590457

Websites

www.businesslink.gov.uk - information and advice on business, including digital marketing

www.cim.co.uk - the Chartered Institute of Marketing: the professional membership body for individuals working in the marketing industry

www.the-dma.org - the Direct Marketing Association: the world's leading independent organization for data-driven marketers, providing information, research and guidance on direct marketing

www.mrs.org.uk - the Market Research Society: the world's leading research association providing information on how to conduct a marketing research

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

This unit solely focuses on knowledge therefore learners undertaking this unit will be required to carry out a range of research activities to explore the principles of digital marketing including usage of SEO, the internet and digital marketing devices. Assessors are encouraged to plan research activities across the scope of this unit with learners before beginning formal assessment of learner knowledge and understanding of the uses of digital marketing. Learners should be encouraged to compile and submit research notes as valid evidence towards of achievement of this unit. Assessors will need to ensure that all command verbs have been met and evidence is sufficient to meet the requirements of each knowledge assessment criterion.

Assessment of knowledge is likely to occur primarily through professional discussion or reflective account, where the learner explains the processes underpinning digital marketing; however, the learner could use evidence of annotated work product evidence to demonstrate the application of knowledge and understanding in their role.

Learning outcome 1 could be assessed through planned professional discussion or reflective account, where the learner demonstrates their understanding of the role of digital marketing, and its importance to their own organisation. Learners could also discuss the processes and systems used, appropriate information sources and the management of digital marketing activity within legal constraints.

Learning outcome 2 could be assessed through evidence of work products in the form of annotated research and proposals to colleagues on the case for the use of SEO, and its importance in the current and future business world. Alternatively, the learner could discuss their own organisations use of SEO, including the use of Meta tags, website codes and keywords.

Where work products are used they should be supported by planned professional discussion or reflective accounts, enabling the learner to clearly demonstrate understanding of the principles and to link the evidence to instances of their own work practice.

For learning outcome 3, the learner could present work products in the form of a proposal for using the internet to meet the needs of a market research project, along with supporting materials such as annotated screen shots of database use, or customised search-related internet facilities. Ideas for the research project could include producing market research data to support given marketing activity, to identify new markets, to quantify markets, or to establish the strength of a business or product within a given market. The use of market research data for the analysis and profiling of customers is another way of approaching this learning outcome. This work product should be supported by detailed written reflective accounts or well-planned professional discussions, enabling the learner to explain the decision-making process followed.

Learning outcome 4 and learning outcome 5 could be assessed through professional discussion or reflective account explaining the decision-making process followed to choose the CRM systems and digital technology in current use. This could be supported by evidence of work products, for example a proposal or presentation to colleagues on the uses, characteristics and strengths/weaknesses of a range of CRM systems and digital technologies.

Alternatively, in a classroom-based environment, all Learning Outcomes could be assessed through methods such as written assignments, presentations and case studies.

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

Unit 74: Principles of Marketing Stakeholder Relationships

Unit reference number: J/502/9938

Level: 3

Credit value: 3

Guided learning hours: 16

Unit type: Knowledge

Unit summary

The relationships that businesses have with their stakeholders are incredibly important from both commercial and strategic points-of-view. This unit will give administrators an understanding of the importance and nature of Stakeholder relationships. It will also help them to understand how to build, manage, monitor and control these relationships.

In this unit you will learn about marketing stakeholder relationships including how to identify and prioritise stakeholders' relationships, how to map stakeholders, establishing their attitudes towards an organisation and how this affects the nature of relationships and communications. You will also describe the possible synergies and conflicts between stakeholders.

You will explore how to build and manage marketing stakeholder relationships including how to identify common goals, engaging stakeholders in marketing activities, agreeing common objectives and investigating the roles of generalist and specialist staff in building long-term relationships with stakeholders.

Finally, you will learn how to monitor and control marketing stakeholder relationships, reviewing the use of Key Performance Indicators (KPIs), effective communication, strategies for addressing change to stakeholder needs and attitudes and systems for reporting and reviewing the effectiveness of the stakeholder relationship.

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 marketing stakeholder relationships	1.1 Explain the basis on which the need for marketing stakeholder relationships are identified and prioritised
	1.2 Explain the use of stakeholder mapping in developing ways of building relationships
	1.3 Describe the nature of interest of different stakeholder groups and how this affects the nature of relationships and communications
	1.4 Explain the significance of stakeholders to the achievement of the overall marketing strategy
	1.5 Describe the features of the market in which stakeholders operate
	1.6 Describe how to establish stakeholders' attitudes to an organisation
	1.7 Describe actual and potential synergies and conflicts between clients and other stakeholders
2 Understand how to build and manage marketing stakeholder relationships	2.1 Explain how to identify common goals and potential synergy between stakeholders and an organisation
	2.2 Explain the importance of engaging stakeholders in marketing activities
	2.3 Explain the basis upon which stakeholder communications plans are developed
	2.4 Explain the requirements of a competitor management strategy
	2.5 Explain the importance of agreeing common objectives with clients
	2.6 Describe the scope of generalist and specialist personnel that can be deployed in support of building long term relationships with clients

Learning outcomes	Assessment criteria
3 Understand how to monitor and control marketing stakeholder relationships	3.1 Explain the use of key performance indicators (KPIs) and success criteria in monitoring the effectiveness of stakeholder relationships
	3.2 Describe methods of monitoring the on-going effectiveness of stakeholder relationships
	3.3 Explain the importance of effective stakeholder communications and feedback system
	3.4 Explain how changes in the market environment in which stakeholders operate may have an impact on relationships
	3.5 Explain how to develop strategies and plans that address changing stakeholder attitudes and needs
	3.6 Explain how to develop reporting systems that meet agreed success criteria
	3.7 Explain the importance of reviewing the effectiveness of collaborative arrangements with stakeholders

Unit amplification

AC1.1:   Explain the basis on which the need for marketing stakeholder relationships are identified and prioritised

- *Stakeholder types:* colleagues, management, shareholders, employees, customers, suppliers, communities, governmental bodies, political groups, trade associations, trade unions, competitors
- *Need for relationship:* collaborative working, feedback, authorisation, objective setting
- *Prioritisation:* relative importance of stakeholders in relation to business success

AC1.2:   Explain the use of stakeholder mapping in developing ways of building relationships

- *Use of stakeholder mapping:* interest versus power, stakeholder perspectives and interests, willingness to engage, necessity of stakeholder involvement, influence of stakeholder, value of stakeholder
- *Building relationships:* identifying importance of stakeholder relationship, identifying stakeholder interests, strategies to engage stakeholder, agreeing collaborative potential, agreeing common objectives, involvement in decision making process, keeping stakeholder informed, responding quickly to feedback

AC1.3:   Describe the nature of interest of different stakeholder groups and how this affects the nature of relationships and communications

- *Nature of stakeholder interests:* differing interests, different preferred communication methods, different levels of influence, attitudes towards innovation and risk
- *Key aspects to consider about stakeholders:* position on interest/power grid, motivations, current opinions, what influences their opinion, what information they want to know
- *Nature of marketing communication*: e.g. to inform, to reassure, to persuade
- *Effects on communication:* frequency, level of detail, method of communication

AC1.4:   Explain the significance of stakeholders to the achievement of the overall marketing strategy

- *Impacts of stakeholder:* positive, e.g. endorsement of product or company, high quality feedback; negative, e.g. conflicting goals, negative response, goals not met
- *Significance of stakeholder:* to the overall success of the organisation, to the achievement of objectives; investors, suppliers, regulators, e.g. the loss of a large customer could result in revised sales strategies

AC1.5: **Describe the features of the market in which stakeholders operate**

- 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.
- *Generic Features:* political, economic, social, technological, legal, ethical, level of competition, activities of competitors, relative market share and market growth, level of potential for negative impact of company's activities

AC1.6: **Describe how to establish stakeholders' attitudes to an organisation**

- *Methods for establishing stakeholders attitudes:* identify the key stakeholders, assess stakeholder attitudes and power over the organisation, design stakeholder engagement strategies; use of primary research, e.g. interviews, questionnaires, feedback forms, focus groups, attitude surveys; secondary research, e.g. newspaper articles, online forums

AC1.7: **Describe actual and potential synergies and conflicts between clients and other stakeholders**

- *Synergies:* ways in which different stakeholders have common interests e.g. shared values, shared data, shared research, procurement economies of scale
- *Conflicts:* ways in which different stakeholders have conflicting interests, e.g. values, goals, working practices

AC2.1: **Explain how to identify common goals and potential synergy between stakeholders and an organisation**

- *Identifying goals:* establishing needs of stakeholders, assessing stakeholder interest, establishing expectations of stakeholders, short term goals/long term goals, e.g. short term investment returns versus long term investment returns
- *Identifying potential synergy:* clarifying goals and constraints of the organisation in relation to marketing strategy, e.g. marketing objectives, resource capabilities, financial constraints, communication with stakeholders to discuss collaboration, negotiation with stakeholders over collaboration

AC2.2: **Explain the importance of engaging stakeholders in marketing activities**

- *Importance:* to identify opportunities to improve corporate/brand image, to avoid damage to brand/company image, to better inform decision making, commitment and loyalty, stakeholder 'buy in'

AC2.3: **Explain the basis upon which stakeholder communications plans are developed**

- *Basis:* gaining support for new products, new markets, controversial products or markets, maintaining market share, withdrawing from a market, closing down a product line
- *Communications plans:* service level agreements, frequency of updates
- *Developing communications plans:* relating communications objectives to marketing objectives, identifying the most effective methods of communication with each stakeholder, monitoring processes, review processes

AC2.4: **Explain the requirements of a competitor management strategy**

- *Competitor management strategy:* competitor analysis, e.g. market share, product range, planned developments, power in the market, influence over the market
- *Requirements:* analysis of competition, using relevant tools, e.g. SWOT, Ansoff, Porter's 5 forces, Boston Matrix, planning ways of dealing with the competition

AC2.5: **Explain the importance of agreeing common objectives with clients**

- *Common objectives:* shared, agreed, mutually beneficial, collaborative
- *Importance:* efficient and effective implementation of strategy, establishes a sense of ownership, can minimise conflict and/or disagreement, can help identify opportunities/threats

AC2.6: **Describe the scope of generalist and specialist personnel that can be deployed in support of building long term relationships with clients**

- *Generalist personnel:* wide array of knowledge and skills, working across disciplines, experience of a number of distinct processes
- *Specialist personnel:* PR companies, crisis management companies, CRM companies (to manage technology-based systems)
- *Importance of total marketing (generalist) approach:* involving staff in different functions within the company
- *Importance of specialist approach:* to manage relationships, catering for specific needs, domain expertise

AC3.1: **Explain the use of key performance indicators (KPIs) and success criteria in monitoring the effectiveness of stakeholder relationships**

- 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.
- *Generic knowledge:* agreed success criteria, objective setting as a preliminary process to setting up performance management, identifying critical success factors that will determine success of stakeholder relationship management, KPIs derived from critical success factors

AC3.2: **Describe methods of monitoring the ongoing effectiveness of stakeholder relationships**

- *Methods:* survey, annual review, ad-hoc contact, account management, customer feedback systems, environmental scanning, e.g. use of internet for trends in opinions, CRM systems to record customer purchasing behaviour, meetings and other communications with stakeholders

AC3.3: **Explain the importance of effective stakeholder communications and feedback system**

- *Importance of effective communications:* to secure support, to allow them to influence plans, to avoid inappropriate or uninformed response
- *Consequences of ineffective communication:* unclear key messages, misunderstandings, loss of support, absence of feedback

AC3.4: **Explain how changes in the market environment in which stakeholders operate may have an impact on relationships**

- *Market environment:* political, economic, social, technological, ethical, legal, competitors
- *Changes in behaviour or attitudes:* due to external factors, e.g. economic factors, bad publicity about particular issues leading to changed perceptions
- *Changes in activities of competitors:* products, price, strategy
- *Changes in internal factors:* company changes, strategic changes

AC3.5: **Explain how to develop strategies and plans that address changing stakeholder attitudes and needs**

- *Developing strategies and plans:* identify driving and resisting factors, design marketing strategies around stakeholder attitudes, design around stakeholders needs, involve stakeholders in the development of strategies and plans through consultation/participation

AC3.6: **Explain how to develop reporting systems that meet agreed success criteria**

- *Reporting systems:* CRM system, internal communication
- *Development of systems:* establish review process within planning cycle, contingency planning to allow alternative actions to address digression from planned progress, measuring planned progress against actual progress

AC3.7: **Explain the importance of reviewing the effectiveness of collaborative arrangements with stakeholders**

- *Collaborative arrangements:* working with stakeholder on shared strategies, goals
- *Reviewing effectiveness:* exploring possibility of changes in relationships due to internal and external factors
- *Importance:* ensuring agreement, ensuring smooth implementation of strategies

Information for tutors

Suggested resources

Books

Anderson K and Kerr C - *Customer Relationship Management*, 1st edition (McGraw Hill, 2002) ISBN 9780071379540

Blythe J - *Essentials of Marketing*, 5th edition (Pearson, 2012) ISBN 9780273757689

Brassington F and Pettitt S - *Principles of Marketing*, 4th edition (Financial Times/Prentice Hall, 2006) ISBN 9780273695592

Cave S - *Consumer Behaviour in a Week*, 2nd edition (Hodder Arnold, 2002) ISBN 9780340849712

Dibb S et al - *Marketing: Concepts and Strategies*, 5th edition (Houghton Mifflin, 2005) ISBN 9780618532032

Gummerson E - *Total Relationship Marketing: Marketing Management, Relationship Strategy, CRM, and a New Dominant Logic for the Value-creating Network Economy*, 3rd edition (Butterworth-Heinemann, 2008) ISBN 9780750686334

Martin C, Payne A and Ballantyne D - *Relationship Marketing: Creating Stakeholder Value*, (Butterworth-Heinemann, 2002) ISBN 9780750648394

Needham D and Dransfield R - *Marketing: Everybody's Business – Covering European and International Marketing*, 2nd edition (Heinemann, 1994) ISBN 9780435450250

Websites

www.cim.co.uk - the Chartered Institute of Marketing: the professional membership body for individuals working in the marketing industry

www.the-dma.org - the Direct Marketing Association: the world's leading independent organization for data-driven marketers, providing information, research and guidance on direct marketing

www.marketingteacher.com - free marketing resources for learners, teachers and professionals

www.statistics.gov.uk - official UK statistics

Other - Journals

Campaign (Haymarket Business Subscriptions)

International Journal of Customer Relationship Marketing (IGI Global)

Journal of International Marketing (American Marketing Association)

Journal of Marketing (American Marketing Association)

Marketing (Haymarket Business Subscriptions)

Marketing Week (Centaur Communications Ltd)

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

This unit solely focuses on knowledge therefore learners undertaking this unit will be required to carry out a range of research activities to explore the principles of understanding, building and controlling marketing stakeholder relationships. Assessors are encouraged to plan research activities across the scope of this unit with learners prior to formal assessment of learner knowledge and understanding of marketing stakeholder relationships. Learners should be encouraged to compile and submit research notes as valid evidence towards of achievement of this unit. Assessors will need to ensure that all command verbs have been met and evidence is sufficient to meet the requirements of each knowledge assessment criterion.

Throughout this unit the learner needs to demonstrate that they understand the complex nature of stakeholder relationships. This arises in part from the fact that any one organisation could have a number of stakeholder groups whose objectives are in conflict with those of the learners' organisation and with each other.

Assessment of knowledge is likely to occur primarily through use of professional discussion or reflective account, where the learner explains the processes underpinning the management of marketing stakeholder relationships; however, the learner could use evidence of annotated work product evidence to demonstrate the application of knowledge and understanding in their role.

Learning outcome 1 is likely to be assessed through planned professional discussion, where the learner demonstrates their awareness of the importance of marketing stakeholder relationships to their own organisation. Learners could also discuss the processes and systems used to map and understand stakeholder needs and attitudes, how these might lead to conflict or synergy, and how these might shape an organisations' overall marketing strategy. Alternatively, a learner could provide work product in the form of stakeholder mapping reports, supported by reflective accounts on how this information influences the organisations' strategy. Awareness needs to be paid to the potential commercial sensitivity of any work product presented.

Learning outcome 2 could be assessed through detailed reflective accounts, and well-planned professional discussions, enabling the learner to express understanding of the importance of engaging stakeholders in common objectives and activities and processes for doing this, including the use of generalist/specialist staff. This could be supported by work product such as written communications with stakeholders, planning documents stating goals and objectives.

Learning outcome 3 deals with the planning and maintenance of marketing stakeholder relationships. For this learning outcome the learner could present evidence of work products, for example, documentation stating the organisations plans, strategies and methods used to managing and monitoring stakeholder relationships. This should be supported by reflective accounts, linking the knowledge to the learner's work practice and demonstrating their understanding of the processes used to monitor and control marketing stakeholder relationships.

Alternatively, in a classroom-based environment, all learning outcomes could be assessed through methods such as written assignments, presentations and case studies.

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 75: Understand the Customer Service Environment

Unit reference number:	**Y/506/2152**
Level:	**3**
Credit value:	**5**
Guided learning hours:	**40**
Unit type:	**Knowledge**

Unit summary

When working in a customer service role it is important that you understand some key customer service concepts and practices as they will form the basis for decisions you make and how you interact with customers and/or colleagues.

In this unit you will learn how different customer service models and standards support the structure of customer service and the costs and benefits of this service to an organisation. You will learn about the link between customer service and the process of continuous improvement and how customers' expectations are formed. You will gain an understanding of how organisations measure the effectiveness of the customer service they provide, how customer service can sometimes fail and how problems can be rectified. You will gain an understanding of the importance of 'brand', how an organisation's brand can affect customers' perceptions and how good or bad service can have an impact on that brand. You will also learn about consumer legislation and data protection and how they affect customer service.

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 concepts and practices underpinning customer service delivery	1.1 Explain the value of customer service as a competitive tool
	1.2 Explain the process of mapping the customer journey and its importance in delivering effective customer service
	1.3 Describe techniques used to identify service failures
	1.4 Explain the concept and importance of the service profit chain
	1.5 Describe methods of measuring organisational 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 customers and to an organisation
	2.2 Explain how branding can influence customers' perception of an organisation and its products and/or services
	2.3 Explain the potential impact of good and poor customer service on a brand
3 Understand the structure of customer service	3.1 Explain the features of different customer service models and customer service standards
	3.2 Explain the relationship between customer service and operational areas of an organisation
	3.3 Explain the relationship between customer service and continuous improvement processes
	3.4 Explain the costs and benefits of customer service to an organisation
	3.5 Explain the impact of organisational values on how customers create their expectations
	3.6 Explain how organisational values impact on meeting customer expectations

Learning outcomes	Assessment criteria
4 Understand the implications of legislation on customer service delivery	4.1 Explain the implications of consumer-related legislation on customer service delivery
	4.2 Explain the implications of confidentiality and data protection legislation for the collection, storage and use of customer information

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 value of customer service as a competitive tool

- *Value of customer service:* ability to gain customer loyalty; skills and knowledge of staff, meeting customer expectations, exceeding customer expectations, providing a competitive edge, setting organisation apart, known for quality of customer service, attracting 'hard to reach' customers

AC1.2: Explain the process of mapping the customer journey and its importance in delivering effective customer service

- *Mapping the customer journey:* identifying all the experiences of a customer from entry to exit in a customer service setting and the customer's response to each of those experiences
- *Stages within the customer journey*
    - identify the key journey steps in a sequential order
    - for each step, identify the customer's response (what they do, how they think and feel) against the organisation's intended customer response
    - identify points of interaction in the journey (face to face, verbal, physical)
    - identify those points in the customer service process that have the most impact on the customer experience and the elimination of potential negative impacts
- *Importance in delivering effective customer service:* opportunity to see things from the customer's perspective, identifies customer needs and expectations, identifies areas of weakness in service, drives change to improve service, influences strategy, policies and procedures, improves customer retention, increases organisational efficiency and effectiveness

AC1.3: Describe techniques used to identify service failures

- *Techniques for identifying service failures*
  - *analysis of customer feedback* – negative feedback, specific issues where *poor service cited*
  - *monitoring* – quality checks with staff, observations of staff to reveal potential trends in service failures
  - *benchmarking against competitor and/or organisational standards* – service level agreements (SLAs), identifying service failures
  - *auditing of the supply chain* – quality of service provided by suppliers, service partners

AC1.4: Explain the concept and importance of the service profit chain

- *Service profit chain:* establishes relationships between customer loyalty and customer satisfaction, profitability and revenue growth, value of service offered by loyal and productive employees
- *Importance of the service-profit chain*
  - *profitability and revenue growth* – link with organisation's vision and mission
  - *customer loyalty* – alignment with profit, growth (retention, repeat business, and referrals)
  - *customer satisfaction* – relationship with customer loyalty, service designed and delivered to meet targeted customer needs
  - *external service value* – association with customer satisfaction, an organisation's ability to create value for the customer
  - *employee retention* – recognition of the value of loyal employees
  - *employee productivity* – connection with satisfied and loyal employees, more productive, customer focused, high level of customer service
  - *employee satisfaction* – employee loyalty driven by employee satisfaction
  - *internal service quality* – engaging employees to ensure employee satisfaction through effective workplace design, job design, employee selection, development, employee rewards, recognition; tools for serving customers that can assist an organisation in increasing its financial performance and competitiveness

AC1.5: **Describe methods of measuring organisational effectiveness in the delivery of customer service**

- *Measuring organisational effectiveness*
  - *monitoring policies and procedures* – reviewing policies for effectiveness, review of code of practice for dealing with customers, reporting customer problems, analysis against organisational service standards
  - *analysing customer feedback* – compliments and complaints, analysis of data for trends, types of complaints by category, review against organisation's performance targets and service level agreements (SLAs)
  - *benchmarking* – monitoring the service offer against key performance indicators both internal and external, staff's knowledge of products and/or services, sales targets, attendance and continuity of staff
  - *comparability research* – comparison (against own performance, competitors' performance), identifying gaps (in the customer experience, type and range of products and/or services)
  - *evaluation* – organisational objectives for leadership and management, communication of service standards, monitoring performance, support for staff, training of staff, dealing with poor performance, capability procedures
  - *strategic review* – strategic objectives for service offer and standards, organisational objectives for customer service and staff, operational plans for dealing with customers and risk assessment against service failure

AC2.1: **Explain the importance of a brand to customers and to an organisation**

- *Importance to customers:* brand awareness, knowledge of a brand, experience with a brand, expectations fulfilled, safe option, reliability
- *Importance to organisation:* brand identity, the outward expression of a brand, customer retention, reputation, distinguishes organisation from competitors

AC2.2: **Explain how branding can influence customers' perception of an organisation and its products and/or services**

- *Brand associations:* memories, personal experience, perceptions, trust, good value, images, beliefs, customer values
- *Brand image:* professional, trustworthy, competent, reliable, competitive, ethical
- *Brand promotion:* organisation's website, logo, advertising style, social media
- *Brand influence:* customers' perceptions, alters customers' expectations

AC2.3: Explain the potential impact of good and poor customer service on a brand

- *Potential impacts of good and poor customer service*
  - *brand loyalty* – maintained or increases with good customer service, decreases with poor customer service
  - *reputation* – maintained or increases with good customer service, decreases with poor customer service (poor customer service experiences are more likely to be shared than good experiences)
  - *brand image* – positive image associations with good customer service, negative image associations with poor customer service
  - *revenue* – maintained or increases with good customer service (customers are willing to pay more for a reputable brand), revenue reduced with poor customer service

AC3.1: Explain the features of different customer service models and customer service standards

- *Features of customer service models*
  - *increasing customer satisfaction* – being responsive, helpful, courteous, increasing range of products and/or services, providing value for money
  - *decreasing customer complaints* – ensuring accurate information given, resolution of queries and problems
  - *creating an atmosphere of service* – both internal and external, staff training, leadership and management, adherence to policies and procedures
  - *providing excellent service* – being attentive, meeting and exceeding customer needs and expectations, ensuring knowledge of staff, assistance and advice given to customers
- *Customer service standards*
  - *continual updating of policies and procedures to meet customers' needs* – conforming with equality and diversity, handling customer problems and complaints, dealing with angry or dissatisfied customers
  - *implementation of strategies to* – obtain and use customer feedback, provide new and additional services, have continual dialogue with customers, retain dissatisfied customers

AC3.2: **Explain the relationship between customer service and operational areas of an organisation**

- *Operational:* standards of customer service, understanding of customer expectations, knowledge of products and/or services, product and/or services specialists, visual signing and directions, customer environment
- *Human resources:* recruitment and selection of staff, training and development of staff, customer service procedures and policies
- *Finance:* resources, financial services and payment advice, warranties and insurance
- *Customer services:* telephone and online support, exchanges and refunds, deliveries, after-sales services
- *Marketing:* consultancy services, marketing materials, sales information, advertising strategies

AC3.3: **Explain the relationship between customer service and continuous improvement processes**

- *Communication and dialogue with customers*
  - *communication* – face to face, online, telephone
  - *relationship* – provides information on good or bad customer service, revisions to support improvements on protocols when dealing with customers, providing advice and guidance, knowledge of products and/or services, revisions to policies and procedures supporting service offer and service standards, communication with customers in writing, marketing materials, initiating and updating Customer Relationship Management (CRM) system information
- *Interaction with customers*
  - *interaction* – establishing wants and needs of customers, customer expectations, providing products and/or services, providing additional services
  - *relationship* – information gained from review and customer feedback supports improvements in the customer journey, quality of the service offer, service standards, resolving customer problems, staff training, processes and procedures, potential improvements for service partners

AC3.4: **Explain the costs and benefits of customer service to an organisation**

- *Providing customer service:* recruitment and selection of customer service staff, induction of new staff, training of new and existing staff
- *Customer service environment:* organisational premises (design, décor, ambiance), design of website for customer service
- *Additional customer services*: information and advice (verbal, written), consultancy, delivery
- *Benefits:* satisfied customers, new and additional customers, morale of staff, staff retention, customer loyalty, increased revenue, competitive edge
- *Costs:* financial, resources (staffing, time, equipment, materials)

AC3.5:   Explain the impact of organisational values on how customers create their expectations

- *Organisational values*
  - *vision and mission* – customers' perception of positive connection with organisation's values
  - *service offer* – values based on customer charters and codes of practice, ethical beliefs, commitment to quality of products and/or services
  - *brand* – brand image, brand identity and brand awareness, perceptions of quality of product and/or service, place in the market, value for money
  - *impact* – customer expectations are linked to their perception of a brand, perception of customer experience, values related to customer service, quality of products and/or servi*ces, preferences on access to additional services, personal lifestyle, personal views on integrity of transactions, ethical values, customer recognition and reward*

AC3.6:   Explain how organisational values impact on meeting customer expectations

Meeting customer expectations

- *customer service* – providing quality customer service, experienced and knowledgeable staff, well-trained staff, social and communication skills of staff, personal presentation of staff
- *products and/or services* – product and/or service knowledge of staff, technical support, specialist advice and guidance
- *additional services* – online support, help desks, delivery, after sales
- *flexibility* – late opening, weekend, online
- *payment* – varied and flexible, interest free or low interest rate, flexible duration for payment

AC4.1: **Explain the implications of consumer-related legislation on customer service delivery**

- *Consumer-related legislation*
  - Consumer Rights Act 2015
    - goods and data must match the description; be of a satisfactory quality; be fit for a particular purpose
    - consumer has short term right to reject, request repair or replacement of faulty goods; within 30 days of supply
    - the trader must provide repair or replacement at no cost to consumer, within a reasonable time, without causing significant inconvenience
    - where repair or replacement fail, entitlement to further repairs or replacement or claim a price reduction or right to reject
    - after 6 months consumer has to prove defect/fault present at time of purchase
  - *Service must be carried out with reasonable care and skill; information said or written to the consumer is binding where the consumer relies on it; must be done for a reasonable price; must be carried out within a reasonable time*
  - *Consumer Credit Act 1974* – credit agreements, cooling off periods, credit and store cards, protection from faulty goods, counterfeit goods, poor service, problems with contracts, problems with rogue traders
  - Trade Descriptions Act 1968 – product and/or services descriptions to be accurate (in writing, verbally)
  - Consumer Protection Act 1987 – goods purchased (credit card, store card, credit agreement), consumer protection against non-delivery of goods, faulty goods, misrepresentation
  - Consumer Contracts Regulations 2013 – location of retailer and purchaser, delivery deadlines, cooling-off period, rights to cancellation, confirmation of purchase, rights to a refund
  - The Consumer Protection from Unfair Trading Regulations 2008 – the regulations ban traders in all sectors from using unfair commercial practices towards consumers, a general ban on conduct below a level which may be expected towards consumers (honest market practice/good faith), misleading practices, aggressive sales techniques
- *Implications of consumer-related legislation on customer service delivery*
  - *products supplied and/or services provided must meet regulations and legislation, failure to comply could result in prosecution, fines or imprisonment may be applied, staff need to follow clear procedures in order to remain compliant, organisations must have clear procedures in place and staff should be trained in these procedures*

AC4.2   Explain the implications of confidentiality and data protection legislation for the collection, storage and use of customer information

- *The Data Protection Act 1998 (8 principles)*
  - fairly and lawfully processed – transparency
  - processed for limited purposes – fixed to the transaction
  - adequate, relevant and not excessive – limitations
  - accurate and up to date
  - not kept for longer than is necessary – time and duration
  - processed in line with your rights – ability to sight personal details and information held
  - secure – securely stored, controlled access, controlled circulation
  - not transferred to other countries without adequate protection – EU regulations

- *Implications*
  - data (paper and electronic) stored according to legislation (no longer than is necessary)
  - sharing of information is restricted and controlled (within organisation, customers and to external organisations)
  - disclosing of information (confirming identity/security questions)
  - fines for non-compliance
  - damage to organisation's reputation

Information for tutors

Suggested resources

Books

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

Harris E K – *Customer Service: Pearson New International Edition: A Practical Approach*, 6th edition (Pearson Education Ltd, 2014) ISBN 9781292040356

Websites

www.gov.uk – information on consumer law and customers' rights

www.ico.org.uk – information on data protection legislation

www.instituteofcustomerservice.com – information and guidance on many aspects of customer service

www.skillscfa.org – Skills CfA is the Sector Skills Council for a whole range of business skills sectors, including customer service

www.tradingstandards.gov.uk – Information on consumers' rights

Other

Customer Focus magazine – produced by the Institute of Customer Service and includes information on 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 45 minutes and is worth 30 marks. The assessment is available on demand.

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

Internal assessment

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

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

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

Unit assessment guidance

The following is the required assessment method for this unit.

All learning outcomes in this unit 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. Due to the nature of the individual learning outcomes and the size of the unit, it is likely that a series of linked or separate assessment tasks is needed for this unit rather than a single project. While the learning outcomes mainly require the learner to demonstrate knowledge and understanding of general customer service concepts and principles, there are some opportunities for learners to relate this to their working environment and working experiences and this should be utilised in the design of the assessment. Evidence could be presented in a range of formats such as written reports, presentation slides, workbooks and directed assignments, as long as they allow the learner to present the evidence required to meet the assessment criteria.

Unit 76: Understand the Legal Context of Business

Unit reference number: D/506/1939

Level: 3

Credit value: 6

Guided learning hours: 44

Unit type: Knowledge

Unit summary

It is vitally important that all businesses are aware of legislation, the legal context in which they operate, and their legal responsibilities. Legislation is designed to stop businesses from being harmed by the illegal acts of competitors, customers, suppliers, employees and even government. Legislation has an impact on all aspects of a business' operation, whether it relates to how the business is structured, how the business conducts its relationships with others or how it employs staff.

In this unit you will learn about the legal framework in which businesses operate and how government departments and agencies influence and enforce policies that affect everyday business operations. You will develop understanding of corporate governance and statutory legal requirements across all aspects of business. You will explore the importance of agreeing contracts for people, products and services and the legal considerations that need to be taken into account when forming contractual agreements with others. In a business context, you will confirm the differences between neglect and liability and understand how they have an impact on the organisation and others.

Employment law is one of the most complex legal areas of a business and with the most significant consequences. You will focus on your understanding of the rights and responsibilities of employers, and the importance, value and content of typical contracts of employment, including variations that meet the needs of a range of workers, and working arrangements. You will explore the legal requirements for a business in relation to workplace health and safety and legislation that prevents discrimination 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 Understand the legal framework within which businesses operate	1.1 Explain the legal requirements of different types of business
	1.2 Describe the roles and powers of government departments and agencies in regulating business
	1.3 Explain the legal provisions relating to intellectual property
2 Understand the principles of business governance	2.1 Explain the corporate governance statutory framework of a business
	2.2 Explain the roles and responsibilities of an organisation's governing body
	2.3 Explain the financial reporting requirements of an organisation
3 Understand how contract law affects a business	3.4 Explain the elements of a valid business contract
	3.2 Analyse different types of contracts
	3.3 Explain the difference between negligence and liability
	3.4 Explain the liabilities and entitlements of sellers and purchasers of goods and services
4 Understand the requirements of employment law	4.1 Describe the sources, institutions and enforcement systems for individual employment rights
	4.2 Explain the features of types of worker and employment contracts for service
	4.3 Explain the implications of contracts of service and contracts for service
	4.4 Explain the implications of different types of employment status
	4.5 Explain the requirements for an organisation for health and safety
	4.6 Explain the requirements for an organisation for equality and diversity

Learning outcomes	Assessment criteria
	4.7 Explain the implications for an organisation of wrongful dismissal, unfair dismissal and redundancy
	4.8 Describe the impact of human rights legislation on the employment relationship

Unit amplification

AC1.1:   Explain the legal requirements of different types of business

- *Types of business:* sole trader, e.g. partnership, company; private limited company (Ltd.); franchises; workers cooperative; limited liability partnership (LLP); public limited company(PLC)
- *Legal requirements*
  - *intellectual property:* trademarks, copyrights, patents
  - *trading laws: Trade Descriptions Act 1968, Sale of Goods Act 1979, Supply of Goods and Services Act 1982, Data Protection Act 1998, Consumer Protection Act 1987, Price Marking Order 2004*
  - *insurance:* employers' liability (ELI), public liability (PLI), indemnity, motor, insurance relating to specialist equipment
  - *tax liabilities (HMRC):* Inland Revenue, Customs and Excise
  - health and safety: Health and Safety at Work Act 1974, Health and Safety at Work Regulations 1999, Manual Handling Operations Regulations 1992, Health and Safety (Display Screen Equipment) Regulations 1992 Workplace (Health, Safety and Welfare) Regulations 1992, Working time regulations 1998, Control of Substances Hazardous to Health (COSHH, 2002, Equality Act 2010, Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013
  - *equality and diversity: Equality Act 2010*
  - *discipline and grievances at work:* ACAS disciplinary and grievances code of practice 2009, Trade Union and Labour Relations (Consolidation) Act 1992

AC1.2:   Describe the roles and powers of government departments and agencies in regulating business

- *Government departments and agencies*
  - *Attorney General's Office:* e.g. Criminal Prosecution Service, serious fraud
  - *Business related departments:* e.g.
  - Department for Business, Innovation and Skills (BIS): Land Registry, Companies House, Skills Funding Agency (SFA)
  - Department for Communities and Local Government: e.g. Planning Inspectorate, building regulations
  - Department for Environment, Food and Rural Affairs: e.g. Environment Agency
  - Department for Work and Pensions: with oversight for the Health & Safety Executive, Independent Living Fund, Pensions Advisory Service
  - Department of Health: Public health, NHS
  - Home Office: Disclosure and Barring Service, Immigration

- *Roles of government departments and agencies:* providing government services, creating legislation, providing funding, providing sources of information, maintaining regulatory authorities, appointment of ombudsmen
- *Powers of government departments and agencies:* agreeing new policies, enforcement of policies, creation and enforcement of legislation, issuing licenses, taking measures for public health and safety
- *Role of local authority:* setting business rates, grants and funding, granting licenses and permits for business activity, enforcement, e.g. health and safety, planning authority, building regulations, environmental health, fair trading, licensing, product safety, consumer credit; advice and guidance
- *Powers of local authority:* regulation, formal enforcement notices, prosecution, license or permit revocation, seizure of goods, cessation of business activity

AC1.3: Explain the legal provisions relating to intellectual property

- *Intellectual property*: definition; protection of inventions; patents and role of Patent Office (UK); copyright; trademarks and business names; role of Intellectual Property Office (IPO), European Union Patent Office
- *Infringement of intellectual property rights:* unauthorised use of intellectual property, patent hearings, copyright tribunal, passing off

AC2.1: Explain the corporate governance statutory framework of a business

- *Statutory framework of a business:* legal, self-regulatory, the Companies Act 2006
- *Corporate governance*: a corporations rights, duties and obligations, board structure and membership, board management, directors remuneration, financial controls, accountability and audit, relations with shareholders

AC2.2: Explain the roles and responsibilities of an organisation's governing body

- *Governing bodies:* Board of Governors, Board of Directors
- *Roles and responsibilities:* establishing policies and objectives, appointment and performance management of the chief executive, accountability for financial resources, approving annual budgets, accounting for company performance, remuneration of company management

AC2.3: Explain the financial reporting requirements of an organisation

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

Generic knowledge

- *User groups:* owners, managers, employees, suppliers, customers, lenders, government, potential investors, different needs from financial statements
- *Reporting requirements:* profitability, liquidity, cashflow, job security, Accounting Standards Board (ASBs) statement of principles, International Accounting Standards Board (IASBs) framework for the presentation of financial statements
- *Legislation:* current legislation, including Companies Acts 1985, 1989 and 2006, Partnership Act 1890, European directives
- *Other regulations:* International Accounting Standards (IASs), International Financial Reporting Standards and the main differences from UK Statements of Standard Accounting Practice (SSAPs) and Financial Reporting Standards (FRSs), The Accounting Standards Board (ASB)

AC3.1: Explain the elements of a valid business contract

- *Business contract:* common definition of contract; elements of a valid contract, e.g. offer and acceptance, intention to create legal relations, lawful consideration, capacity, legal formalities
- *Matters covered in a contract:* parties of the contract; contract date; definitions used in the contract; goods and services being provided or received; payment amount and payment date; interest on late payments; delivery dates or performance date for services; insurance promises; guarantee promises; termination dates; renewal terms; damages for breach of contract; special considerations

AC3.2: Analyse different types of contracts

- *Types of contract:* sale and purchase of a business agreement, partnership agreements, leases of a business premises, leases of plant and equipment, employment agreements

AC3.3: Explain the difference between negligence and liability

- *Negligence:* common definition in law
- *Liability:* common definition in law
- *Differences:* responsibility, lack of responsibility

AC3.4: **Explain the liabilities and entitlements of sellers and purchasers of goods and services**

- *Sale of goods:* statutory implied terms, transfer of property and possession, seller's remedies against the buyer, consumer's remedies against the seller, relevant legislation, e.g. Sale of Goods Act 1979, Trade Descriptions Act 1968, Price Marking Order 2004
- *Supply of services:* statutory implied terms, seller's remedies, consumer's remedies, relevant legislation, e.g. Consumer Protection Act 1987, Supply of Goods and Services Act 1982
- *Product liability:* defective goods, consumer remedies against the producer of defective goods, relevant legislation, e.g. Sale of Goods Act 1979

AC4.1: **Describe the sources, institutions and enforcement systems for individual employment rights**

- *Individual employment rights:* time off, e.g. annual leave maternity/paternity leave, absences, sickness; working hours; flexible working, e.g. childcare; minimum wage; redundancy; unfair dismissal; grievance procedures; terms and conditions of employment
- *Sources of employment law:* UK primary and secondary legislation, European Union (EU) directives and regulations, common law
- *Institutions and enforcement systems:* courts and tribunals, Advisory, Conciliation and Arbitration Service (ACAS), Equality and Human Rights Commission (EHRC)

AC4.2: **Explain the features of types of worker and employment contracts for service**

- *Types of worker and employment contracts:* full time and part time contracts; fixed term contracts; agency staff; freelance, consultants and contractors; zero-hours contracts; employment of family, young people and volunteers
- *Features of contracts for service:* main points, e.g. pay, working hours, holidays, sickness, notice period, pension scheme; purpose, e.g. agreement between employer and employer or worker, employment rights and responsibilities, duties

AC4.3: **Explain the implications of contracts of service and contracts for service**

- *Contracts of service:* relates to a person in employment, an 'employee' for payroll and employment rights purposes, a 'worker' for other employment rights purposes, 'mutuality of obligation', employee to perform work as directed, the employer to pay for the work performed, 'degree of control' exercised by the employer over the work performed by the employee
- *Contracts for service:* relates to a person who is self-employed, who provides services to clients, neither an employee or a worker, business-to-business relationship
- *Implications:* legal protection, compensations and benefits, tax and insurance matters, health and safety matters

AC4.4:   Explain the implications of different types of employment status

- *Types of employment status:* employees, e.g. hired directly by the organisation; workers e.g. casual, seasonal, freelance, contractors, volunteers; self-employed
- *Implications:* job security, flexibility, access to benefits, work patterns, e.g. many of the differences identified under contracts of/contracts for service

AC4.5:   Explain the requirements for an organisation for health and safety

- *Organisational requirements for health and safety:* compliance with relevant health and safety legislation; implementation of legal processes, documents and notices, e.g. health and safety policy; displaying and sharing health and safety information; maintaining a safe workplace, e.g. risk assessment, equipment testing; allocating staff responsibilities, e.g. health and safety officers, fire wardens, first aiders; duty of care, occupational health practices and policies, management of ill health at work, accidents at work, ergonomics, stress and stress management

AC4.6:   Explain the requirements for an organisation for equality and diversity

- *Discrimination in employment:* forms of discrimination, e.g. gender, ethnicity, religion, disability, age, sexual orientation, education
- *Organisation requirements for equality and diversity:* workplace equal opportunities practices and initiatives, e.g. Opportunity 2000 and Positive Action; codes of practice; implementing policy, staff awareness training; monitoring
- *The legislative framework:* direct and indirect discrimination; current legislation, e.g. Equality Act 2010

AC4.7:   Explain the implications for an organisation of wrongful dismissal, unfair dismissal and redundancy

- *Wrongful dismissal:* employer breaks terms of contract
- *Unfair dismissal:* fictitious/unfair reason for dismissal, employer behaved unreasonably
- *Redundancy:* business insolvency, business takeover, business restructure, e.g. role no longer exists
- *Management of exit:* procedures, e.g. resignation, dismissal, redundancy; compliance with legal and regulatory framework; support, e.g. counselling, training, job hunting
- *Implications:* demoralised surviving workforce, employment tribunal cases, compensation claims, reputation, business sustainability

AC4.8: **Describe the impact of human rights legislation on the employment relationship**

- *Human rights:* legislation, e.g. Human Rights Act 1998; identified rights, e.g. right to life, right to liberty and security, right to a fair trial, respect for your private and family life, home and correspondence, freedom of thought, belief and religion, freedom of expression, right to marry and start a family, right to education, protection from discrimination in respect of these rights and freedoms

- *Employment relationships:* e.g. how workplaces are managed and organised; individual and collective representation at work; trade union recognition and membership; dispute resolution; fair treatment at work; family-friendly policies; employment equality, selection and recruitment; how learning and training activities are undertaken; adoption of high involvement management practices

Information for tutors

Suggested resources

Books

Cushway B - *The employers' handbook 2014-15: an essential guide to employment law, personnel policies and procedures*, 10th edition (Kogan Page, 2014)
ISBN 9780749472153

Jones L - *Introduction to Business Law*, 2nd edition (Oxford University Press, 2013)
ISBN 9780199662876

Websites

www.acas.gov.uk – the Advisory, Conciliation and Arbitration Service (ACAS): information, advice, training, conciliation and other services for employers and employees to help prevent or resolve workplace problems

www.hse.gov.uk – the Health and Safety Executive: information and guidance on workplace health and safety

www.legislation.gov.uk – the Official home of UK legislation: information on all legislation passed by UK government

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

This unit focuses solely on knowledge, therefore learners undertaking this unit will be required to carry out a range of research activities to explore the legal requirements of a business. Assessors are encouraged to plan research activities across the scope of the unit with learners before beginning formal assessment of knowledge and understanding of the legal contexts of business. Learners should be encouraged to compile and submit research notes as valid evidence towards achievement of the unit.

For learning outcome 1, learners should be able to identify relevant legislation and also confirm that they understand the key principles and requirements it and how they are applied in the context of the learner's organisation. 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 could be recorded using audio visual devices. Alternatively, in response to AC1.1; AC1.2 and AC1.3, learners could choose to record outcomes of their research and present reflective accounts of, for example, the organisation's use of intellectual property.

For AC2.1 and AC2.2, as these criteria provide good links between organisation and corporate governance requirements, opportunities may be available to assess holistically. Learners may have workplace access to organisational declarations of intent as well as relevant policies relating to compliance and governance. This work-product evidence could provide a good basis for assessment.

AC2.3 gives learners the opportunity for professional discussion on their interactions with financial reporting mechanisms, for example accounts, taxation and audit requirements. Learners are expected to recall requirements of the Inland Revenue and Customs and Excise.

For learning outcome 3, learners could choose to capture their knowledge of the requirements of business contracts through annotation of written contracts. Alternatively, for learning outcome 3, reflective accounts and professional discussions can be used. Learning outcome 3 can be assessed in conjunction with AC4.2 and AC4.3.

Learning outcome 4 can be assessed in conjunction with other employment rights and responsibilities units. Assessors are required to ensure that holistic assessment of all Learning outcome 4 assessment criteria captures the requirements of each assessment criterion therefore supportive assessments such as professional discussion or question and answer (Q&A) sessions may be required. Learners could choose to present organisational human resources policies and procedures as supplementary evidence against this learning outcome.

Alternatively, in a classroom-based environment, all the learning outcomes could be assessed through methods such as written assignments, presentations and case studies.

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

Unit 77: Principles of Social Media within a Business

Unit reference number: R/503/9324

Level: 3

Credit value: 6

Guided learning hours: 42

Unit type: Knowledge

Unit summary

The use of social media by all types of businesses is becoming increasingly important. It is used to communicate, advertise and inform internal and external customers and other stakeholders. This unit gives you understanding of the fundamentals of social media marketing for a business.

You will develop skills to enable you to make the best use of the tools and techniques available to help you analyse and grow the online presence of a business. You will learn how an organisation makes effective use of social media tools for marketing and for competing with other organisations.

You will learn to evaluate a range of social media tools and develop understanding of how to select and utilise appropriate tools for different aspects of business needs.

Learning outcomes and assessment criteria

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

Learning outcomes		Assessment criteria	
1	Understand how social media fits into the objectives and marketing of a business	1.1	Describe a business and its type, vision, aims, objectives and goals
		1.2	Identify the brand and values of a business and how these are portrayed to the audience of a business
		1.3	Describe the marketing tools available to a business
		1.4	Explain the consequences of using social media on the budget of different sizes and types of business
		1.5	Explain the benefits and consequences of encouraging amplification
		1.6	Explain the benefits and consequences of encouraging engagement
		1.7	Explain the factors to consider when identifying a social media plan for a business
		1.8	Explain how social media could fit into the marketing plan of a business
2	Understand how to select social media tools and channels for a business	2.1	Describe the different tools and channels that can be used for social media
		2.2	Describe the features and benefits of the different tools and channels that can be used for social media
		2.3	Identify the potential type of audience for each different tool and channel that can be used for social media
		2.4	Explain the factors to consider when selecting different tools and channels for social media
		2.5	Evaluate different tools and channels for social media for business use

Learning outcomes	Assessment criteria
3 Understand how to measure the success of using social media tools and channels	3.1 Explain the importance of measuring the outcomes of using different social media tools and channels 3.2 Explain why SMARTER targets should be set for different Social Media tools and channels 3.3 Describe the methods a business can use to measure and identify success of different social media tools and channels 3.4 Describe what success could look like when using different social media tools and channels for different types and sizes of business
4 Understand how social media policy and guidelines can impact a business	4.1 Describe the components of a business's social media policy and guidelines 4.2 Explain the importance of having a social media policy and guidelines 4.3 Explain the importance of having a reputation management policy 4.4 Describe the benefits of managing perception changes in a business's reputation 4.5 Describe how to manage perception changes in a business's reputation
5 Be able to monitor how a business is using social media	5.1 Explain the importance of knowing how similar businesses or industries are using social media 5.2 Explain how to monitor the ways similar businesses or industries are using social media 5.3 Monitor how a business is using social media 5.4 Identify improvements to a business's use of social media

Unit amplification

AC1.1: **Describe a business and its type, vision, aims, objectives and goals**

- 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.
- *Generic knowledge:* different sizes and types of business, e.g. sole trader, Small Medium Enterprise (SME), enterprise, corporate, public sector, education, international, charitable, not-for-profit, voluntary sector
- *Aims and objectives:* survival, growth, increased profit, increased market share, improving a product/service, projecting an image, improving share price/dividend

AC1.2: **Identify the brand and values of a business and how these are portrayed to the audience of a business**

- *Brand and values:* logo, mission statement, identity, ethics, sustainable business practices, statement of purpose, core principles and standards
- *Types of business values:* physical e.g. efficient use of resources, reliability, responsiveness, safety; organisational, e.g. good communications, accountability, efficiency, use of technology; psychological, e.g. customer satisfaction, innovation, striving for improvement, socially responsible
- *Audience perception:* factors, e.g. audience type, business type, business brand, method of communication, resources, content, cost, time, market conditions

AC1.3: **Describe the marketing tools available to a business**

- *Marketing tools:* research, analytics, exploiting social media, search engine optimisation, website analysis, productivity and management

AC1.4: **Explain the consequences of using social media on the budget of different sizes and types of business**

- *Consequences on budget:* cost of specialist staff, proliferation of social media sites and networks, need to analyse and respond to competitors' social media use, need to keep up with rising use of social media, need to allocate/reallocate marketing budget, need to educate/train all staff to avoid social media gaffes

AC1.5: **Explain the benefits and consequences of encouraging amplification**

- *Benefits:* grows a community, extends reach, increases market penetration, influences/controls an audience, creates website traffic and increases ratings, improves reputation
- *Consequences:* costs of staff running social media accounts, difficulty of quantifying effectiveness, negative aspects are also amplified, the treadmill of producing new content

AC1.6: **Explain the benefits and consequences of encouraging engagement**

- *Benefits:* increases ranking on social media sites, encourages viral marketing, improves branding/customer perception, grows repeat business
- *Consequences:* costs of staff running social media accounts, cost of offers/incentives to engage, negative engagement can spread quickly, ongoing production of new content/offers

AC1.7: Explain the factors to consider when identifying a social media plan for a business

- *Factors:* audience, goals, key dates, content sources, staffing, budget, platforms, how to monitor/measure/analyse results, campaign wrap-up strategy, integration with wider marketing

AC1.8: **Explain how social media could fit into the marketing plan of a business**

- *Integration with other forms of marketing:* add social media details to offline marketing in different media, e.g. magazines, newspapers, flyers, business cards, mailshots; add social media links to email signatures and webpages
- *Techniques within social media:* account integration, integration with third party tools/apps, selection of channels for target demographics, use of social media to collect target data, use of social media for rapid response to events, e.g. exploiting positive events, damage control on negative events

AC2.1: **Describe the different tools and channels that can be used for social media**

- *Tools and channels:* social network, email newsletter, website, keywords, mobile social media, mobile websites, blogs, video sharing, podcasts, forums, social bookmark, online vouchers, image sharing, social gaming, virtual worlds

AC2.2: **Describe the features and benefits of the different tools and channels that can be used for social media**

- Features and benefits will vary by channel; learners should have an overall grasp of the topic and develop a more in-depth knowledge of those channels used by their organisation.

AC2.3: **Identify the potential type of audience for each different tool and channel that can be used for social media**

- Audiences will vary by channel; learners should have an overall grasp of the topic and develop a more in-depth knowledge of those channels used by their organisation and their target audiences.

AC2.4: **Explain the factors to consider when selecting different tools and channels for social media**

- *Factors:* goals, cost, time and resources, content, training, timescale, perception and reputation, management support, IT support, target audience

AC2.5: **Evaluate different tools and channels for social media for business use**

- *The suitability of different tools and channels:* dependant on a specific organisations' requirements

AC3.1: **Explain the importance of measuring the outcomes of using different social media tools and channels**

- *Importance of measuring outcomes:* awareness of customer perception, optimisation of marketing campaigns, access to new revenue streams, efficiency, reduce operational costs, improve customer satisfaction/experience, foster innovation

AC3.2: **Explain why SMARTER targets should be set for different social media tools and channels**

- *SMARTER:* specific, measurable, attainable, relevant, time-bound, evaluate, re-evaluate
- *Reasons for setting targets:* clarify goals, help to order project milestones, improve motivation, aid prioritisation, aid time management

AC3.3: **Describe the methods a business can use to measure and identify success of different social media tools and channels**

- *Methods:* analytics tools, manual, automated, human analysis
- *Measures:* number of views, number of interactions, conversion rates, demographics, comparison with competitors' figures, rankings

AC3.4: **Describe what success could look like when using different social media tools and channels for different types and sizes of business**

- *Success indicators:* change in perception, financial change, improved interaction, increased awareness, improved sentiment
- The concept of a successful use of social media will vary according to an organisation's requirements. Learners should have an overall grasp of the topic and develop a more in-depth knowledge of the channels used by and goals of their organisation.

AC4.1: **Describe the components of a business's social media policy and guidelines**

- *Components:* internet behaviour in and out of work, acceptable sites/channels, network security, appropriate use, online privacy, data protection, brand and values, corporate code of practice, complaints process, training requirements, code of conduct, crisis management, tone and manner
- Policies will vary according to an organisations requirement. Learners should have an overall grasp of the topic and develop a more in-depth knowledge of the policy priorities of their organisation.

AC4.2: **Explain the importance of having a social media policy and guidelines**

- *Importance:* sets ground rules, responsibilities and consequences of actions, e.g. personal usage vs. business usage; defines boundaries between public and private information; clarifies legal requirements; educates/trains employees; sets out standards and conventions for online communication; improves productivity
- Policies will vary according to an organisations requirement. Learners should have an overall grasp of the topic and develop a more in-depth knowledge of the policy priorities of their organisation.

AC4.3: **Explain the importance of having a reputation management policy**

- *Importance of policy:* promotes awareness of the organisation, e.g. how an organisation is perceived, changes in trending, changes in influencers and their actions, message framing to match changing circumstances; establishes responsibilities and improves reaction time; facilitates measurement and analysis of reputation

AC4.4: **Describe the benefits of managing perception changes in a business's reputation**

- *Benefits:* improved damage control, faster response to events, financial, improvement in medium to long term goal setting, improvement in planning for external events, e.g. competitors' actions

AC4.5: **Describe how to manage perception changes in a business's reputation**

- *Methods:* advertising, marketing schemes, brand management and association, myth and counter-myth propagation, re-framing arguments, linkage to technology/celebrity/trends, seeking feedback/engagement
- Methods and desired outcomes will vary between organisations. Learners should have an overall grasp of the topic and develop a more in-depth knowledge of the activities of their organisation.

Information for tutors

Suggested resources

Books

Meerman-Scott D - *The New Rules of Marketing & PR*, 4th edition (Wiley, 2013) ISBN 9781118488768

Sherman A and Elliot-Smith D - *Social Media Engagement For Dummies*, (Wiley, 2013) ISBN 9781118530191

Zimmerman J - *Social Media Marketing All-in-One For Dummies*, 2nd edition (Wiley, 2012) ISBN 9781118215524

Websites

www.agnesday.com/resources/free-social-media-crisis-case-studies - a good set of case studies demonstrating what and what not to do in a social media crisis

www.mashable.com/social-media - news and articles on the use of social media

www.socialmediatoday.com - for articles on social media and its uses

www.youtube.com - links to videos demonstrating how to use a wide range of social media platforms and how to use social media for promotional purposes

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.

A holistic approach to assessment is suggested for this unit. However, as this unit covers numerous social media tools and channels it could prove difficult to achieve within one set context. Assessors should encourage learners to capture and record evidence as an on-going process at each stage of social media usage, for example, a diary recording practice against each assessment criterion.

For all learning outcomes, assessors will need to ensure that all command verbs have been met and that evidence is sufficient to meet the requirements of each knowledge assessment criterion. Planned assessments should, therefore, give learners the opportunity to respond appropriately to command verbs based on their related work activities.

For learning outcomes 1 and 3, the primary assessment method is likely to be detailed reflective accounts and well-planned professional discussions. These could be supported with work products developed through learners' interactions with social media.

For learning outcome 1, professional discussion or a reflective account should enable the learner to express their understanding of the development and utilisation of a social media marketing plan. This could be supported with work products, for example a completed social media plan, with documentation showing development stages or a report and/or presentation to colleagues on the consequences of that plan to the organisation.

For learning outcome 3, professional discussion or a reflective account should enable the learner to explore methods that their organisation has used for success measurement. This could be supported with a work product in the form of a report to colleagues on the use of social media in the organisation, evidencing set targets and success measurements and the outcome.

For learning outcomes 2, 4 and 5, the primary assessment method is likely to be evidence of annotated work products. For example, a social media marketing document, developed when selecting social media tools, a social media policy document clearly showing the developmental stages, other documentation such as communications and reports used in the monitoring of social media use in the learner's organisation. These work products should be supported with more comprehensive evidence such as detailed reflective accounts and well-planned professional discussions that enable learners to express their understanding and practice of selecting social media tools (learning outcome 2), the need for and development of social media policies and guidelines and the consequence to the organisation (learning outcome 4), and how and why monitoring of social media use happens in their organisation (learning outcome 5).

For learning outcome 2, learners should ensure that they include alternative tools, giving reasons for choices, rather than just the final selection.

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

12 Further information and useful publications

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

- Pearson: qualifications.pearson.com
- BTEC: **www.btec.co.uk/contactus**
- Pearson Work Based Learning: qualifications.pearson.com 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))
- *Equality Policy* (Pearson)
- *Recognition of Prior Learning Policy and Process* (Pearson)
- *UK Information Manual* (Pearson)
- *BTEC Apprenticeships Quality Assurance Handbook* (Pearson)
- *UK Quality Vocational Assurance Handbook* (Pearson).

All of these publications are available on our website.

Further information and publications on the delivery and quality assurance of NVQ/Competence-based qualifications are available at our website: qualifications.pearson.com

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: qualifications.pearson.com.

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

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

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

Training and support for the lifetime of the qualifications

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

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

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

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

14 Contact us

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

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

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

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

Complaints and feedback

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

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

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

Annexe A: Skills CFA Assessment Strategy for Business Administration, Customer Service and Management and Leadership

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.

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 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 the requirements of the qualifications being assessed, including the quality of the 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 being able to make judgements about the quality of assessment and the assessment process.

It is the responsibility of the awarding body to select and appoint EQAs.

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.

---

[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] Also known as Internal Verifier (IV)

[3] The need for countersigning the decisions of IQAs working towards a qualification, applies to England and Wales and not Scotland.

[4] The need for countersigning the decisions of IQAs working towards a qualification, applies to England and Wales and not Scotland.

- 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.

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 (Appendix B).
- 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 (Appendix A).

5. Employer direct model

Skills CFA encourages the use of an employer direct model. The employer direct model is where colleagues, supervisors and/or managers in the workplace are involved in the assessment process. Under this model, the employer, with the agreement of their Awarding Organisation may choose between:

- Achieving the appropriate regulatory body approved unit qualifications for assessment; **OR**

- Demonstrating that the employer's training and development activity undertaken to prepare, validate and review these assessment roles, maps 100% to the National Occupational Standards which these qualifications are based on. The mapping process must be agreed by the Awarding Organisation as providing the equivalent level of rigour and robustness as achievement of the unit qualification

In order to use the employer direct model:

- **An organisation must:**
  - o have staff who have achieved, or be working towards achieving, appropriate regulatory body approved unit qualifications for assessment, moderation or verification; **OR**
  - o seek guidance and approval from an awarding organisation to demonstrate that they have:
    - – appropriate processes in place to facilitate assessment, moderation or verification functions
    - – carried out 100% mapping of the trainer, supervisor or managers' assessment, moderation or verification skills and knowledge to the National Occupational Standards upon which the qualifications above are based.

- **An Awarding Organisation must:**
  - o offer this model to employers only
  - o supply information on the requirements for internal and external moderation/verification activities to assessment centres.

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

6. Appendix A – Realistic Working Environment Guidelines

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

It is essential that organisations wishing to operate a RWE operate in an environment which reflects a real work setting. This will ensure that any competence achieved in this way will be sustained in real employment.

To undertake the assessment in a RWE the following guidelines must be met:

1. the RWE is managed as a real work situation

2. assessment must be carried out under realistic business pressures

3. all services that are carried out should be completed in a way, and to a timescale, that is acceptable in business organisations

4. candidates must be expected to achieve a volume of work comparable to normal business practices

5. the range of services, products, tools, materials and equipment that the candidates use must be up to date and available

6. account must be taken of any legislation or regulations in relation to the type of work that is being carried out

7. candidates must be given workplace responsibilities to enable them to meet the requirements of the units

8. customer perceptions of the RWE is similar to that found in the work situation being represented

9. candidates must show that their productivity reflects those found in the work situation being represented.

7. Appendix B – Simulation: a list of units

Simulation can only be applied to the following competence units:

Business Administration

Skills CFA Ref.	Unit title	Level
B&A 3	Work with others in a business environment	1
B&A 4	Health and safety in a business environment	1
B&A 5	Manage time and workload	1
B&A 6	Use a telephone and voicemail system	1
B&A 7	Prepare text from notes	1
B&A 8	Meet and welcome visitors in a business environment	1
B&A 9	Handle mail	1
B&A 10	Use office equipment	1

Customer Service

Skills CFA Ref.	Unit title	Level
CS 2	Communication in customer service	1
CS 3	Record details of customer service problems	1
CS 4	Deal with customer queries, requests and problems	1

Management and Leadership

Skills CFA Ref.	Unit title	Level
M&L 17	Manage conflict within a team	3
M&L 31	Discipline and grievance management	4
M&L 44	Manage redundancy and redeployment	4

Annexe B: e-skills ITQ UK Assessment Strategy

ITQ Assessment Strategy – England, Wales and Northern Ireland

This document sets out the ITQ Assessment Strategy appropriate for England, Wales and Northern Ireland. Arrangements for Scotland are published separately. Changes from the existing arrangements are summarised at the end of the document.

1. Introduction

1.1 Background to the new ITQ Framework

The 2008 development of the National Occupational Standards (NOS) for Using IT and this associated Assessment Strategy are a key tool in the planned delivery of the Sector Skills Agreement for IT (SSA).

The SSA is uniting employers, educators, government and others to create a coherent strategy for IT skills based on a common, employer-led plan of action, that will transform the IT skills landscape such that:

- All organisations in every sector will be fully realising the potential of IT to help drive their business goals, so that the UK is a world leader in its exploitation of IT for innovation, service and business competitiveness.

- All individuals in the UK will have - and will continue to develop - the IT user skills necessary to fully participate in the e-economy.

- IT user skills will enhance individuals' employability, social lives and ability to benefit from online services.

World class research cited in the Qualifying for the Information Age – the e-skills UK Sector Qualification and Learning Strategy1 (SQLS) identifies, that workers in virtually all occupations need to be able to use more sophisticated IT systems more effectively to create new sources of customer value. Users will not only need increased levels of skills in basic desk top technology; they will also increasingly need to be skilled in security management and IT support processes and tools, and also the use of communications and mobile technologies.

The SSA for IT sets out a clear target state for stakeholders delivering and beneficiaries receiving better IT user skills:

- A simplified, flexible framework for recognising achievement in IT skills operates across the UK, throughout both the education system and industry.

The SQLS, together with the associated Action Plan, designed to deliver on the SSA, identifies the following principle[2] for delivering on this target.

- Principle 4: The ITQ Framework will be used to organise and position learning and qualifications within the coherent environment. All IT user qualifications and learning will be recorded through a recognised Record of Achievement

This means that:

- All IT User qualification and learning will be based on common unit descriptions directly aligned to the National Occupational Standards for IT Users and encompassed in the ITQ Framework.
- Qualifications and learning are described in a consistent way, which is understood by employers and learners.
- Learners at all stages will engage with a common environment that will enable seamless progression.
- There is recognition and central aggregation of all individuals' elements of learning and achievement within a formal record that is meaningful to employers.
- Funding agencies are able to monitor achievement and return on investment.

The National Occupational Standards (NOS) for Using IT and enhancement of the flexibility of the ITQ in terms of both content and how it is delivered will form a major part of the implementation of the SQLS for IT users. This will enable further alignment of all IT user qualifications and learning with the NOS, within the ITQ Framework.

1.2 Qualifications and Credit Framework

The ITQ Framework is designed to support the development of IT user qualifications, based on units of credit, for accreditation onto the Qualifications and Credit Framework (QCF)[3], which is a new way of recognising skills and qualifications. The QCF does this by awarding credit for qualifications and units (small steps of learning). It enables people to gain qualifications at their own pace along flexible routes.

This new approach is anticipated to deliver the following benefits. For learners the QCF will:

- offer more freedom, choice and flexibility
- give easy access to information about the commitment needed for different routes to achievement, letting learners balance that commitment with family, work and other responsibilities
- allow them to build up credits at their own pace and combine them in a way that will help them get where they want to be
- enable them to transfer credits between qualifications to avoid having to repeat learning
- record all their achievements on an electronic learner record, encouraging them and others to value their past achievements.

For learning providers (schools, colleges, training providers, workplaces) the QCF will:

- enable them to design more flexible programmes, suitable to the individual needs of learners
- help them improve retention and progression rates by recognising smaller steps of achievement
- track all learners' achievements through the use of a unique learner number (ULN) and an individual's electronic learner record, giving providers standard information about each learner's past achievements
- help them describe achievements to employers and learners in a language that is easy to understand.

For employers the QCF will:

- help them to measure quickly the level and size of achievements of prospective employees
- enable them to get in-house training recognised within a national framework
- describe levels of achievement in terms everyone can understand
- make training options and pathways clear, helping employees and employers find the right training for their learning and business needs.

The regulatory arrangements for the QCF[4] set out the following aims and design principles for accredited qualifications.

The aim of the QCF is to support the establishment, maintenance and continuing development of a qualifications system that is:

- inclusive – able to recognise the achievements of all learners at any level and in any area of learning
- responsive – enabling individuals and employers to establish routes to achievement that are appropriate to their needs, and recognized organisations to develop units and qualifications in response to demand
- accessible – building a system based on clear design features that are easy for all users to understand
- non-bureaucratic – based on mutual trust and confidence, supported by a robust and proportionate approach to regulation and quality assurance.
- The QCF is designed to provide a structure within which:
- unit-based qualifications can be located
- achievements are recognised through the award of credits and qualifications
- the level and size of achievements can be easily identified
- the mechanisms necessary to allow the accumulation and transfer of credits between qualifications and awarding organisations operate
- learners are given the maximum flexibility and range of opportunities to progress and receive recognition for their achievements.

1.4   England, Northern Ireland and Wales

The qualifications regulators in England (Ofqual), Wales (DCELLS) and Northern Ireland (CCEA) have been working to design the regulatory arrangements for the QCF[5], which were published by Ofqual in August 2008.

Work towards the QCF has been underpinned in particular by the three-country test and trial period for the QCF, and also informed by the following developments undertaken in Northern Ireland and Wales.

1.4.1 The Northern Ireland Credit and Transfer Scheme (NICATS)

The Northern Ireland Credit Accumulation and Transfer System (NICATS)[6] is a framework, which was developed for to allow learning to be recognised in all its shapes and forms, no matter how it is acquired. It is a set of principles and guidelines, which should allow us to value, describe, measure and recognise all learning. This includes learning in traditional settings such as schools, colleges and universities and also learning within the community and the workplace.

It is based on a set of principles and guidelines which allows:

- all candidate achievement to be recognised and recorded on a personal Credit Transcript
- small blocks of learning to be assessed and given credit

Credit provides the basic language for recognising achievement, as a measure of the level of demand of the learning and the amount of learning achieved.

1.4.2 The Credit and Qualifications Framework for Wales (CQFW)

The Credit and Qualifications Framework for Wales (CQFW)[7] started in 2003 and is being progressively implemented. The framework merges the concepts of volume of learning achievements (credit) and the demands made by that learning on the learner (level) to create a system that is able to embrace all types and styles of learning, and all qualifications.

The vision for the single CQFW will underpin the following five key goals:

- enable everyone to develop and maintain essential skills
- encourage people to become lifelong learners
- exploit the knowledge in businesses and educational institutions
- encourage business and workers to gain new skills
- help people within their communities to develop new skills.

1.5   Policy changes

The ITQ Assessment Strategy is designed to support the development of the SQLS principle for an ITQ Framework, by setting out the requirements for an up-to-date IT user qualification based on the NOS, tailored to the needs of businesses and their staff. The ITQ Assessment Strategy also needs to take account of changes to policy and the qualifications environment as outlined above and the associated assessment requirements. Key changes include the following.

- Credit frameworks

e-skills UK will derive QCF framework units from the NOS in collaboration with Awarding Bodies to meet employers and learners needs and contribute to the ITQ.

- Embedded Functional Skills[8] [FS] within 14-19 curricula and qualifications

The revised IT User NOS embed the Functional Skills ICT [FS ICT] within the following three areas of competence that relate directly to FS ICT:

- o 'IT User fundamentals' [IUF:FS]
- o 'IT Communication fundamentals' [ICF:FS]
- o 'IT Software fundamentals' [ISF:FS]

- Basic skills

The revised IT User NOS embed ICT Skills for Life and signpost opportunities for naturally occurring numeracy and literacy, within the three areas of competence with embedded FS.

- Personal learning and thinking skills

The revised IT User NOS signpost opportunities for naturally occurring personal, learning and thinking skills [PLTS] within the three areas of competence with embedded Functional Skills [FS] and within the mandatory area of competence 'Improving productivity in using IT'.

- 'Full' level 2 qualification design principles[9]
- The revised ITQ has been designed to take account of the proposed credit value of more than 13 credits for a full level 2 qualification.
- Foundation Learning Tier[10]

The revised ITQ framework has also been designed to take account of the proposed progression pathways for the Foundation Learning Tier, through allowing for the inclusion of FS Mathematics and English, and also for personal, learning and thinking skills [PLTS].

1.6 Principles of ITQ suite of qualifications

Three principles underpin the proposed ITQ suite of qualifications.

1 Flexibility of approach in response to sector, employer and learner needs:
- for sectors – to tailor and contextualise IT training both to reflect the increasing diversity of job roles and the use of specific systems and software
- for employers – to ensure skills application and development enables practical exploitation of the potential of IT for business improvement
- for learners – to ensure they are equipped with the appropriate skills to support their personal or career development.

2 Flexibility of content – to stimulate and inspire new learning and support progression, the ITQ offers a range of solutions varying in:
- size – from taster courses and bite-sized units to full-time programmes of study
- level of complexity – from Entry Level to Level 3
- content – incorporating a range of options for different IT systems and applications.

3   Flexibility of assessment method as appropriate to the individual and the unit, which minimises the assessment burden for learners. The ITQ can therefore accommodate both:

- electronic testing using simulation, tests and tasks
- portfolio-based evidence demonstrating the application of skills, knowledge and understanding.

2. ITQ Assessment Strategy

This Assessment Strategy is being developed in consultation with employers, training providers, awarding bodies and the regulatory authorities.

2.1   Scope of the Assessment Strategy

This Assessment Strategy applies to all units and qualifications that are aligned to the IT User NOS and accredited onto credit frameworks to be included in the final ITQ Framework (both directly and partly aligned).

During the transition period, the assessment arrangements for existing 'contributing' units and NQF qualifications will apply.

2.2   Choice of assessment method

All ITQ units may be assessed using any method, or combination of methods, which clearly demonstrates that the learning outcomes and assessment criteria have been met. Assessments must also take into account the additional information provided in the unit Purpose and Aims relating to the level of demand of

- the activity, task, problem or question and the context in which it is set;
- the information input and output type and structure involved; and
- the IT tools, techniques or functions to be used.

Examples of recommended assessment methods are included in *Appendix A*:

2.3   Mandatory unit assessment

In order to reflect the standards of competence expected by employers, assessment of the mandatory unit (Improving Productivity using IT) within Certificates and Diplomas must demonstrate that candidates can apply their relevant skills and knowledge to develop a specified outcome, product or solution. The candidate must independently determine, select and apply the necessary IT tools and techniques to achieve their goal.

The assessment design must cover the following aspects:

- Objectives for using IT – understanding the context in which IT is to be used or the conditions that may affect the way IT is to be used; understanding what outcome needs to be developed, and the expectations and requirements that the outcome must meet;
- Application of IT skills and knowledge – understanding what is involved in a piece of work and the best way to get it done;
- Evaluation of the use of IT – being able to evaluate the strengths and weaknesses of the use of IT, including identifying improvements to inform future work

2.4   Accreditation of prior achievement (APA)

For candidates starting their studies towards the ITQ under the QCF the process for accreditation of prior achievement is straightforward. Under the QCF, awarding bodies agree to mutual recognition of achievement, so that candidates will be able to count any relevant units towards the ITQ regardless of which awarding body issues the certificates.

Many people may have developed their skills in using IT through undertaking existing or 'legacy' accredited units, qualifications or from non-accredited units and employer training schemes, such as:

- the QCF ITQ in trials between September 07 and August 09
- the current ITQ, which is technically a Scottish or National Vocational Qualification [S/NVQ]
- Functional Skills ICT, ICT Skills for Life [Basic Skills] and in Essential Skills ICT (Northern Ireland);
- legacy units from VQs or VRQs accredited on the National Qualifications Framework (NQF) or accredited by the Scottish Qualifications Authority (SQA);
- vendor units and qualifications; and
- employer training schemes.

The ITQ Framework lists which units or schemes can contribute to the ITQ, and whether there are any limits on counting credit from such achievement. The up-to-date ITQ Framework, will be published on the e-skills UK website.

Acceptance of contributing qualifications is mandatory for all ITQ Awarding Bodies irrespective of the originating Awarding Body (AB). An Awarding Body offering ITQs must accept recognised units and qualifications from any other AB if the following conditions are met:

- the candidate presents the original qualification, unit certificate or other agreed record of achievement for inspection by the ITQ centre; and
- the unit was achieved no more than three years prior to the date of presentation to the centre. It is the responsibility of the AB and their centres to ensure that a representative sample of certificated skills and knowledge are still current.

Some approved contributing units entitle candidates to claim exemptions for more than one ITQ unit. In such cases, the candidate does not have to claim exemptions for all of the possible ITQ units unless he/she chooses to do so.

2.5   Progression

Candidates may carry forward credits for a period of 3 years to support progression from ITQ Award to ITQ Certificate, and from ITQ Certificate to ITQ Diploma or from Level 1 to 2, or Level 2 to 3.

Candidates may not include the same unit at more than 1 level in any qualification. Thus a candidate who has completed, for example, both Word Processing at Level 1 (3 credits) and Word Processing at Level 2 (4 credits) may only count credits from the higher level towards the qualification.

2.6 Assessment roles and quality assurance

2.6.1 Assessors, internal and external moderators/verifiers

The new ITQs are not NVQs; therefore, there is no need for assessors to hold the A1 qualification, or for verifiers to hold the V1 qualification, or indeed to be working towards these qualifications.

To ensure the quality of assessment decisions, it is expected that awarding bodies will have in place methods to ensure that assessors, internal and external moderators/verifiers have:

- the necessary IT skills and experience to assess the units and qualifications they are making judgements on, such as demonstrated by holding an ITQ at level 3. Centres must maintain a current register of curriculum vitae (CVs), including reference to continuing professional development.

e-skills UK do not require assessors, internal or external moderators/verifiers to hold assessor qualifications beyond those required by the awarding or regulatory body.

2.6.2 Standardisation, moderation and verification

Awarding Bodies must use quality assurance systems that are fit for purpose for the assessment method(s) being used and are in line with the relevant regulatory requirements.

For example:

- internal/external moderation of externally set examinations or online tests;
- external moderation of externally set and internally marked tasks;
- records to authenticate candidate's evidence for assessment;
- internal standardisation/ external moderation of scenario based assignments set by centres;
- internal moderation/verification of internally assessed evidence by a suitably qualified internal moderator/verifier using procedures approved by the awarding body; and
- external moderation/verification of internally assessed evidence by a suitably qualified external moderator/verifier using procedures specified by the awarding body.

2.7 Joint Awarding Body Forum

Awarding Bodies, through the quality control mechanisms specified by the regulatory authorities, must ensure a rigorous and effective control of centres and the assessment and verification process so that judgement of what is valid, authentic, current, reliable and sufficient evidence is maintained across all assessment contexts.

To ensure consistency of assessment it is required that all Awarding Bodies routinely participate in the e-skills UK Joint Awarding Body Forum which will be the focus for ensuring that assessment and verification of competence is carried out consistently and fairly across all assessment contexts.

The Awarding Body Forum will, within the individual Awarding Bodies agreed methodologies, develop and maintain a common understanding of the standards and promote good assessment and verification practice.

Appendix A – Guidance for Awarding Bodies on recommended assessment methods

The following methods are recommended for the assessment of IT User skills, knowledge and understanding for all ITQ units.

- e-assessment;
- knowledge tests;
- scenario-based assessment;
- portfolio of evidence taken from activities involving the use of contemporary ICT systems;
- witness testimony;
- professional discussion;
- other methods which have been approved by e-skills UK and the Awarding Body.

Whatever method is used, Awarding bodies must have appropriate systems and procedures to:

- ensure that assessment arrangements meet relevant assessment design principles and quality assurance regulations; and
- make sample assessment materials available for discussion by the Joint Awarding Body Forum, as required.

A.1 e-Assessment

Online or e-assessment may be used to assess some learning outcomes and assessment criteria relating to performance, knowledge and understanding, for example, of the performance skills in formatting text or understanding of the reasons for choosing different software tools.

Awarding Bodies, employers or providers may develop e-assessments. Where e-assessment is used, Awarding Bodies must ensure that on each assessment occasion:

- the performance, knowledge and understanding being assessed matches that specified in the relevant ITQ unit;
- the level is sufficiently challenging; and
- the assessment methodology used is robust and reliable.

Where employers or providers develop e-assessments, these should be agreed in advance with the Awarding Body.

A.2 Knowledge tests

Knowledge tests, often delivered electronically, can be used to assess some learning outcomes and assessment criteria relating to knowledge and understanding, for example, knowledge of security risks or organisational guidelines.

Awarding Bodies, employers or providers may develop knowledge tests. Where knowledge tests are used, Awarding Bodies must ensure that on each testing occasion:

- the knowledge being tested matches that specified in the relevant ITQ unit;
- the level is sufficiently challenging; and
- the assessment methodology used is robust and reliable.

Where employers or providers develop knowledge tests, these should be agreed in advance with the awarding body.

A.3   Scenario based assessment

'Scenarios' may be developed to provide a purpose for using IT, which requires the candidate to undertake practical tasks or activities that produce assessable outcomes. Scenarios may be combined with other methods of assessment, for example to provide a purpose for a series of online assessment tasks.

Awarding Bodies, employers or providers may develop scenarios. The scenario and associated tasks must be carefully designed to ensure that:

- the performance, knowledge and understanding being assessed matches that specified in the relevant ITQ unit;
- the level is sufficiently challenging; and
- the demands and constraints result in the purposeful use of IT, and where relevant reflect those that would typically be met in a real work context.

A.4   Portfolio assessment

Valid evidence can arise from:

- activities undertaken for or at work;
- the search for employment (e.g. CVs, job applications and emails to potential employers);
- social activities (e.g. club membership databases, posters and websites), such as:
  - enterprise activities (e.g. business plans, budgets and marketing materials);
  - voluntary activities (e.g. cash flows, programmes and newsletters); or
  - learning and studying subjects other than IT (e.g. internet research for a geography assignment, reports/dissertations and presentations).

By the very nature of IT, activities can be carried out in a variety of locations not confined to the traditional office setting.

Portfolio evidence should arise naturally from tasks and activities involving the use of IT and may include:

- product outcomes – in the form of outputs or screenshots produced using IT – which should form the majority of evidence; and
- ephemeral evidence – where this is the only evidence for an element (for example, of planning), should be cross checked by professional discussion and backed up by brief written evidence – for example in the form of annotations, storyboards or 'witness statement' (see below).

e-skills UK actively encourages the use of electronic portfolio management tools.

A.5   Witness statements

A 'witness' is someone who provides a written statement about the quality and authenticity of a candidate's work for assessment purposes. To make a statement the witness must have first-hand experience of the candidate's performance and understanding of knowledge, skills and understanding required to do the work. Witnesses can be drawn from a wide range of people who can attest to performance, including line managers and experienced colleagues from inside the candidate's organisation.

A witness statement may be needed when the candidate is performing day-to-day activities, which leave little or no evidence behind, for example, agreeing the outcomes to be produced using IT and any deadlines that need to be met or understanding and meeting organisational guidelines for data security and file storage. The witness can, in particular, provide evidence relating to the candidate's competence:

- when reviewing, testing and recommending ways of improving productivity using IT towards [IPU] the mandatory unit for ITQ Certificates and Diplomas;
- when using specialist or bespoke IT software applications;
- in meeting customer requirements;

of working within organisational guidelines

Appendix B – Summary of key changes to the ITQ

	Current position	**Proposed approach**
Type	NQF accredited NVQ	QCF accredited qualification
Titles	Level 1 NVQ for IT Users (ITQ) Level 2 NVQ for IT Users (ITQ) Level 3 NVQ for IT Users (ITQ)	Level 1 ITQ Award in IT User Skills Level 1 ITQ Certificate in IT User Skills Level 1 ITQ Diploma in IT User Skills Level 2 ITQ Award in IT User Skills Level 2 ITQ Certificate in IT User Skills Level 2 ITQ Diploma in IT User Skills Level 3 ITQ Award in IT User Skills Level 3 ITQ Certificate in IT User Skills Level 3 ITQ Diploma in IT User Skills
Unit template	Consists of: • Statements of competence • Knowledge criteria • Knowledge components • Skills criteria • Skills component Key skills in IT related but not integrated	Consists of: • Learning outcomes • Assessment criteria Skills and knowledge components are indicative and will not form the basis of assessment (unless defined through a syllabus or test specification) Functional skills ICT integrated into 3 new units
Rules of combination	Defined in terms of points totals	Defined for each level in terms of QCF unit credit values Spiky profile extended to include Entry level units
Accreditation of prior achievement	Exemption for recognised contributing units and qualifications	No change
Assessment Strategy	Assessment must follow NVQ Code of Practice[11] Assessment must be based on purposeful activities Assessors must hold a "D" or "A" award	Assessment must adhere to the Regulatory Arrangements for the QCF[12] Assessment for mandatory unit must demonstrate purposeful application of skills and knowledge Assessors must be appropriately trained

Abbreviations used in this document

AB	Awarding Body
AoC	Area of Competence
APA	Accreditation of Prior Achievement
APL	Accreditation of Prior Learning
CCEA	Council for the Curriculum, Examinations and Assessment (Northern Ireland)
CQFW	Credit and Qualification Framework for Wales
DCELLS	Department for Children, Education, Lifelong Learning and Skills Wales)
FLT	Foundation Learning Tier
FS	Functional Skills
FS ICT	Functional Skills ICT
IPU	Improving Productivity using IT (mandatory unit in ITQ Certificate and Diploma programmes)
NICATS	Northern Ireland Credit Accumulation and Transfer System
NOS	National Occupational Standards
NQF	National Qualifications Framework
NVQ	National Vocational Qualification
PLTS	Personal Learning and Thinking Skills
QCA	Qualifications and Curriculum Authority
QCF	Qualifications and Credit Framework
SCQF	Scottish Credit and Qualification Framework
SQA	Scottish Qualifications Authority
SQLS	Sector Qualifications and Learning Strategy
SSA	Sector Skills Agreement
SVQ	Scottish Vocational Qualification
ULN	Unique Learner Number
VQ	Vocational Qualification
VRQ	Vocationally Related Qualification

Endnotes

1. Available for download at: www.e-skills.com/SQLS
2. See SQLS (e-skills UK, 4th April 2008) page 5.
3. For more information about the QCF visit the following link on the QCA website: www.qca.org.uk/QCF. The ITQ Framework is also designed to fit the Scottish Credit and Qualifications Framework (SCQF).
4. Further information about the regulatory requirements of QCF is available for download at: www.ofqual.gov.uk/qcf.
5. The Regulatory Arrangements for the Qualifications and Credit Framework, August 2008 are available to download here: www.ofqual.gov.uk/QCF
6. Further information about NICATS is available for download here: www.nicats.ac.uk
7. Further information about CQFW is available here: Welsh Assembly Government, Educational and Skills, CQFW
8. Trials with centres and learners commenced in 2007 for ICT Functional Skills in England. ICT Functional Skills standards have been defined from Entry 1 to Level 2. The ICT Functional Skills standards are comparable to the ICT Essential Skills standards in Northern Ireland and to the ICT Skills for Life standards in England.
9. QCA, April 2008
10. Currently 4 progression pathways have been defined for FLT in England.
11. The NVQ Code of Practice covers: administrative resources; equality of opportunity; expertise of external verifiers; centre registration and approval; and data requirements; issue of certificates; enquiries and appeals; customer service, monitoring and evaluation; use of languages/assessment; application of assessment methodology (including the role and qualifications for assessors, internal and external verifiers; sampling and external reporting); and dealing with malpractice

The Regulatory Arrangements for the QCF covers: Delivery of assessment – roles and responsibilities, procedures and systems, access, special consideration, personal interest, standardisation and quality assurance; Centre recognition; Award of credits; Award of qualifications; On-going review; Fees; Data requirements; Awards outside England, Wales and Northern Ireland; Use of languages; Appeals; Dealing with malpractice; Customer service; and Submitting qualifications for accreditation

Annexe C: Personal, Learning and Thinking Skills mapping

PLTS / Units	1 Communicate in a business environment	2 Manage personal and professional development	3 Principles of business communication and information	4 Principles of administration	5 Principles of business
Independent Enquirers					
1 identify questions to answer and problems to resolve		AC1.2; AC2.3			
2 plan and carry out research, appreciating the consequences of decisions		AC1.2			
3 explore issues, events or problems from different perspectives	AC3.2; AC3.4	AC1.3			
4 analyse and evaluate information, judging its relevance and value	AC3.6	AC1.1			
5 consider the influence of circumstances, beliefs and feelings on decisions and events	AC3.6	AC1.3			
6 support conclusions, using reasoned arguments and evidence		AC1.3			
Creative Thinkers					
1 generate ideas and explore possibilities	AC2.2	AC2.3			
2 ask questions to extend their thinking	AC3.5	AC2.4; AC3.2			
3 connect their own and others' ideas and experiences in inventive ways	AC3.3; AC3.6	AC3.4			
4 question their own and others' assumptions	AC3.4; AC3.5	AC1.3; AC3.2			
5 try out alternatives or new solutions and follow ideas through	AC2.2; AC3.2; AC3.3	AC2.5			
6 adapt ideas as circumstances change	AC2.5; AC3.3	AC3.4			
Reflective Learners					
1 assess themselves and others, identifying opportunities and achievements		AC3.2; AC3.3			
2 set goals with success criteria for their development and work		AC2.4; AC3.4			
3 review progress, acting on the outcomes		AC3.3; AC3.4			
4 invite feedback and deal positively with praise, setbacks and criticism		AC2.3; AC3.2			
5 evaluate experiences and learning to inform future progress		AC1.3; AC2.3; AC3.3			
6 communicate their learning in relevant ways for different audiences		AC2.1; AC3.4			

PLTS / Units	1 Communicate in a business environment	2 Manage personal and professional development	3 Principles of business communication and information	4 Principles of administration	5 Principles of business
Team Workers					
1 collaborate with others to work towards common goals	AC2.6	AC3.2; AC3.4			
2 reach agreements, managing discussions to achieve results	AC3.5	AC3.4			
3 adapt behaviour to suit different roles and situations, including leadership roles	AC3.3				
4 show fairness and consideration to others	AC3.3				
5 take responsibility, showing confidence in themselves and their contribution	AC2.6; AC3.6				
6 provide constructive support and feedback to others	AC2.6; AC3.6				
Self-Managers					
1 seek out challenges or new responsibilities and show flexibility when priorities change		AC2.5			
2 work towards goals, showing initiative, commitment and perseverance		AC2.5			
3 organise time and resources, prioritising actions	AC2.7				
4 anticipate, take and manage risks	AC2.5				
5 deal with competing pressures, including personal and work-related demands	AC3.6	AC1.3; AC2.5			
6 respond positively to change, seeking advice and support when needed	AC2.6; AC3.6	AC3.2; AC3.4			
7 manage their emotions, and build and maintain relationships	AC3.6	AC3.2			
Effective Participators					
1 discuss issues of concern, seeking resolution where needed	AC2.6; AC3.5; AC3.6				
2 present a persuasive case for action	AC2.2				
3 propose practical ways forward, breaking these down into manageable steps	AC2.2				
4 identify improvements that would benefit others as well as themselves		AC2.3; AC2.4			
5 try to influence others, negotiating and balancing diverse views to reach workable solutions	AC3.3	AC2.4			
6 act as an advocate for views and beliefs that may differ from their own	AC2.2; AC3.2				