Qualification specification

NCFE Level 4 Certificate in Leadership and Management
QN: 603/0987/8
This qualification is now withdrawn

Contents

Summary of changes

This section summarises the changes to this qualification specification.

Version	Publication Date	Summary of amendments
v2.1	January 2020	Information regarding the wellbeing and safeguarding of learners added.
v3.0	October 2020	References to Apprenticeship Frameworks removed due to withdrawal.
v4.0	August 2021	The format of the document has been updated and additional information has been added to the assessment guidance sections for each learning outcome.
v4.1	May 2022	Amendment made to the units table to show that Unit 05 (F/615/4513) is an optional unit rather than a mandatory unit.
v4.2	June 2022	Information updated in the support handbook section stating how to access the document. Information added to the entry guidance section to advise that registration is at the discretion of the centre, in accordance with equality legislation and should be made on the Portal. Further information added to the how this qualification is assessed section to confirm that unless otherwise stated in this specification, all learners taking this qualification must be assessed in English and all assessment evidence presented for external quality assurance must be in English.

Section 1

About this qualification

Introduction

This qualification specification contains details of all the units and assessments required to complete this qualification.

To ensure that you are using the most up-to-date version of this qualification specification, please check the version number and date in the page footer against that of the qualification specification on the NCFE website.

If you advertise this qualification using a different or shortened name, you must ensure that learners are aware that their final certificate will state the full regulated qualification title.

Reproduction by **approved** centres is permissible for internal use under the following conditions:

- you may copy and paste any material from this document; however, we do not accept any liability for any incomplete or inaccurate copying and subsequent use of this information
- the use of PDF versions of our support materials on the NCFE website will ensure that correct and up-to-date information is provided to learners
- any photographs in this publication are either our exclusive property or used under licence from a third party. They are protected under copyright law and cannot be reproduced, copied or manipulated in any form. This includes the use of any image or part of an image in individual or group projects and assessment materials. All images have a signed model release
- the resources and materials used in the delivery of this qualification must be age-appropriate and due consideration should be given to the wellbeing and safeguarding of learners in line with your institute's safeguarding policy when developing or selecting delivery materials

Support handbook

This qualification specification must be used alongside the mandatory support handbook which can be found on the NCFE website. This contains additional supporting information to help with planning, delivery and assessment.

This qualification specification contains all the qualification-specific information you will need that is not covered in the support handbook.

Qualification summary	
Qualification title	NCFE Level 4 Certificate in Leadership and Management
Qualification number (QN)	603/0987/8
Aim reference	60309878
Total qualification time (TQT)	242
Guided learning hours (GLH)	134
Minimum age	18
Qualification purpose	This qualification is designed to provide the underpinning knowledge to support those in leadership and management roles. It may also prepare the learner to progress to a qualification in another subject area.
Aims and objectives	This qualification aims to: • focus on the study of leadership and management to support different occupational areas • provide learners with the skills they need to operate as a successful manager The objectives of this qualification are to help learners to: • develop the knowledge and qualities valued in employees by employers • understand and develop their strengths, and improve weaknesses, as a manager • develop knowledge and understanding in a range of areas relevant to managerial roles, such as managing resources and budgets, recruitment and selection, and stakeholder engagement
Work/industry placement experience	This is a knowledge only qualification. Work/industry placement experience is not required.
Real work environment (RWE) requirement/ recommendation	This is a knowledge only qualification. Experience in the real work environment is not required.
Rules of combination	To be awarded the Level 4 Certificate in Leadership and Management, learners are required to successfully complete 4 mandatory units and a minimum of 3 optional units.
Grading	Achieved/not yet achieved

Qualification summary	
Assessment method	Internally assessed and externally quality assured portfolio of evidence
Progression	Learners who achieve this qualification could progress to: • Level 4 NVQ Diploma in Management • Level 4 NVQ Diploma in Business Administration • Level 4 NVQ Diploma in Customer Service • Level 5 NVQ Diploma in Management and Leadership • Level 5 Diploma in Management Skills and Knowledge
Regulation information	This is a regulated qualification. The regulated number for this qualification is 603/0987/8.
Funding	This qualification may be eligible for funding. For further guidance on funding, please contact your local funding provider.

Entry guidance

This qualification is designed for learners who want to develop their knowledge and understanding in leadership and management roles.

Learners should be aged 18 or above to undertake this qualification.

Registration is at the discretion of the centre, in accordance with equality legislation, and should be made on the Portal.

There are no specific recommended prior learning requirements for this qualification. However, learners may find it helpful if they have already achieved a level 3 qualification.

Centres are responsible for ensuring that this qualification is appropriate for the age and ability of learners. They need to make sure that learners can fulfil the requirements of the learning outcomes and comply with the relevant literacy, numeracy and health and safety aspects of this qualification.

Learners registered on this qualification should not undertake another qualification at the same level with the same or a similar title, as duplication of learning may affect funding eligibility.

Achieving this qualification

To be awarded the Level 4 Certificate in Leadership and Management, learners are required to successfully complete 4 mandatory units and a minimum of 3 optional units.

Please refer to the list of units below or the unit summaries in section 2 for further information.

To achieve this qualification, learners must successfully demonstrate their achievement of all learning outcomes of the units as detailed in this qualification specification. A partial certificate may be requested for learners who do not achieve their full qualification but have achieved at least one whole unit.

Units

To make cross-referencing assessment and quality assurance easier, we have used a sequential numbering system in this document for each unit.

The regulated unit number is indicated in brackets for each unit (for example, M/100/7116) within section 2.

☆ Knowledge only units are indicated by a star. If a unit is not marked with a star, it is a skills unit or contains a mix of knowledge and skills.

Mandatory units

	Unit number	Regulated unit number	Unit title	Level	GLH
☆	Unit 01	D/615/4518	Principles of building respectful and productive working relationships in organisations	4	22
☆	Unit 02	R/615/4516	Managing personal and professional development	4	18
☆	Unit 03	L/615/4515	Principles of management and leadership in organisations	4	20
☆	Unit 04	J/615/4514	Operational and human resource planning and management	4	22

Optional units

Unit number	Regulated unit number	Unit title	Level	GLH
Unit 05	F/615/4513	Business performance measurement and improvement	4	20
Unit 06	A/615/4512	Corporate social responsibility and sustainability	5	32
Unit 07	M/615/4510	Budget management	5	26
Unit 08	A/615/4509	Understanding organisational structure, culture and values	4	18
Unit 09	T/615/4508	Staff recruitment and selection	5	20
Unit 10	M/615/4507	Principles of business strategic planning and development	4	22
Unit 11	K/615/4506	Stakeholder engagement and management	4	14
Unit 12	H/615/4505	Principles of innovation and change management	5	20
Unit 13	D/615/4504	Understand the legal context of business	3	34
Unit 14	Y/615/4503	Principles of project management	4	48
Unit 15	R/615/4502	Principles of quality management	4	32

The units above may be available as stand-alone unit programmes. Please visit our website for further information.

Progression to higher level studies

This qualification aims to provide learners with a number of progression options, including higher level studies at university or further education (FE) colleges. The skills required to progress to higher academic studies are different from those required at levels 1 and 2. Level 3 qualifications enable the development of these skills. Although there is no single definition of higher level learning skills, they include:

- checking and testing information
- supporting points with evidence
- self-directed study
- self-motivation
- thinking for yourself
- analysing and synthesising information/materials
- critical thinking and problem solving
- working collaboratively
- reflecting upon learning and identifying improvements

Level 3 criteria can require learners to analyse, draw conclusions, interpret or justify, which are all examples of higher level skills. This means that evidence provided for the portfolio will also demonstrate the development and use of higher level learning skills.

If you need any further information, please refer to the NCFE website.

How the qualification is assessed

Assessment is the process of measuring a learner's skill, knowledge and understanding against the standards set in a qualification.

This qualification is internally assessed and externally quality assured.

The assessment consists of one component:

- an internally assessed portfolio of evidence which is assessed by centre staff and externally quality assured by NCFE - internal quality assurance (IQA) must still be completed by the centre as per usual

Learners who are not successful can resubmit work within the registration period; however, a charge may apply.

All the evidence generated by the learner will be assessed against the standards expected of a level 4 learner for each learning outcome.

Unless stated otherwise in this qualification specification, all learners taking this qualification must be assessed in English and all assessment evidence presented for external quality assurance must be in English.

Internal assessment

Each learner must create a portfolio of evidence generated from appropriate assessment tasks, which demonstrates achievement of all the learning outcomes associated with each unit. On completion of each unit, learners must declare that the work produced is their own and the assessor must countersign this. Examples of suitable evidence for the portfolio for each unit are provided in section 2.

Internally assessed work should be completed by the learner in accordance with the qualification specification.

The tutor must be satisfied that the work produced is the learner's own.

A centre may choose to create their own internal assessment tasks. The tasks should:

- be accessible and lead to objective assessment judgements
- permit and encourage authentic activities where the learner's own work can be clearly judged
- refer to course file documents on the NCFE website

Assessment guidance is provided for each unit. Assessors can use other methods of assessment as long as they are valid and reliable and maintain the integrity of the assessment and of the standards required of this qualification.

Supervision of learners and your role as an assessor

Guidance on how to administer the internal assessment and the support you provide to learners can be found on the NCFE website.

Feedback to learners

Guidance on providing feedback during teaching and learning and each stage of the assessment can be found on the NCFE website.

Unit content and assessment guidance

This section provides details of the structure and content of this qualification.

The types of evidence listed are for guidance purposes only. Within learners' portfolios, other types of evidence are acceptable if all learning outcomes are covered and if the evidence generated can be internally and externally quality assured. For approval of methods of internal assessment other than portfolio building, please contact our quality assurance team.

The explanation of terms explains how the terms used in the unit content are applied to this qualification. This document can be found in section 3.

For further information or guidance about this qualification, please contact our customer support team.

Section 2

Unit content and assessment guidance

Unit 01 Principles of building respectful and productive working relationships in organisations (D/615/4518)

Unit summary	Learners will understand how communication can affect relationships and performance in the workplace and the processes of conflict resolution and management. They must learn about creating rewarding and supportive workplaces and the importance of equality and diversity.
Guided learning hours	22
Level	4
Mandatory/optional	Mandatory
NOS mapping	INSML008 Promote equality of opportunity, diversity and inclusion in your organisation INSML028 Promote and manage staff wellbeing INSML031 Develop and sustain working relationships with colleagues and stakeholders INSML033 Manage conflicts in work environment

Learning outcome 1

The learner will:

1   Understand how communication can affect relationships and performance in the workplace

The learner can:

1.1   Explain the principles of effective communication
1.2   Evaluate **theories and models of communication** and how they can be applied to different situations in the workplace
1.3   Explain why constructive feedback is important and how this can have a positive impact on performance
1.4   Analyse **feedback models** and how they can be used
1.5   Analyse the impact that ineffective communications can have on working relationships and performance standards

Key words

1.2 Theories and models of communication: for example, Shannon and Weaver, Wilbur Schramm, Littlejohn and Jabusch

1.4 Feedback models: for example, Pendleton feedback model; situation-behaviour-impact (SBI) feedback model; describe, express, specify, consequences (DESC) feedback model

Assessment guidance

Delivery and assessment
1.1 Effective communication is when communication has met its objective. Communication can be both written and verbal/non-verbal, formal and informal. Learners should explain the principles and how these can be achieved (for example, appropriate language, timeliness, clarity, purpose, audience). The learner should compare this with examples of causes of ineffective communication.

Delivery and assessment
1.2 The learner should evaluate at least 3 different theories or models and give examples of how these can be applied to situations in the workplace. This should be their own workplace, where possible, or a case study could be provided. The learner should particularly examine the theory in relation to a management role. 1.3 The learner will consider both the giving and receiving of constructive feedback. They should look at the value of feedback to themselves, to others and to the organisation as a whole. They should give examples from the workplace, or a case study if this is not possible, of how constructive feedback has improved performance. 1.4 The learner should analyse at least 3 models of giving and receiving feedback. They should explain, with examples, of how these can be applied in the workplace, either through their own experience or through the use of case studies. 1.5 Ineffective communication is when communication has not met its objective. This can be both written and verbal/non-verbal, formal and informal. The learner will focus on examples of ineffective communication and the impact that this can have on working relationships and the performance of the organisation. They should use examples from their own workplace where possible. Case studies can also be used. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand practices of conflict resolution and conflict management in the workplace

The learner can:

2.1   Explain a range of sources of conflict in the workplace
2.2   Explain the difference between conflict management and conflict resolution, giving examples
2.3   Analyse a range of **techniques** that may be used to manage and resolve conflict in the workplace, including use of both internal processes and external interventions

Key word

2.3 Techniques: for example, Thomas-Kilmann model, Karpman's Drama Triangle, Pondy's 5 stages of conflict

Assessment guidance

Delivery and assessment
2.1 The learner should include a variety of sources such as those caused by people, skills, information, values, goals and the environment (for example, workplace structure, resources). They should detail how different sources can cause, or have caused, conflict in the workplace. Case studies can also be used.
2.2 The learner should consider that conflict management and conflict resolution serve different purposes and they should explain the link between the two. They should support their explanation with examples from the workplace or through the use of case studies.
2.3 The learner must analyse the use of at least 2 models which can be used in conflict management and conflict resolution. They should explain how these can be applied to a situation in the workplace, supported with examples and possible tactics. They should look at the effectiveness of such models and how they can sit alongside an organisation's policies and processes for managing disputes. They should consider possible interventions from those outside the organisation such as trainers or arbitration services (for example, the Advisory, Conciliation and Arbitration Service (ACAS)). Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the importance of creating an equal and diverse working environment

The learner can:

3.1   Assess the impact of equality legislation on the working environment
3.2   Assess the value of a diverse workforce, giving examples
3.3   Evaluate techniques for promoting equality and diversity in the work environment
3.4   Evaluate techniques that can effectively promote equality and diversity throughout the
          employee lifecycle

Assessment guidance

Delivery and assessment
3.1 The learner must assess how equality legislation has effected change in an organisation, both positively and negatively. They must consider this from both a management and an individual perspective. They must consider the protected characteristics and what an organisation should consider in terms of recruitment, employment, training and data collection. They should discuss positive discrimination, indirect discrimination and also include the consequences of breaching the legislation. 3.2 A diverse workforce should reflect the society we live in and the learner must consider why this is a beneficial approach for an organisation and their employees. The learner must give examples from their own organisation, and/or from case studies, of how a diverse workforce has benefited the organisation. They must consider a range of the protected characteristics. 3.3 The learner must evaluate a range of techniques that may be used to promote and demonstrate positive action in relation to equality and diversity in the workplace. They should use examples from their own organisation where possible; alternatively, case studies can be used. They should consider the culture of an organisation, its policies and procedures and the role of management and role models in creating an inclusive working environment. 3.4 The learner must evaluate a range of techniques which can promote equality and diversity for every employee, starting from the recruitment and selection process through to when they leave the organisation. They could include employee induction, training, performance management, flexible working, disciplinary action, promotion, pay, redundancy/dismissal. They should include examples of the challenges. Examples from case law would be useful.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies/case law • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 4

The learner will:

4   Understand the importance of creating a supporting and rewarding working environment

The learner can:

4.1   Evaluate the importance of staff wellbeing and how this can be measured
4.2   Evaluate a range of methods that can be used to recognise achievement in the workplace both formally and informally
4.3   Evaluate a range of methods for developing a learning and innovation culture in an organisation
4.4   Analyse the value of a learning and innovation culture to organisational performance and how this can be measured

Assessment guidance

Delivery and assessment
4.1 The learner will consider how staff wellbeing contributes to a productive workforce and its value to the individual and to the organisation. They will also consider how wellbeing can be measured through both qualitative and quantitative data (for example, staff surveys, focus groups, staff turnover, staff absence, monitoring of complaints both internally and externally) and how the measurement outcomes can inform change. 4.2 The learner should consider both public and private recognition and how this can be either formal or informal. This could include the following methods of recognition: awards, rewards, thanks, ceremonies and appraisals. They must evaluate a range of methods and the benefits that it can have for the individual, colleague and the organisation. 4.3 The learner will consider the advantages and disadvantages of methods such as use of organisational policies, consulting and empowering employees, using collaboration tools, coaching and mentoring, training and resourcing. 4.4 The learner will examine the advantages of developing a learning and innovation culture in the workplace at all levels and how they will know if the methods used have been successful. They will

assess a range of performance measures such as achievement of strategic objectives, customer satisfaction, employee satisfaction, increased business and external quality standards.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Unit 02 Managing personal and professional development (R/615/4516) ☆

Unit summary	Learners will understand the need for and know how to plan personal and professional development.
Guided learning hours	18
Level	4
Mandatory/optional	Mandatory
NOS mapping	INSML002 Develop your knowledge, skills and competence to meet the requirements of your work INSML025 Manage and quality assure work in your team INSML029 Support employees' learning and development

Learning outcome 1

The learner will:

1   Understand the factors which influence the need for personal and professional development

The learner can:

1.1   Analyse how **developments in management** can influence personal development
1.2   Explain the importance of own personal values, career and personal goals when planning professional development
1.3   Analyse how changes in the work environment can impact on the need for personal and professional development
1.4   Assess the benefits of planning own professional development

Key words

1.1 Developments in management: for example, collective leadership and staff empowerment, talent and knowledge management

Assessment guidance

Delivery and assessment
1.1 Management theory and practice is constantly evolving due to globalisation, technology, corporate social responsibility (CSR) and political and environmental changes. The learner must analyse how developments in management approaches can have an influence on the personal development needs of a manager.
1.2 Professional development is not just about the needs of the organisation; it is about the needs of the individual. Learners should explain how their own goals and values can influence their plans for professional development and the choices that are available to them. They could include reference to personal commitments, motivation, fulfilment, work-life balance, remuneration and aspirations.
1.3 The learner could consider changes in organisational structure, vision or mission, operations, reorganisation, staffing, responsibilities, new technologies and business growth, and must analyse how some of these areas can affect the need for training and development. They

Delivery and assessment
should give a detailed breakdown of each change selected, looking at where current skills lie and where they need to be in order to effectively respond to the change. 1.4 The learner should be able to look at the benefits of professional development to themselves in both their current job role and their future job roles as well as to the organisation and to society. They should focus on the need and reasons for **planning** which can include current skills, short and long-term goals, resources, time and support available. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand how to plan and implement a personal and professional development plan

The learner can:

2.1   Describe the factors that contribute to developing and prioritising different activities in an effective personal and professional development plan
2.2   Analyse the value of professional networks and professional bodies in the development of a personal and professional development plan
2.3   Explain how different **learning styles** contribute to personal development planning
2.4   Evaluate the effectiveness of different types of development activities in improving personal performance
2.5   Explain how to implement and monitor a personal and professional development plan against objectives
2.6   Assess the value and sources of constructive feedback in implementing and monitoring the development plan

Key words

2.3 Learning styles: for example, Kolb's learning styles inventory, Fleming's visual, auditory, reading/writing and kinesthetic (VARK), Honey and Mumford's model

Assessment guidance

Delivery and assessment
2.1 An effective plan should include short, mid and long-term needs for both the organisation and the individual. The learner will describe how activities can be affected by timescales.
2.2 The learner should give a detailed study of how professional networks and professional bodies can contribute to a personal and professional development plan. This could include access to expertise, learning and development opportunities and resources. Where possible, they should relate this to their own workplace and their own development needs. They could include examples of professional networks and professional bodies in a particular sector.
2.3 The learner should refer to at least 2 models of learning styles and the theory behind them.
2.4 The learner should look at the pros and cons of different development activities (such as formal training, on-the-job training, shadowing, attending conferences, self-selected reading and research) and how effective these can be in improving one's own performance. They should relate this to their own learning style.
2.5 The learner should consider the need for a written plan and how it needs to be agreed and with whom. They should explain how the objectives should be written and the importance of timescales, planning, reflection, review and discussion with others (for example, manager or mentor). They should also consider factors that may cause the plan to be revised.
2.6 The learner must look at the benefits of constructive feedback and from where that feedback may be obtained and when. They should consider the type of feedback that will be of value and the influence this may have on implementing and monitoring the plan.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation   • report/reflective account   • case studies   • professional discussion (used in support of other evidence)   • products (used in support of other evidence)

Unit 03 Principles of management and leadership in organisations (L/615/4515)

Unit summary	Learners will understand the concept of leadership and the development of managerial effectiveness within organisations. They must learn about the principles and practices of performance management.
Guided learning hours	20
Level	4
Mandatory/optional	Mandatory
NOS mapping	INSML004 Lead your organisation INSML005 Provide leadership to your team INSML007 Develop your organisation's vision, strategies and business plans

Learning outcome 1

The learner will:

1   Understand the concept of leadership in organisations

The learner can:

1.1   Compare the difference between leadership and management
1.2   Compare the different levels of leadership within organisations
1.3   Compare the concepts of assigned and emergent leadership
1.4   Explain and compare responsibility and accountability in leadership
1.5   Analyse the relationship between organisational vision, values, goals and leadership

Assessment guidance

Delivery and assessment
1.1 Leadership is largely about inspiring, and management is about planning. The learner should compare the aspects of 2 roles, discussing how they differ and how they overlap.
1.2 Leadership occurs in various parts of an organisational structure. The learner should compare how leadership differs in different areas of an organisation. They should use theory to support their understanding such as Watson's use of McKinsey's 7-S Organisational Framework and Maxwell's 5 Levels of Leadership hierarchy.
1.3 The learner should use theory to support their comparison. For example: • assigned leadership (for example, power (French and Raven, 1959)) • emergent leadership (for example, communication behaviours (Fisher, 1974); gender bias (Watson and Hoffman, 2004))
1.4 Responsibility focuses on the completion of a task, but accountability continues after the task is complete. The learner should compare the differences between the two: • responsibility (for example, obligation of subordinate to perform duties, possibility of reprimand)

Delivery and assessment
•   accountability (for example, responsibility for staff, performance, accountability to senior managers and stakeholders) 1.5 The relationship between organisation vision, values, goals and leadership is closely intertwined. The learner must analyse how one influences the other. The learner should consider the organisation's vision for the future, the organisation's core values, actions plans and goals and the role of leaders. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the development of managerial effectiveness in an organisation

The learner can:

2.1   Analyse the skills, attitudes and behaviours of effective leaders
2.2   Analyse different models and styles of leadership and how they are used effectively in organisations
2.3   Evaluate the role of delegation and empowerment and how managers use this effectively to meet the needs of an organisation
2.4   Assess the impact of organisational structure, culture and climate on managerial effectiveness

Assessment guidance

Delivery and assessment
2.1 The learner must analyse the skills, attitudes and behaviours of effective leaders, providing examples, using theory to support their understanding: • skills (for example, Adair's Action-Centred Leadership Model, James Scouller's Three Levels of Leadership model, 2011) • attitudes (for example, McGregor's Theory X and Theory Y) • behaviours (for example, Ohio State leadership behaviour theory)

Delivery and assessment

2.2 The learner must analyse different models and styles of leadership, how they are used effectively by leaders in organisations, and how this is measured, giving examples:

- models (for example, Tannenbaum and Schmidt, 1973; Fiedler's Contingency Model)
- styles (for example, authoritarian, democratic and laissez-faire)
- practices of effective leaders (for example, lead by example, thank and reward staff)

2.3 The learner must examine the pros and cons of delegation and the positive effect that empowerment can have on staff and the organisation. They should also look at the process of delegation and empowerment and how this should be managed. They must use theory to support their understanding.

2.4 The learner should consider different organisational structures (for example, hierarchical, flat, tall, functional) and the impact that these structures can have on managerial effectiveness.

They must also consider how the effectiveness of management and decision-making is affected by the climate and culture of an organisation and the impact that this can have on practices and behaviours and the overall performance of the organisation. The learner could refer to theory such as Goldsmith and Clutterbuck's study of the world's top companies to support their understanding:

- culture (for example, aggressive, constructive)
- climate (for example, atmosphere, level of morale)
- managerial effectiveness (for example, hierarchies, workload)

The learner should look at the culture of an organisation and how leadership is affected by this. They could refer to models such as Schein and the Johari Window.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the principles and practices of performance management

The learner can:

3.1   Analyse the features, benefits and limitations of performance management
3.2   Analyse the main **tools and techniques** used by organisations when managing performance
3.3   Assess **approaches** to managing underperformance within an organisation
3.4   Evaluate the role and features of effective communication in managing the performance of individuals in an organisation
3.5   Compare the features of effective mentoring and effective coaching
3.6   Assess the value of mentoring and coaching in managing the performance of individuals

Key words

3.2 Tools and techniques: for example, 360-degree feedback, key performance indicators (KPIs), balanced scorecard, personal development reviews/performance appraisal

3.3 Approaches: for example, formal/informal, performance improvement plan, disciplinary procedures, coaching/mentoring, training

Assessment guidance

Delivery and assessment
3.1 The learner must analyse the positive and negative attributes of controlling and monitoring activities which are designed to improve the performance of the individual and the organisation.
3.2 The analysis should show that the learner has an understanding of the benefits and drawbacks of a range of tools and techniques that can be used to manage performance.
3.3 The learner must consider a variety of approaches that can be used when staff are not performing as expected and assess their value for different situations.
3.4 The learner must use theory to underpin their evaluation of the role and features of effective communication (for example, Shannon and Weaver, Wilbur Schramm, Littlejohn and Jabusch, Stuart Hall) and link their evaluation to the different organisational structures and levels of management.
3.5 The learner must show that they understand the difference and similarities between mentoring and coaching. The learner should compare features such as performance improvement/development of the individual; expert/non-expert; styles; relationship; structure/timescale.
3.6 The learner must understand the value that each of mentoring and coaching can have in managing the performance of individuals in an organisation. They should refer to appropriate models and theories to support their understanding (for example, GROW Model, coaching culture as 'revitalising' (Kalinauckas and King)). Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 04 Operational and human resource planning and management (J/615/4514)

Unit summary	Learners will understand the principles and practice of operational planning and physical resource management in organisations. They must also learn about health and safety requirements in managing work activities.
Guided learning hours	22
Level	4
Mandatory/optional	Mandatory
NOS mapping	INSML010 Develop operational plans and manage risks

Learning outcome 1

The learner will:

1   Understand the principles and practices of operational planning in organisations and how this can be achieved

The learner can:

1.1   Analyse the relationship between operational planning and strategic planning
1.2   Describe the **key components** of an operational plan
1.3   Evaluate the effectiveness of a range of **tools and techniques** that can be used to develop and manage an operational plan
1.4   Assess the value of different **decision-making techniques** in operational planning
1.5   Explain possible internal and external risk factors in operational planning and the **strategies** that can be used to manage these risks
1.6   Assess how interdependencies in work activities impact on operational planning and implementation

Key words

1.2 Key components: for example, SMART objectives, key targets/performance indicators, tasks/activities, staffing and resources, risk, timescales, outputs/outcomes, monitoring, accountability, success criteria

1.3 Tools and techniques: for example, Gantt charts, programme evaluation review techniques (PERT), budgeting, forecasting, contingency planning, use of computer software

1.4 Decision-making techniques: for example, decision table/matrix, decision tree, cost benefit analysis, affinity diagram, and strengths, weaknesses, opportunities, and threats (SWOT) analysis

1.5 Strategies: for example, scenario modelling, statistical analysis, controls

Assessment guidance

Delivery and assessment

1.1 The learner must show understanding of the purposes of operational planning and strategic planning in order that they can analyse the relationship between the two. They should be able to draw conclusions about the impact that this relationship can have on business performance.

1.2 Through research, the learner must describe in detail the various components of an operational plan, their purpose and execution. They must assess how this may be different for different operations (for example, 4 dimensions of operations – the 4 'V's: volume, variety, variation and visibility) and the impact that this can have on the operational plan.

1.3 The learner must examine the strengths and weaknesses of a range of different tools and techniques used in operational planning and draw conclusions as to the effectiveness of each.

1.4 The learner must look at a range of decision-making techniques, assessing how each assists in operational planning.

1.5 The learner must explain the purpose of risk analysis and possible causes of risk (internal and external). They must understand some of the categories of risk (for example, operational, financial) and assess processes used in risk management (for example, identify hazards, implement controls). They must explain strategies that can be used to manage risks in operational planning (for example, what-if scenarios, statistical analysis, controls).

1.6 The learner must assess how interdependencies in work activities impact on operational planning and implementation. They should consider pooled interdependence, sequential interdependence and reciprocal interdependence. This will include assessment of organisational structure, shared resources, co-ordination, reliance on particular staff (either teams or individuals), multiple projects, internal/external input.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the key concepts and principles of physical resources management and workforce planning

The learner can:

2.1   Analyse the principles that underpin the management of **physical resources**
2.2   Explain how to assess the physical resource requirements of an organisation
2.3   Analyse the potential impact on the environment of physical resource requirements and how the impact can be minimised
2.4   Evaluate methods of identifying and meeting human resource requirements through workforce planning
2.5   Analyse approaches to talent management and their effectiveness in fulfilling business-critical roles

Key words

2.1 Physical resources: could include premises, land, plant and machinery, materials, stocks, equipment, vehicles

Assessment guidance

Delivery and assessment
2.1 The learner must describe the physical resources that may be required and conduct a detailed examination of the principles used in their management (for example, meet strategic objectives, efficiency, sustainability, continuity).
2.2 The learner must explain the considerations to be taken into account when assessing the physical resources needed. This will include planning and monitoring and should also include factors such as workflow, availability, investment, storage, wastage, cost benefit analysis, customer expectations, meeting ethical guidelines.
2.3 The learner must examine a range of physical resources and give a detailed breakdown of how each may impact on the environment and what action can be taken to reduce this. They should consider depletion of natural resources, waste management, energy efficiency, sustainability, product design. They should make reference to industry standards and government regulations.
2.4 The learner must evaluate how human resource requirements are identified and met through workforce planning. They should refer to workforce planning models and techniques (for example, gap analysis, flexible working, succession planning) looking at the benefits and drawbacks of each.
2.5 The learner must study in detail a range of approaches to talent management and make a judgement as to their effectiveness in fulfilling business-critical roles. They should consider how to identify the talent, retain it and nurture it. This could include use of competency frameworks, performance appraisal, training and development.
Learners should include a reference list with their evidence.

Delivery and assessment
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the health and safety requirements of work activities in organisations

The learner can:

3.1   Assess the impact that health and safety legislation can have on work activities within an organisation

3.2   Assess the need for continuous review of the organisation's policies and procedures for health and safety

3.3   Explain the purpose and benefits of carrying out a risk assessment when managing work activities

Assessment guidance

Delivery and assessment
3.1 The learner must research the Health and Safety at Work etc Act 1974 and any other legislation relevant to their occupational area (for example, Control of Substances Hazardous to Health Regulations). They must assess the impact this legislation can have on work activities within an organisation (for example, storage and transport, manual handling, duty of care).
3.2 The learner must show that they know the reasons why continuous review is important. They should discuss both policies and procedures, giving specific examples in a context (for example, organisational restructuring, changes in legislation, embedding of employee and organisational responsibilities).
3.3 The learner must explain why risk assessments are used and in what circumstances, and the purpose of the various components. They should show a clear understanding of the benefits of having risk assessments in place (for example, reputation, legislation, avoiding harm). Particular consideration should be given to legislation, record keeping and monitoring. Supporting products can be included. Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Unit summary	Learners will understand the nature and value of business performance measurement and the performance measurement systems used in business.
Guided learning hours	20
Level	4
Mandatory/optional	Optional
NOS mapping	There is no mapping for this unit

Learning outcome 1

The learner will:

1   Understand the importance of business performance measurements in achieving the objectives of the organisation

The learner can:

1.1   Analyse the features and benefits of an effective performance measurement system
1.2   Assess the relationship between corporate strategy and business performance measurement systems
1.3   Examine a range of financial and non-financial performance measures used in performance measurement systems
1.4   Compare the use of 'leading' and 'lagging' performance management systems
1.5   Explain the difference between KPIs and business performance measures
1.6   Evaluate the role of KPIs in measuring the performance of an organisation

Assessment guidance

Delivery and assessment
1.1 The learner should consider the aims of a performance management system in order to give an in- depth study of what features it should contain to make it effective (for example, alignment to vision, cross-functional perspective). They should study the benefits that these features may hold for the organisation (for example, achievement of targets, ensuring control and quality, assessment of contribution of employees and suppliers).
1.2 The learner must show that they understand why, in order for the performance management system to be effective, there must be a clear link to the organisation's corporate strategy (for example, the mission, goals, objectives and action plan), and a feed into the long-term and short-term objectives of the organisation.
1.3 The learner must differentiate between financial and non-financial performance measures, examining a range of each used in performance measurement systems. Financial performance measures could include profitability, liquidity ratio analysis and investor ratios. Non-financial measures could include management of human resources, quality control, customer satisfaction and feedback.
1.4 The learners must show their understanding of each of the terms, comparing their features and giving examples of how they are used.

Delivery and assessment
1.5 The learner must explain the difference between KPIs and business performance measures. The learner should explain this in detail, supporting their understanding with clear examples. 1.6 The evaluation must include an understanding of a range of areas of the organisation where performance can be measured. It should include how an effective KPI could be agreed and monitored, who should be involved and how information can be shared. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the frameworks used in performance measurement systems in business organisations

The learner can:

2.1   Analyse the benefits and limitations of the balanced scorecard framework in measuring business performance
2.2   Analyse the benefits and limitations of total quality management in measuring business performance
2.3   Compare different **measurement frameworks** used in business performance measurement

Key word

2.3 Measurement frameworks: for example, activity-based costing (ABC), economic value added (EVA), business excellence model of the European Foundation for Quality Management (EFQM)

Assessment guidance

Delivery and assessment
2.1 The learner must analyse the 4 perspectives of the balanced scorecard framework (financial health, internal processes, customer perception, organisational capacity), considering how this approach can benefit a business and why it might not be an appropriate tool for all businesses. 2.2 The learner must show a detailed understanding of the 8 principles of Total Quality Management, giving examples of the benefits to the business but also acknowledging and explaining the system's limitations. 2.3 The learner should choose at least 2 measurement frameworks and compare their principles and approach to improving business performance. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (this should not be the only form of evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the role management information systems play in improving business performance

The learner can:

3.1   Explain the functions and uses of a management information system
3.2   Assess how management information can be used to improve the performance of an organisation

Assessment guidance

Delivery and assessment
3.1 The functions of a management information system could include collection of data, organisation of data, production of routine or bespoke reports. The learner must explain how different pieces of information collected can be used and shared within an organisation. Examples should be given. 3.2 The learner must look at the benefits of having a management information system and how the information can specifically be used to improve the performance of an organisation (for example, communication, collaboration, planning, trouble-shooting, reporting, transparency).

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Unit 06 Corporate social responsibility and sustainability (A/615/4512)

Unit summary	Learners will understand the characteristics of CSR and sustainability and the impact on business performance. They must also understand the strategic requirement for CSR and sustainability.
Guided learning hours	32
Level	5
Mandatory/optional	Optional
NOS mapping	INSML012 Manage Corporate Social Responsibility (CSR)

Learning outcome 1

The learner will:

1   Understand the characteristics of corporate social responsibility and sustainability

The learner can:

1.1   Explain the scope of CSR and sustainability activities for organisations
1.2   Evaluate a range of organisations and their approaches to CSR and sustainability
1.3   Analyse the roles, responsibilities and influences of a range of **stakeholders** who have an interest in CSR and sustainability
1.4   Examine ways in which CSR and sustainability can be managed

Key words

1.3 Stakeholders: local community, customers, suppliers, investors and owners, employees, government, regulatory groups

Assessment guidance

Delivery and assessment
1.1 CSR is how the organisation integrates the social, economic and environmental concerns of society into their operations. The learner should explain the purpose and types of activities that the organisation might engage in across these areas. 1.2 The learner must investigate the approaches of at least 3 organisations and make a judgement as to the effectiveness of each. They should consider social, economic and environmental activities. 1.3 The learner must analyse the roles and responsibilities of both internal/external and primary/secondary stakeholders, detailing the influence that each hold. They must also reference current relevant legislation and standards and consider the impact that these can have on an organisation and the responsibilities of its stakeholders. 1.4 CSR and sustainability can be managed by an organisation in many ways (for example, the use of mission statements, company objectives, policies and procedures, culture, communication with stakeholders). The learner should consider the value and impact of these and how they can be embedded and monitored across an organisation.

Delivery and assessment
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2 Understand the impact that corporate social responsibility and sustainability can have on the performance of an organisation

The learner can:

2.1 Evaluate the impact that stakeholders' interests can have on the CSR and sustainability of an organisation

2.2 Evaluate how CSR and sustainability requirements can be incorporated into the future developments of an organisation

2.3 Discuss how CSR and sustainability requirements can affect the performance of the business

Assessment guidance

Delivery and assessment
2.1 The learner must study the effect on the organisation of stakeholder views across social, economic and environmental activities and plans. They should also consider how image and reputation can be affected by feedback from stakeholders and how there can be conflicts of interest between different stakeholder groups. Examples could be provided.
2.2 The learner must research and evaluate how organisations can incorporate CSR and sustainability requirements into their future plans. This should include the development of new products and services (for example, reduction of energy used, reduction in waste, the use of less packaging, sourcing suppliers with similar CSR and sustainability policies) and they must show that they understand the benefits and difficulties of fulfilling these plans.
2.3 The learner must research and discuss how CSR and sustainability requirements can affect the performance of the business. Performance can be both financial and non-financial (for example, customers may be attracted to businesses with such values, but this needs to be balanced with the cost of allocating suitable resources). The learner must also discuss how performance can be measured.
Learners should include a reference list with their evidence.

Delivery and assessment
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the strategic requirement and benefits of corporate social responsibility and sustainability for organisations

The learner can:

3.1   Analyse the need for a CSR and sustainability strategy for an organisation
3.2   Evaluate the social impacts business activities can have on society
3.3   Evaluate the environmental impacts business activities can have on society

Assessment guidance

Delivery and assessment
3.1 The learner must consider the benefits of a CSR and sustainability strategy in comparison to having no strategy. They should consider both the financial and non-financial repercussions. Benefits could include improved image leading to investment, more customers, brand differentiation, cost savings and employee engagement.
3.2 The learner must consider the social impacts from different stakeholder perspectives and draw a balanced conclusion. This could include impacts on the workforce, the community and the suppliers. They should also consider the organisation's legal and statutory duties.
3.3 The learner must consider the environmental impacts from different stakeholder perspectives and draw a balanced conclusion. Impacts could include pollution (including noise), waste management, energy management, carbon footprint and legal compliance.
Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Learning outcome 4

The learner will:

4   Understand the benefits of ethical approaches to leadership and management

The learner can:

4.1   Analyse various business approaches used when managing ethical issues at a strategic level
4.2   Evaluate the positive impacts an ethical approach can have on an organisation
4.3   Analyse the responsibility of leaders and managers in ensuring that the CSR and sustainability strategy of the organisation is followed

Assessment guidance

Delivery and assessment
4.1 The analysis must research different approaches referring to the range of ethical issues that may arise, such as fair trading, animal testing, exploitation, corruption. The analysis can be supported with examples from businesses. Practices could include implementing codes of ethics, ethical sourcing, listening to external stakeholders. The learner could also include the use of models of managing ethical issues.   4.2 The learner must evaluate the positive impacts an ethical approach can have in the short, medium and long-term. This could include compliance with legislation, reputation, public image. Case studies can be used to support the evaluation.   4.3 The learner must study how the approach of leaders and managers at various levels can affect workforce support for the strategies in place (for example, leading by example, training and development, analysing operations, measuring success).   Learners should include a reference list with their evidence.   The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 07 Budget management (M/615/4510)

Unit summary	Learners will understand the importance of budget planning and management and the role of budgets in organisational decision-making. They must develop an understanding of analysing cost information.
Guided learning hours	26
Level	5
Mandatory/optional	Optional
NOS mapping	INSML036 Manage financial resources
	INSML037 Manage budgets

Learning outcome 1

The learner will:

1   Understand the importance of budget management in meeting the needs of an organisation

The learner can:

1.1   Assess the need for budget planning and how it can affect organisational decision-making
1.2   Investigate the relationships between **functional departments** and responsibility centres in the management of budgets within an organisation
1.3   Evaluate how internal and external sources of information are used to determine cost, price and demand for products or services
1.4   Evaluate strategies that can be used to identify and manage budget variance
1.5   Identify possible reasons for variance and action that can be taken to reduce this
1.6   Assess how budgetary management controls are used in a range of organisations to support and optimise the performance of an organisation

Key words

1.2 Functional departments: for example, human resource (HR), finance, marketing

Assessment guidance

Delivery and assessment
1.1 The learner must show that they understand the need for budget planning in order to achieve business objectives and make decisions in both the short and longer term. They could also consider the effects of the lack of budget planning.
1.2 The learner must show that they understand how budgets are managed across different areas of a business. This could be a named department or a responsibility area. They should understand the relationship between them and how all the information comes together and how inputs and outputs are measured.
1.3 Information could be data such as costs, sales, trends, customer information, government policy. The learner must evaluate how this information is used to determine cost, price and demand for products or services (for example, wages, supplier costs, profit margins, exchange rates).

Delivery and assessment
1.4 Strategies could be discussed through regular meetings or reports. Variances could be favourable or unfavourable. The learner must evaluate the effectiveness of these strategies and make a judgement regarding their scope, reporting method and frequency. 1.5 The learner must identify the factors that can cause variance and suggest possible rectifications. This could be by changing processes or changing expenditure on goods, overheads, staffing, marketing. 1.6 Budget management controls include clearly defined responsibilities, planning, monitoring, target setting and forecasting. The learner must investigate how budget management occurs in at least 3 organisations and judge their effectiveness. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand how to analyse cost information in business

The learner can:

2.1   Explain the different types of cost incurred in business
2.2   Explain the use of cost data when planning and controlling resources and how this contributes to managerial decision-making
2.3   Evaluate the main methods and techniques that can be used to calculate business costs in an organisation
2.4   Explain the different **costing methods** used within an organisation

Key word

2.4 Costing methods: for example, fixed, variable, direct, indirect

Assessment guidance

Delivery and assessment
2.1 The learner must show that they understand costs such as fixed, variable, direct, indirect. They should provide supporting examples.

2.2 The learner must explain cost data and how this is used for business planning and control purposes. They must understand how cost benefit analysis and break-even analysis are used to identify when revenue is equal to costs and how marginal costing is used to contribute to managerial decision-making.

2.3 Business costs could be start-up costs, production costs, operating costs, fixed costs. They must evaluate the methods used to calculate these costs in their chosen organisation.

2.4 Costing methods could be process costing, job costing, activity-based costing. The learner should explain how this operates in their chosen organisation.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence

Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Unit 08 Understanding organisational structure, culture and values (A/615/4509)

Unit summary	Learners will understand the development and role of organisational structures and how organisational culture is developed. They must understand the value of a high-performance culture and how values and cultures influence behaviour.
Guided learning hours	18
Level	4
Mandatory/optional	Optional
NOS mapping	INSML009 Develop your organisation's values and culture

Learning outcome 1

The learner will:

1   Understand the role organisational structures play in the effectiveness of the business

The learner can:

1.1   Discuss the types of formal and informal **structures** within organisations
1.2   Evaluate the **effectiveness** of formal organisational structures used in different organisations
1.3   Analyse **factors** that may affect the development of a formal organisational structure
1.4   Assess the role of informal organisational structures in achieving organisational goals in comparison to formal organisational structures

Key words

1.1 Structures: for example, centralised/decentralised, flat/tall, mechanistic/organic, matrix, functional

1.2 Effectiveness: for example, efficiency, bottle necks, red tape, efficiency, framework of authority, effective delegation

1.3 Factors: for example, product or service, size, external factors, organisational lifecycle, type of workforce

Assessment guidance

Delivery and assessment
1.1 The learner must show that they understand the different types of structure that can exist in organisations.
1.2 The learner must study at least 3 organisations which have a different organisational structure and make a judgement on how effective each structure is in relation to areas such as meeting objectives, efficiency, framework of authority, delegation, reputation and growth. They could choose a public organisation, a private and a voluntary.
1.3 There are a range of factors that can affect the ability to create and develop a formal organisational structure and the learner must examine in detail how and why individual factors influence this development. They should include theory to support their analysis such as Handy's 3 significant workforces.

Delivery and assessment
1.4 There are advantages (communication, satisfaction, ownership) and disadvantages (resistance to change, conflicting roles, lack of specialism) to informal organisation structures and achievement of organisation goals. The learner must compare the effectiveness of an informal structure to that of a formal one in achieving those goals, citing examples. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2　　Understand how organisational culture is developed and how a high-performance culture can contribute to the effectiveness of the organisation

The learner can:

2.1　　Analyse the different types of organisational culture
2.2　　Examine the factors influencing the development of organisational culture
2.3　　Analyse the features of high-performance organisational cultures
2.4　　Assess the tools that can be used to analyse organisational culture in order to align it with the organisational strategy

Assessment guidance

Delivery and assessment
2.1 The different types of organisation culture have been defined by theorists such as Schein, Handy, Deal and Kennedy, Cameron and Quinn and the learner should analyse at least 3 of these, considering the limitations and value of each. 2.2 Using knowledge of theory, the learner must examine a range of factors that influence the development of organisational culture such as the organisation's history, primary function, location, size and stakeholders. 2.3 The learner must analyse the different features of high-performance organisational cultures (for example, consistency, co-ordination, control) and theories to support this (for example, Peters and Waterman, Heller's study of top European companies).

Delivery and assessment
2.4 The learner must explain different analytical tools (for example, Organisational Culture Assessment Instrument (OCAI), Johnson and Scholes' cultural web) and assess their effectiveness in aligning culture to the strategy of the organisation. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (this should not be the only form of evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3 Understand the relationship between organisational values and organisational culture and behaviour

The learner can:

3.1 Explain the concept of organisational values
3.2 Analyse the impact that values can have on motivation and human behaviour
3.3 Analyse the benefits and challenges a set of shared values can have on an organisation
3.4 Examine the relationship between organisational values and organisational culture
3.5 Analyse the different **models** of organisational behaviour
3.6 Assess the impact of organisational culture and values on team and individual behaviour in an organisation

Key word

3.5 Models: for example, autocratic, custodial

Assessment guidance

Delivery and assessment
3.1 Theory (for example, DeVito's organised system of attitudes, Johannsen's conceptions of the 'good' or the 'desirable') must be used to support the explanation.
3.2 The learner should use examples of different organisational value statements to support their analysis. They should consider workplace behaviour and motivation such as reward, trust, fair treatment and the effect that values can have on an employee's response to a situation.
3.3 The learner must refer to theory to support their analysis (for example, Cloke and Goldsmith). Benefits could include motivation and morale, commitment, shared purpose and understanding. Challenges could include multi-generational workforce, lack of flexibility.
3.4 The learner must consider how culture and values are interlinked. They should refer to Schein's levels of culture. The learner should look at the influence organisational values can have on decision-making, referring to theory to support their understanding (for example, Howe, Howe and Mindell's value dimensions).
3.5 The learner should analyse different models of organisational behaviour and give examples of how different models can co-exist in one organisation. They should consider the influences of the organisational environment itself.
3.6 Theory (for example, Chatman and Cha, Schein's quadrant) should be used to support the assessment of the impact. Team behaviour could include selection of members of the team, team objectives and decision-making. Individual behaviour could include effect on performance, trust, roles and responsibilities.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation   • report/reflective account   • case studies   • professional discussion (used in support of other evidence)   • products (used in support of other evidence)

Unit 09 Staff recruitment and selection (T/615/4508)

Unit summary	In this unit, learners will understand how current legislation impacts on the recruitment and selection process and how to carry out a selection process. Learners will also understand how to recruit to meet an identified gap in staff resources.
Guided learning hours	20
Level	5
Mandatory/optional	Optional
NOS mapping	INSML020 Recruit, induct and retain employees into their roles

Learning outcome 1

The learner will:

1   Understand how current legislation impacts on the recruitment and selection process

The learner can:

1.1   Analyse how current legislation impacts upon staff recruitment and selection
1.2   Analyse how current legislation can be embedded within staff recruitment and selection policies and processes

Assessment guidance

Delivery and assessment
1.1 The learner should analyse the content of current legislation and how it could influence recruitment and selection (for example, harassment, direct and indirect discrimination, positive action) through all its stages. The learner must understand current legislation relating to employment (for example, Equality Act 2010, Bribery Act 2010, Data Protection Act 2018, Immigration Act 2016, Employment Rights Act 1996).
1.2 Analysis of policies and procedures could include those of recruitment and selection, redundancy, discipline and grievances, maternity/paternity, disclosure and barring service (DBS) checks. This could be done by comparing recruitment and selection policies from different organisations and analysing the way current legislation has been embedded.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: - presentation   - report/reflective account   - case studies   - professional discussion (used in support of other evidence)   - products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand how to recruit to meet an identified gap in staff resources

The learner can:

2.1   Evaluate the **techniques** that can be used to identify staff resources needed to meet current and future staffing business needs
2.2   Assess the different requirements for a business case for additional staffing resources
2.3   Explain how to carry out a job analysis to identify the skills that are needed for a role
2.4   Evaluate the components of a job description and person specification

Key word

1.2 Techniques: for example, gap analysis, skills audit, forecasting, 'what-if' scenarios

Assessment guidance

Delivery and assessment
2.1 The learner must look at the advantages and disadvantages of a range of techniques and draw conclusions as to their effectiveness.
2.2 Requirements for additional staff could include internal and external factors impacting on the need for staffing resources (for example, increased customer demand, employee turnover, new skills needed). The learner will consider the information to be included in a business case (for example, rationale, data, costs, benefits, forecasts/consequences, meeting business objectives) and assess the importance of each.
2.3 The learner must explain how they ascertain the skills that are needed for a job role. This will detail how they identify critical tasks and competencies; the skills that are required to perform these tasks; what the role needs to meet the outcomes required; the responsibilities it will hold and how to compare the role to other similar roles both internally and externally.
2.4 The learner must consider the components of a job description (for example, job title, role, responsibilities, line management) and person specification (for example, essential and desirable skills, knowledge and behaviours) and make a judgement as to the importance of each, looking at the content from differing perspectives. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies

- professional discussion (used in support of other evidence)
- products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand how to carry out a selection process

The learner can:

3.1   Evaluate the effectiveness of each stage of a selection process, explaining how each meets the needs of the business
3.2   Evaluate **methods** used to reach a selection decision

Key word

3.2 Methods: for example, psychometric testing, assessment centre, competency-based interviews, structured interviews, checking references

Assessment guidance

Delivery and assessment
3.1 The stages of the selection process could include advertising the position, reviewing applications, short-listing, the interview process, offering employment and checking references. The effectiveness of the process should include how well the successful candidate met the required outcomes. The learner should consider costs and resources used, the success and limitations of the process itself, an evaluation of the selection techniques used and the efficacy of the job description and person specification. The learner should propose improvements to the process.

3.2 The learner must evaluate at least 3 different methods used to reach a selection decision and how effective they are in selecting candidates. They should consider factors such as attrition rates, staff development and validity of methods used.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification. |
| **Types of evidence** |
| Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence) |

Unit 10 Principles of business strategic planning and development (M/615/4507) ☆

Unit summary	This unit provides the learner with an understanding of strategic planning and how to formulate a strategy. They must also understand the different frameworks and models used in a strategy audit.
Guided learning hours	22
Level	4
Mandatory/optional	Optional
NOS mapping	INSML007 Develop your organisations vision, strategies and business plans

Learning outcome 1

The learner will:

1   Understand the benefits and processes of strategic planning

The learner can:

1.1   Analyse the relationship between 'strategy' and 'tactics'
1.2   Analyse the benefits of strategic planning
1.3   Evaluate different **approaches** to strategic planning and how these can be used in developing and implementing business strategy
1.4   Evaluate the role of both internal and external stakeholders in the development of organisational strategy

Key word

1.3 Approaches: for example, basic, issues-based, alignment, organic

Assessment guidance

Delivery and assessment
1.1 The learner must show that they understand the terms 'strategy' and 'tactics'. They must analyse the relationship between the 2 in terms of their interdependence and differences. The learner must refer to relevant theory (for example, Goldratt, Goldratt and Abramov, Henri Fayol).
1.2 The learner must conduct a detailed investigation of the benefits of strategic planning in relation to the achievement of organisational objectives.
1.3 The learner must analyse at least 3 different approaches to strategic planning and how they can be used (for example, Lafley and Martin's Five-Step Strategy Model, Henry Mintzberg).
1.4 Different stakeholders can have different levels of engagement with the organisation and the learner must evaluate the part that a range of different stakeholders might play in developing organisational strategy. They should consider the positive value of their contribution and also potential negative impact of not being involved in the development. The learner must make reference to appropriate theory such as Freeman, 1984. Learners should include a reference list with their evidence.

Delivery and assessment
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the different frameworks and models used in a strategy audit

The learner can:

2.1   Evaluate the **techniques** that can be used to conduct a strategic analysis of the business environment
2.2   Explain the **components** of a strategy audit
2.3   Evaluate the use of **tools** in relation to auditing a strategy

Key words

2.1 Techniques: for example, Porter's Five Forces Analysis, organisational modelling, business process analysis, business change identification

2.2 Components: for example, internal and external analysis, micro and macro factors

2.3 Tools: for example, SWOT and Political, Economic, Sociological, Technological, Legal and Environmental (PESTLE)

Assessment guidance

Delivery and assessment
2.1 The learner must evaluate at least 3 techniques that can be used to analyse the situation of an organisation and its level of effectiveness. 2.2 The learner must explain the components of a strategy audit, including analysis of both internal and external analysis factors. Internal factors could include capability, resources and competencies. External factors could include micro factors (such as competitors) and macro factors (such as the political landscape). 2.3 The learner must look at the benefits and drawbacks of at least 2 tools which can be used to audit a strategy. Learners should include a reference list with their evidence.

Delivery and assessment
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand different tools used to formulate a strategy

The learner can:

3.1   Assess how product portfolio analysis and use of **models** support the development of a product strategy

3.2   Analyse **models of business growth** and how they influence strategy formulation

Key words

3.1 Models: for example, Boston Matrix

3.2 Models of business growth: for example, Ansoff's growth matrix, McKinsey Growth Pyramid

Assessment guidance

Delivery and assessment
3.1 A product portfolio can consist of products and/or services. The learner must judge the value of analysing the portfolio and how it can inform the development of a future product strategy. The learner should also refer to the benefits and drawbacks of using models to support this. 3.2 The learner must demonstrate an understanding of market growth and strategy formulations. They should analyse at least 2 models of business growth, making reference to different contexts (for example, public sector, private sector and not-for-profit). Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 11 Stakeholder engagement and management (K/615/4506)

Unit summary	This unit will give learners an understanding of the expectations of stakeholder groups. They must understand the process of stakeholder management and its value, and how to develop and improve stakeholder relationship management.
Guided learning hours	14
Level	4
Mandatory/optional	Optional
NOS mapping	INSML031 Develop and sustain working relationships with colleagues and stakeholders

Learning outcome 1

The learner will:

1   Understand the expectations of stakeholder groups

The learner can:

1.1   Define and differentiate between primary and secondary stakeholders
1.2   Analyse the expectations of different stakeholder types and the potential conflicts of interest that can occur

Assessment guidance

Delivery and assessment
1.1 The learner must demonstrate that they understand the difference between primary and secondary stakeholders, providing examples to support their definitions.
1.2 Different stakeholder types should include both primary/secondary and internal/external stakeholders, and there will be multiple types associated with a business. The learner must analyse a range of types of stakeholders and what their expectations might be from an organisation. This could be in relation to personal matters, business relationships, quality of service, financial, community consideration and so on. However, expectations may not always be met for many reasons and the learner should analyse the types of conflict of interest that may occur, such as costs, strategy, resources, priorities.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation   • report/reflective account   • case studies   • professional discussion (used in support of other evidence)   • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the process of stakeholder management and its value

The learner can:

2.1   Assess the meaning of stakeholder engagement
2.2   Assess the importance of stakeholder engagement and its value to an organisation
2.3   Describe the stages in the stakeholder engagement process
2.4   Analyse the methods used to identify and evaluate relevant internal and external stakeholders
2.5   Evaluate techniques for engaging with stakeholders
2.6   Analyse strategies for managing the risk associated with engagement with stakeholders

Assessment guidance

Delivery and assessment
2.1 There are varied definitions of stakeholder engagement. The learner must discuss the scope of these and draw some conclusions.
2.2 The learner should use examples to support their assessment.
2.3 The learner must detail the stages such as stakeholder identification, analysis, planning, management, reviewing and reporting. They should research different models of the process.
2.4 The learner will look at the effectiveness of methods used to identify stakeholders (for example, mind-mapping, directories, previous projects, professional bodies, level of expectation). Identification of stakeholders must refer to appropriate stakeholder influence diagrams, such as the power and influence grid or the responsible, accountable, consulted and informed (RACI) matrix, and the learner will discuss the relationship between power, influence and engagement goals.
2.5 The learner must look at the strengths and weaknesses of a range of techniques for engaging with both internal and external stakeholders based on the level of participation and engagement goals. Engagement methods could include focus groups, social media, meetings and newsletters. The learner should consider push and pull communications.
2.6 The learner must show that they understand the risks associated with stakeholder engagement (for example, damage to organisation's reputation, conflicting views, negative impact on customer retention) and analyse strategies for managing those risks (for example, governance and management structure, stakeholder planning, review of stakeholder engagement goals).
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand how to develop and improve stakeholder relationship management

The learner can:

3.1   Evaluate strategies for the management of stakeholder expectations and conflicts
3.2   Evaluate methods of developing and maintaining collaborative relationships with different stakeholder groups
3.3   Evaluate the value of monitoring the effectiveness of stakeholder relationships and the methods used

Assessment guidance

Delivery and assessment
3.1 The learner must research the practice of managing expectations and managing conflicts and relate them to managing a stakeholder relationship, drawing their own conclusions. They should consider the needs and interests of different stakeholder groups. 3.2 The learner must evaluate methods of developing and maintaining collaboration (for example, focus groups, surveys, webinars) and provide examples of how these are used. They will discuss the suitability of the different methods for different stakeholder groups. They should consider factors such as time, cost, power/influence, frequency, stakeholder literacy. 3.3 The learner must evaluate the different methods used (for example, review of stakeholder objectives, data collection, surveys, monitoring of social media). They should also consider costs versus benefits for the organisation. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 12 Principles of innovation and change management (H/615/4505)

Unit summary	In this unit, learners will gain an understanding of why organisations need innovation and change and how innovation can be influenced by organisational culture. They must also understand the principles relating to change management and the role of communication and relationship management within change processes.
Guided learning hours	20
Level	5
Mandatory/optional	Optional
NOS mapping	INSML015 Identify and evaluate opportunities for innovation and improvement

Learning outcome 1

The learner will:

1   Understand why organisations need innovation and change

The learner can:

1.1   Analyse the relationship between innovation and competitive advantage within an organisation
1.2   Analyse the internal and external factors that influence organisational change

Assessment guidance

Delivery and assessment
1.1 Innovation could include research and development, process improvement, invention. Competitive advantage could include increased market share, profitability, reputation. The learner must support their analysis of the relationship between them with examples.
1.2 Analysis of internal factors could include structure, management style, organisational goals and availability of resources. Analysis of external factors could include political, environmental, social, legal, and must include use of analytical models, such as PESTLE analysis.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include:

- presentation
- report/reflective account
- case studies
- professional discussion (used in support of other evidence)
- products (used in support of other evidence) |

Learning outcome 2

The learner will:

2   Understand how innovation can be influenced by organisational culture

The learner can:

2.1   Evaluate **management styles** and how they contribute to fostering an innovative climate in an organisation

2.2   Evaluate different **types of organisational culture** and how they contribute to supporting innovation

2.3   Examine sources of innovation within an organisation and how innovation can be encouraged

Key words

2.1 Management styles: for example, autocratic, democratic, laissez-faire, paternalistic, transformational, situational, action-centred, authentic

2.2 Types of organisational culture: for example, open, transparent, collaborative

Assessment guidance

Delivery and assessment
2.1 There are many theories and models of styles of leadership (for example, Goleman, Lewin) and the learner should analyse the styles suggested by at least 2 theorists and draw conclusions as to which of these styles are the most effective in contributing to a climate of innovation.
2.2 The learner must examine at least 3 different types of organisational culture and draw conclusions as to which is the most effective in contributing to innovation within an organisation.
2.3 The learner must study one organisation to examine where new ideas are generated. They should refer to idea-generation processes (for example, storyboarding, mind-mapping). They must make recommendations of how innovation can be further encouraged.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation   • report/reflective account   • case studies   • professional discussion (used in support of other evidence)   • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand principles relating to change management

The learner can:

3.1   Evaluate the factors that can enable and hinder change within an organisation
3.2   Evaluate **theories** and **models** relating to change and how they can be used to support effective change management

Key words

3.2 Theories: for example, evolutionary, planned change, lifecycle

3.2 Models: for example, Kurt Lewin's Force Field Analysis, Kubler-Ross Change Curve, Kotter's 8 Step Change Model, Prosci ADKAR (awareness, desire, knowledge, ability, and reinforcement) model

Assessment guidance

Delivery and assessment
3.1 The learner must consider the effect that factors (for example, resources, communication needs of stakeholders, the scope of the change required) can have on the progression of change.
3.2 The learner must evaluate at least 4 models or theories of change and make a judgement of their worth in supporting change.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include:
• presentation
• report/reflective account
• case studies
• professional discussion (used in support of other evidence)
• products (used in support of other evidence)

Unit 13 Understand the legal context of business (D/615/4504) ☆

Unit summary	In this unit, learners will understand the legal structures within which businesses operate, and the principles of business governance. Learners will also gain an understanding of employment law and how contract law affects a business.
Guided learning hours	34
Level	3
Mandatory/optional	Optional
NOS mapping	INSML003 Develop and maintain your professional connections INSML019 Plan the workforce INSML036 Manage financial resources

Learning outcome 1

The learner will:

1 Understand the legal structures within which businesses operate

The learner can:

1.1 Analyse the legal structures and **legal requirements** of different **types of business**
1.2 Analyse the role of **government departments and agencies** in the regulation of business
1.3 Explain the legal requirements relating to intellectual property and its impact on a business

Key words

1.1 Legal requirements: for example, Equality Act 2010, Health and Safety at Work etc Act 1974, Consumer Rights Act 2015, Trade Descriptions Act 1968, Data Protection Act 1998, employers' liability insurance, tax liabilities

1.1 Types of business: for example, sole trader, partnership, private limited company, public limited company, franchises

1.2 Government departments and agencies: for example, Attorney General's Office, Companies House, Environment Agency, local authorities, Health and Safety Executive, Department of Health, Home Office

Assessment guidance

Delivery and assessment
1.1 The learner must explain the legal structures that each business type operates within. They must analyse the mandatory regulations and legislation which must be adhered to and then consider the benefits and drawbacks of legislation for each type of business.
1.2 The learner must analyse the role of regulators such as government departments and agencies in the regulation of business and the powers they hold. They must also show an understanding of the role and powers of local authorities.

Delivery and assessment
1.3 The learner must show that they understand the term 'intellectual property' and explain how it is protected, as well as explaining the impact of infringement of intellectual property rights. They must consider areas such as copyright, patents and trademarks. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the principles of business governance

The learner can:

2.1   Analyse the corporate governance of a business
2.2   Review the **roles and responsibilities** of an organisation's **governing body**
2.3   Review the **financial reporting** requirements of an organisation

Key words

2.2 Roles and responsibilities: financial stability, approval of policies and strategy, accountability, meeting statutory obligations, appointment and management of the chief executive

2.2 Governing body: for example, board of governors, board of directors

2.3 Financial reporting: for example, profitability, liquidity, cash flow

Assessment guidance

Delivery and assessment
2.1 Corporate governance refers to the systems of rules, practices and processes by which companies are governed. The learner should analyse the corporate governance of one organisation, this could be their own place of employment or an alternative organisation (for example, board structure (including committees), accountability, audit, legal requirements). The learner should look at the relationship between the governing body, the managers of the organisation and the stakeholders.

Delivery and assessment
2.2 The learner should refer to guidance and legislation such as the Companies Act 2006 and The UK Corporate Governance Code 2018. 2.3 The learner should review the financial reporting requirements for one organisation. They should justify why different financial reports have been produced (for example, profit and loss statement and balance sheet) and who needs to receive these. Reference should be made to relevant standards and the learner should show that they understand the main differences between UK Statements of Standard Accounting Practice (SSAP), Financial Reporting Standards (FRS) and the Accounting Standards Board (ASB). They could also refer to other standards such as International Accounting Standards (IAS), International Financial Reporting Standards (IFRS). Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3 Understand how contract law affects a business

The learner can:

3.1 Analyse different types of **contracts**
3.2 Explain the **elements** of a valid business contract
3.3 Discuss the difference between negligence and liability
3.4 Analyse the liabilities and entitlements of sellers and purchasers of goods and services, making reference to appropriate **legislation**

Key words

3.1 Contracts: for example, leases, sales-related contracts, employment-related contracts

3.2 Elements: for example, offer and acceptance, lawful consideration, capacity, competency, legal intent

3.4 Legislation: for example, Consumer Rights Act 2015, Trade Descriptions Act 1968, Consumer Protection Act 1987

Assessment guidance

Delivery and assessment
3.1 Different types of contracts could include leases, sales-related contracts and employment-related contracts, partnership agreements, licensing. 3.2 The learner must explain the different elements of a business contract and the information that each contains (for example, parties, dates, renewal terms, definitions, financial information, legality). 3.3 The learner should include a discussion on responsibility versus lack of responsibility. 3.4 The learner must include an analysis of legislation that covers sale of goods (statutory implied terms, transfer of property and possession, seller's remedies against the buyer, consumer's remedies against the seller), supply of services (statutory implied terms, seller's remedies, consumer's remedies) and product liability (defective goods, consumer's remedies against the producer of defective goods). Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 4

The learner will:

4   Understand employment law

The learner can:

4.1   Explain the employment rights of individuals and how legislation supports these
4.2   Describe the role of institutions and enforcement systems for individual employment rights
4.3   Analyse the features of types of worker and **employment contracts**
4.4   Evaluate the implications of contracts of service and contracts for service
4.5   Evaluate the implications of different types of **employment status**
4.6   Explain the legal requirements for **health and safety** in the workplace
4.7   Explain the legal requirements for equality and diversity within the workplace
4.8   Explain the implications for an organisation of wrongful dismissal, unfair dismissal and
         redundancy
4.9   Explain the impact of human rights legislation

Key words

4.3 Employment contracts: for example, full-time and part-time contracts, fixed-term contracts, agency staff, freelance consultants, zero hours contract

4.5 Employment status: for example, freelance consultant, volunteer, casual worker, seasonal worker

4.6 Health and safety: compliance with relevant legislation, maintaining a safe workplace, ergonomics, stress)

Assessment guidance

Delivery and assessment
4.1 The learner must explain employment rights such as working hours and breaks, minimum wage, safe working conditions, annual leave, sickness and trade unions and must refer to relevant legislation.
4.2 Institutions and enforcement systems can be courts and tribunals, the Advisory, Conciliation and Arbitration Service (ACAS) and the Equality and Human Rights Commission (EHRC).
4.3 The learner must study the features of a wide range of employment contract types and give a detailed view of what may be included in each, such as working hours, notice period and sick pay.
4.4 The implications for contracts of service (for example, relating to a person in employment) could include areas such as tax, insurance, pension and legal protection. Contracts for service (for example, relating to a person who is self-employed) could include areas such as pay, working hours, timescales, holidays and sickness.
4.5 The learner must evaluate at least 4 types of employment status, drawing conclusions as to the benefits and drawbacks of each to both the individual and the organisation.
4.6 The learner should give details of the requirements for complying with relevant legislation. This should include the mandatory policies and documentation they should have and what must be in

place in order to implement them. This should include staff responsibilities, maintenance of a safe working environment, safe working practices, ergonomics, occupational health and stress.

4.7 The learner must explain different forms of less favourable treatment (for example, direct discrimination, indirect discrimination, harassment, victimisation) and explain the requirements for equality and diversity, making reference to the Equality Act 2010 and the protected characteristics. They could explain how the organisation can put policy into practice (for example, recruitment practices, positive action, staff training).

4.8 The learner must show that they understand the difference between wrongful dismissal, unfair dismissal and redundancy and explain how each can affect the organisation (for example, demoralised staff, compensation claims, employment tribunals). They should explain how exit can be managed (for example, legal compliance, procedures, offer of support).

4.9 The learner must refer to legislation, such as the Human Rights Act 1998 (16 human rights), and explain the impact it has on organisational policies, activities and trade union recognition.

Learners should include a reference list with their evidence.

The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 14 Principles of project management (Y/615/4503)

Unit summary	In this unit, learners will understand the importance of the initiation phase of a project and how to implement and evaluate a project.
Guided learning hours	48
Level	4
Mandatory/optional	Optional
NOS mapping	INSML045 Manage programmes of work or projects

Learning outcome 1

The learner will:

1   Understand the importance of the initiation phase of a project

The learner can:

1.1   Evaluate the components of a business case for a project
1.2   Assess the importance of identifying the aim, scope and objectives of a project
1.3   Assess the importance of identifying the tasks, deliverables, schedule and impact of a project
1.4   Evaluate the need for identifying potential risks within a project

Assessment guidance

Delivery and assessment
1.1 The components of a business case could include a rationale for the project, aims and objectives, key deliverables, cost benefit analysis. The learner should evaluate the importance of a range of components and think about the way each should be presented (for example, PESTLE/SWOT, SMART targets, short and long-term benefits, internal/external impact).
1.2 The learner should separately assess why each of the aim, scope and objectives of a project should be identified and justify their value. They should make reference to internal and external stakeholders and explain the relevance of SMART objectives.
1.3 The learner should consider why these are important aspects of a project plan and should look at the potential consequences of not identifying them.
1.4 The learner should give examples of potential outcomes if risks are not identified.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand how to implement a project

The learner can:

2.1   Evaluate the different **roles** of people involved in a project at each stage of the **project lifecycle**
2.2   Assess the importance of analysing different sources of **data** to support a project
2.3   Assess the importance of other **resource needs** for a project
2.4   Assess the importance of performance measures when managing projects
2.5   Evaluate the importance of identifying critical success factors of a project
2.6   Evaluate **methods** for monitoring a project throughout its lifecycle

Key words

2.1 Roles: for example, project board, project manager, project sponsor, stakeholders, project team (operation and support)

2.1 Project lifecycle: for example, initiation, planning, execution, monitoring, closure

2.2 Data: qualitative and quantitative data, primary and secondary data

2.3 Resource needs: for example, finance, staffing, materials, time

2.6 Methods: for example, Gantt chart, project management software, critical path analysis (CPA), PERT, reporting, focus groups

Assessment guidance

Delivery and assessment
2.1 The learner must examine the parts various people play at each stage of the project. This should include the defining of stakeholders and their involvement. They should specify the purpose of different roles and judge their value and level of participation at different stages. 2.2 The learner should demonstrate an understanding of the different types of data and their sources, giving examples of different types of data and how they can be used to support a project. They should consider how the project could be affected by not analysing this data.

Delivery and assessment
2.3 The learner should assess how access to different resources affects or limits the implementation of a project.
2.4 Performance measures should include the key deliverables that can be monitored and evaluated (for example, time, cost, stakeholder expectations).
2.5 Critical success factors prioritise certain tasks in a project plan. They are the elements of a project which are most essential to the project's success or failure. If these are not identified, it could impact on a project and the learner must evaluate the importance of identifying these factors, giving examples.
2.6 The learner must evaluate a range of methods of monitoring a project throughout its life cycle, drawing conclusions as to the most effective in different circumstances and detailing what each may contribute.
Learners should include a reference list with their evidence.
The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3　　Understand how to evaluate a project

The learner can:

3.1　　Assess the importance of evaluating the outcomes of a project against the original business case
3.2　　Assess methods of evaluating project outcomes
3.3　　Evaluate ways that outcomes can be presented for different audiences

Assessment guidance

Delivery and assessment
3.1 The learner must consider the reasons for evaluation and the value of this to the organisation for potential future developments. They should consider the implications of achievement and non-achievement against the business case. They should consider the effect of positive outcomes and negative outcomes and how evaluation can influence both internal and external factors even when the project has ended. 3.2 Project outcomes can include analysis of critical success factors and positive and negative outcomes. Methods can include collection and evaluation of both quantitative and qualitative data from the project team and stakeholders. The learner should also link the final evaluation to the ongoing monitoring of the project. 3.3 The learner should identify the types of audience who would wish to know the project outcomes and the amount of information that they should receive. The format may be formal/informal, verbal/written. The learner should also consider the style of the presentation, such as use of graphics or media. They should suggest the most appropriate style for each type of audience, justifying their choices. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Unit 15 Principles of quality management (R/615/4502)

Unit summary	In this unit, learners will gain an understanding of approaches to quality management and the use of quality controls. Learners will also understand the benefits of quality management and how this contributes to achieving business goals.
Guided learning hours	32
Level	4
Mandatory/optional	Optional
NOS mapping	INSML018 Manage continuous improvement of overall performance of your organisation

Learning outcome 1

The learner will:

1   Understand approaches to quality management

The learner can:

1.1   Evaluate the concept, purpose and scope of quality management
1.2   Analyse and compare the **components** of quality management
1.3   Evaluate different **approaches** to quality management
1.4   Analyse the role of **administrative systems** in quality management

Key words

1.2 Components: for example, quality planning, quality assurance, quality control and quality improvement

1.3 Approaches: for example, Six Sigma, Deming's 14 Points for Management, holistic approach to quality, Plan-Do-Check-Act, operations management

1.4 Administrative systems: for example, gathering data, monitoring, reporting

Assessment guidance

Delivery and assessment
1.1 The learner must show that they understand what quality management is and its purpose. They should judge its significance to an organisation and the potential impact on areas such as physical locations, products, services and processes.
1.2 The learner should look at the detail of each component and show that they understand the differences.
1.3 The learner must look at the benefits and drawbacks of at least 2 different approaches to quality management. They should link this to the components of quality management.
1.4 The learner must look into the detail of how administrative functions can contribute to the success or failure of the different components of quality management.

Delivery and assessment
Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.
Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 2

The learner will:

2   Understand the benefits of quality management

The learner can:

2.1   Analyse the potential benefits of effective quality management to an organisation
2.2   Analyse the relationship between continuous improvement and meeting customer needs and expectations
2.3   Analyse how quality management informs and enables continuous improvement

Assessment guidance

Delivery and assessment
2.1 The learner should look in detail at the reasons why effective quality management can benefit an organisation (for example, customer satisfaction, competitive advantage, reputation). They must refer to the achievement of recognised quality standards, such ISO 9000 series, Investors in People, British Standards Institute BS5750, CE marking approval. 2.2 The learner must show that they understand how a long-term approach to improving quality can have a positive effect on customer response and, in turn, a positive effect on the business. 2.3 The learner must study how the aspects of quality management, such as provision of data and success measures, can enable improvements such as implementing change (for example, improved workflow, optimised inventory, changes in work environment, time management, job satisfaction). Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (used in support of other evidence) • products (used in support of other evidence)

Learning outcome 3

The learner will:

3   Understand the use of quality controls

The learner can:

3.1   Evaluate the use of user and non-user surveys
3.2   Analyse the relationship between quality controls and customer complaints
3.3   Analyse the risks attached to the self-assessment of the quality of business performance
3.4   Evaluate the benefits of involving others in the management of quality

Assessment guidance

Delivery and assessment
3.1 The learner should examine the strengths and weaknesses of conducting surveys with those who engage with the organisation and those who do not and the data that these can provide. They should provide examples and draw some conclusions. 3.2 The learner must discuss the cause and effect of customer complaints and how these should influence quality interventions and control. 3.3 Self-assessment aims to provide an insight into how the organisation perceives its performance and the learner should analyse the risk to the business if the assessment is inaccurate, giving examples (for example, how perceived over-achievement could affect the business). 3.4 Benefits of involving others could include improved understanding of objectives, collaboration, teamwork, transparency. Learners should include a reference list with their evidence. The explanation of terms (section 3) explains how the terms used in the unit content are applied to this qualification.

Types of evidence
Evidence could include: • presentation • report/reflective account • case studies • professional discussion (this should not be the only form of evidence) • products (used in support of other evidence)

Section 3

Explanation of terms

Explanation of terms

This table explains how the terms used at level 4 in the unit content are applied to this qualification (not all verbs are used in this qualification).

Analyse	Break the subject or complex situations into separate parts and examine each part in detail. Identify the main issues and show how the main ideas are related to practice and why they are important. Reference to current research or theory may support the analysis.
Critically analyse	This is a development of 'analyse' which explores limitations as well as positive aspects of the main ideas in order to form a reasoned opinion.
Clarify	Explain the information in a clear, concise way showing depth of understanding.
Classify	Organise accurately according to specific criteria.
Collate	Collect and present information arranged in sequence or logical order which is suitable for purpose.
Compare	Examine the subjects in detail, consider and contrast similarities and differences.
Critically compare	This is a development of 'compare' where the learner considers and contrasts the positive aspects and limitations of the subject.
Consider	Think carefully and write about a problem, action or decision showing how views and opinions have been developed.
Demonstrate	Show an in-depth understanding by describing, explaining, or illustrating using examples.
Describe	Provide a broad range of detailed information about the subject or item in a logical way.
Discuss	Write a detailed account which includes contrasting perspectives.
Draw conclusions (which…)	Make a final decision or judgement based on reasons.
Evaluate	Examine strengths and weaknesses, arguments for and against and/or similarities and differences. Judge the evidence from the different perspectives and make a valid conclusion or reasoned judgement. Apply current research or theories to support the evaluation.
Critically evaluate	This is a development of 'evaluate' where the learner debates the validity of claims from the opposing views and produces a convincing argument to support the conclusion or judgement.
Explain	Apply reasoning to account for how something is or to show understanding of underpinning concepts. Responses could include examples to support these reasons.
Identify	Apply an in-depth knowledge to give the main points accurately (a description may also be necessary to gain higher marks when using compensatory marking).

Justify	Give a detailed explanation of the reasons for actions or decisions.
Reflect	Learners should consider their actions, experiences or learning and the implications of these in order to suggest significant developments for practice and professional development.
Review and revise	Look back over the subject and make corrections or changes based on additional knowledge or experience.
Summarise	Give the main ideas or facts in a concise way to develop key issues.

This table explains how the terms used at level 5 in the unit content are applied to this qualification (not all verbs are used in this qualification).

Act (as a role model)	Serve as a model in a particular behavioural or social role for another person to emulate.
Adapt (approaches)	Modify, adjust, make suitable for purpose.
Adhere to	Follow, keep, maintain, respect, abide by, give support to (for example, adhere to a strict code of practice).
Analyse	Break the subject or complex situations into separate parts and examine each part in detail, identify the main issues and show how the main ideas are related to practice and why they are important (reference to current research or theory may support the analysis).
Apply (standards)	Explain how existing knowledge, practices, standards can be linked to new or different situations.
Ascertain	Find out for certain.
Assess	Estimate and make a judgement.
Compare	Examine the subjects in detail, looking at similarities and differences.
Compare and contrast	Examine the subjects in detail, looking at similarities and differences, and distinguish between (identify) striking differences.
Critically review	Revise, debate and judge the merit of.
Clarify	Explain the information in a clear, concise way, showing depth and understanding.
Critically analyse	This is a development of 'analyse' which explores limitations as well as positive aspects of the main ideas in order to form a reasoned opinion.
Critically evaluate	Examine strengths and weaknesses, arguments for and against and/or similarities and differences; judge the evidence and discuss the validity of claims from the opposing views and produce a convincing argument to support the conclusion or judgement.
Describe	Provide an extended range of detailed information about the topic or item in a logical way.
Develop	Identify, build and extend a topic, plan or idea.
Distinguish between	Discuss identified differences between more than one item, product, object or activity.
Demonstrate	Apply skills in a practical situation and/or show an understanding of the topic.
Explain	Apply reasoning to account for how something is or to show understanding of underpinning concepts (responses could include examples to support the reasons).

Evaluate	Examine strengths and weaknesses, arguments for and against and/or similarities and differences; judge the evidence from the different perspectives and make a valid conclusion or reasoned judgement; apply current research or theories to support the evaluation when applicable.
Establish	Set up on a permanent basis; get generally accepted; place beyond dispute.
Empower	Equip or supply with an ability; enable or permit.
Enable	Supply with the means, knowledge, or opportunity; make able.
Give constructive feedback	Provide commentary which serves to improve or advance; be helpful.
Identify	Ascertain the origin, nature or definitive characteristics of.
Implement	Put into practical effect; carry out.
Investigate	Detailed examination or study; enquire systematically.
Intervene effectively	Change an outcome.
Initiate	Originate/start a process.
Justify	Give a comprehensive explanation of the reasons for actions and/or decisions.
Monitor	Maintain regular surveillance.
Mentor	Serve as a trusted counsellor or teacher to another person; help others succeed.
Negotiate	Discuss with a view to finding an agreed settlement.
Resolve	Solve; settle; explain.
Research	A detailed study of a subject to discover new information or reach a new understanding.
Review	Revisit and judge the merit of.
Recognise	Acknowledge the validity of.
Represent views of	Act as an advocate; speak, plead or argue in favour of.
Review and revise	Revisit, judge the merit of, and make recommendations for change.
Reflect on	Consult with oneself, recognising implications of current practice with a view to changing future practice.
Recommend	Revisit and judge the merit of; endorse a proposal or course of action; advocate in favour of.
Select	Make an informed choice for a specific person.
Summarise	Select the main ideas, argument or facts and present in a precise, concise way.
Signpost	Point the way; indicate.

Support	Strengthen, support or encourage; corroborate; give greater credibility to.
Secure	Make safe; obtain (information or evidence).
Work in partnership/ collaboratively	Work in association with 2 or more persons (this may include stakeholders, service users and/or carers).

Section 4

Additional information

Additional information

Resource requirements

There are no mandatory resource requirements for this qualification, but centres must ensure learners have access to suitable resources to enable them to cover all the appropriate learning outcomes.

Support for learners

Learner's evidence tracking log (LETL)

The LETL can help learners keep track of their work. This blank document can be downloaded free of charge from the NCFE website http://www.ncfe.org.uk/. You do not have to use the LETL, you can devise your own evidence tracking document instead.

Support for centres

Qualification factsheet

This document outlines the key information of this qualification for the centre, learner and employer.

Learning resources

We offer a wide range of learning resources and materials to support the delivery of our qualifications. Please check the qualifications page on the NCFE website for more information and to see what is available for this qualification.

The resources and materials used in the delivery of this qualification must be age-appropriate and due consideration should be given to the wellbeing and safeguarding of learners in line with your institute's safeguarding policy when development or selecting delivery materials.

Contact us

NCFE
Q6
Quorum Park
Benton Lane
Newcastle upon Tyne
NE12 8BT

Tel: 0191 239 8000*
Fax: 0191 239 8001
Email: customersupport@ncfe.org.uk
Website: www.ncfe.org.uk

*_To continue to improve our levels of customer service, telephone calls may be recorded for training and quality purposes._