

Qualification specification

**NCFE Level 3 Certificate in Principles of
Management**

QN: 601/7075/X

This qualification is now withdrawn.



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Summary of changes

This section summarises the changes to this qualification specification since the last version (Issue 3 July 2018). Please check the qualification page on our website for the most recent version.

- Information regarding the wellbeing and safeguarding of learners added to Section 1 (page 13).
- Further information added to the achieving this qualification 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.
- 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.
- Information added to the support for centres section about how to access support handbooks.
- Reference to GDPR legislation has been updated (page 53)
- Information regarding UCAS points added to Section 1 Qualification overview, Things you need to know.
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Section 1

Qualification overview

Qualification overview

Introduction

We want to make your experience of working with NCFE as pleasant and easy as possible. This qualification specification contains everything you need to know about this qualification and should be used by everyone involved in the planning, delivery and assessment of the NCFE Level 3 Certificate in Principles of Management.

All information contained in this specification is correct at the time of publishing.

To ensure that you're using the most up-to-date version of this qualification specification please check the issue date in the page headers 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 regulated qualification title of NCFE Level 3 Certificate in Principles of Management.

Things you need to know

Qualification number (QN)	601/7075/X
Aim reference	6017075X
Guided learning hours (GLH):	215
UCAS	This qualification has been allocated UCAS points. Please refer to the UCAS website for further details of the points allocation and the most up-to-date information.
Level	3
TQT	240
Assessment requirements	Internally assessed and externally moderated portfolio of evidence 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.

Total Qualification Time (TQT)

Total Qualification Time is the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required in order for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

Total Qualification Time comprises:

- the Guided Learning Hours for the qualification
- an estimate of the number of hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the immediate guidance or supervision of – a lecturer, supervisor, Tutor or other appropriate provider of education or training.

About this qualification

This is a regulated qualification. The regulated number for this qualification is 601/7075/X.

This qualification is part of a suite of knowledge-based qualifications. This qualification has been developed to enable learners to progress into employment in management roles or onto higher level studies.

This qualification may be eligible for funding. For further guidance on funding, please contact your local funding provider.

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Aims and objectives of this qualification

This qualification aims to:

- provide learners with the underpinning knowledge that is required to work in management roles across a range of business settings.

The objectives of this qualification are to help learners to:

- develop essential knowledge of management and leadership performance
- choose from a range of optional units most relevant to them, covering areas such as improving business performance, implementation of information systems and how to develop professional networks
- gain the right level of occupational knowledge to support learners in current job roles or to progress to Level 3 Diploma in Management.

Achieving this qualification

To be awarded the NCFE Level 3 Certificate in Principles of Management learners are required to successfully complete 3 mandatory units and 4 optional units.

This qualification consists of 3 mandatory units:

Unit No	Unit title
Unit 01	Principles of people management
Unit 02	Principles of business
Unit 03	Principles of leadership and management

and 11 optional units:

Unit No	Unit title
Unit 04	Understand how to improve business performance
Unit 05	Understand the development and implementation of an information system
Unit 06	Understand how to participate in a project and collaborate and negotiate with other departments
Unit 07	Understand equality, diversity and inclusion in the workplace
Unit 08	Understand how to develop and deliver a presentation
Unit 09	Understand how to resolve customers' problems and complaints
Unit 10	Understand how to monitor customer service interactions and feedback
Unit 11	Understand how to develop professional networks
Unit 12	Understand how to manage business risk
Unit 13	Understand how to manage knowledge in an organisation
Unit 14	Understand how to manage redundancy and redeployment

The learning outcomes and assessment criteria for each unit are provided in Section 2 (page 16).

The units above may be available as stand-alone unit programmes. Please visit www.ncfe.org.uk/units for further information.

To achieve the NCFE Level 3 Certificate in Principles of Management, learners must successfully demonstrate their achievement of all learning outcomes and assessment criteria of the units as detailed in this qualification specification.

A Unit Certificate can be requested for learners who don't achieve their full qualification but who have achieved at least one whole unit.

Essential skills

While completing this qualification, learners may develop the knowledge, understanding and essential skills employers look for in employees. These range from familiar 'key skills' such as team working, independent learning and problem solving, to more tricky-to-measure skills such as:

- an appreciation for appropriate behaviour and dress
- appropriate interpersonal skills
- communicating with professional colleagues/peers and/or hierarchical seniors
- supporting other aspiring employees
- personal manners and deportment
- understanding work practices and how different roles and departments function within an organisation.

Entry guidance

This qualification is designed for 19+ adult learners who may be changing career or entering a new industry and need a solid background in this area.

There are no specific recommended prior learning requirements for this qualification. However, learners may find it helpful if they've already achieved a Level 2 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 assessment criteria and comply with the relevant literacy, numeracy and health and safety aspects of this qualification.

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

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

Progression opportunities

Learners who achieve this qualification could progress to:

- NCFE Level 3 Diploma in Management
- NCFE Level 4 NVQ Diploma in Management

It may also be useful to learners studying qualifications in the following sectors:

- Travel and Tourism
- Sport, Leisure and Recreation
- Retail
- Health Public Service and Care
- Engineering and Manufacturing technologies
- Arts, Media and Publishing.

Progression to Higher Level Studies

This qualification aims to provide learners with a number of progression options, including higher level studies at university or 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 your 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.

Recognition of Prior Learning (RPL)

Centres may recognise prior learning at their discretion if they are satisfied that the evidence provided meets the requirements of a qualification. Where RPL is to be used extensively (for a whole unit or more), advice must be given by a qualified RPL Advisor.

Qualification dates

Regulated qualifications have operational end dates and certification end dates.

We review qualifications regularly, working with sector representatives, vocational experts and stakeholders to make any changes necessary to meet sector needs and to reflect recent developments.

If a decision is made to withdraw a qualification, we will set an operational end date and provide reasonable notice to our centres. We will also take all reasonable steps to protect the interest of learners.

An operational end date will only show on the Ofqual Register of Regulated Qualifications register.ofqual.gov.uk and on our website if a decision has been made to withdraw a qualification. After this date we can no longer accept learner registrations. However, certification is allowed until the certification end date so that learners have time to complete any programmes of study. The certification end date will only show on the Ofqual Register once an operational end date has been set. After this date we can no longer process certification claims.

Staffing requirements

Centres delivering any of NCFE's qualifications must:

- have a sufficient number of appropriately qualified/experienced Assessors to assess the volume of learners they intend to register
- have a sufficient number of appropriately qualified/experienced Internal Quality Assurers to internally quality assure the anticipated number of Assessors and learners
- ensure that all staff involved in assessment and internal quality assurance are provided with appropriate training and undertake meaningful and relevant continuing professional development
- implement effective internal quality assurance systems and processes to ensure all assessment decisions are reliable, valid, authentic, sufficient and current. This should include standardisation to ensure consistency of assessment
- provide all staff involved in the assessment process with sufficient time and resources to carry out their roles effectively.

Assessors and Internal Quality Assurance

Staff involved in the Assessment and Internal Quality Assurance of this qualification must be able to demonstrate that they have (or are working towards) the relevant occupational knowledge and/or occupational competence, at the same level or higher as the units being assessed and internally quality assured. This may be gained through experience and/or qualifications.

Resource requirements

The units in this qualification have been mapped against those of the NCFE Level 3 Diploma in Management (601/4032/X). Please see the mapping document for further information, which is available on the qualification page on the NCFE website.

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. You don't have to use the LETL - you can devise your own evidence-tracking document instead.

Support for centres

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.

Customer Support team

Our award-winning Customer Support team will support you with approvals, registrations, external quality assurance, external assessment, results and certification. You can contact your Customer Support Assistant on 0191 239 8000 or email customersupport@ncfe.org.uk.

Reasonable Adjustments and Special Considerations Policy

This policy is aimed at customers - including learners - who use our products and services and who submit requests for reasonable adjustments and special considerations. The policy can be found on the NCFE website

Subject maps

Our suite of subject maps showcase the qualifications we have available within each specialist sector and how they connect to each other. They demonstrate how you can plot routes for your learners at different levels from entry level right through to higher education or the workforce, with supporting qualifications along the way.

Fees and Pricing

The current fees and pricing guide is available on the NCFE website.

Training and support

We can provide training sessions for Assessors and Internal Moderators. Bespoke subject-specific training is also available. For further information please contact our Quality Assurance team on 0191 239 8000.

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 developing or selecting delivery materials.

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Partner materials

Materials to support the delivery of this qualification can be purchased from the following Partner:

- NCC

For more information about these resources and how to access them please visit the NCFE website.

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Section 2

Unit content and assessment guidance

Unit content and assessment guidance

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

The unit summary provides an overview of each unit including:

- unit title
- unit overview
- guided learning hours
- level
- an indication of whether a unit is mandatory or optional.

Following the unit summary there's detailed information for each unit containing:

- unit title and number
- learning outcomes (the learner will) and assessment criteria (the learner can)
- assessment guidance (types of evidence for internal assessment).

The regulators' unit number is indicated in brackets for each unit (eg M/100/7116). However, to make cross-referencing assessment and moderation easier, we've used a sequential numbering system in this document for each unit.

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

For further information or guidance about this qualification please contact our Research and Product Development team on 0191 239 8000.

Unit 01 Principles of people management (J/507/4328)

Unit summary	This unit provides learners with an understanding of key issues surrounding people management, including equality and diversity, performance management, training and development, and reward and recognition.
Guided learning hours	50
Level	3
Mandatory/optional	Mandatory

The learner will:

- 1 Understand the principles of workforce management

The learner can:

- 1.1 Explain the relationship between Human Resources (HR) functions and other **business functions**
- 1.2 Explain the purpose and process of workforce planning
- 1.3 Explain how employment law affects an organisation's HR and business policies and practices
- 1.4 Evaluate the implications for an organisation of utilising different types of **employment contracts**
- 1.5 Evaluate the implications for an individual of different types of employment contracts

The learner will:

- 2 Understand equality of opportunity, diversity and inclusion

The learner can:

- 2.1 Explain an organisation's responsibilities and liabilities under equality legislation
- 2.2 Explain the benefits that effective equality of opportunity, diversity and inclusion policies bring to individuals and organisations
- 2.3 Explain the language and behaviour that support commitments to equality of opportunity, diversity and inclusion
- 2.4 Explain how to measure diversity within an organisation

Unit 01 Principles of people management (J/507/4328) (cont'd)

The learner will:

- 3 Understand team building and dynamics

The learner can:

- 3.1 Explain the difference between a group and a team
 - 3.2 Outline the characteristics of an effective team
 - 3.3 Explain the techniques of building a team
 - 3.4 Explain techniques to **motivate** team members
 - 3.5 Explain the importance of communicating targets and objectives to a team
 - 3.6 **Examine theories of team development**
 - 3.7 Explain common causes of conflict within a team
 - 3.8 Explain **techniques** to manage conflict within a team
-

The learner will:

- 4 Understand performance management

The learner can:

- 4.1 Identify the characteristics of an effective performance management system
 - 4.2 Explain the uses of specific, measurable, achievable, realistic and time-bound (SMART) objectives and priorities
 - 4.3 Describe best practice in conducting appraisals
 - 4.4 Explain the factors to be taken into account when managing people's wellbeing and performance
 - 4.5 Explain the importance of following disciplinary and grievance processes
-

Unit 01 Principles of people management (J/507/4328) (cont'd)

The learner will:

5 Understand training and development

The learner can:

- 5.1 Explain the benefits of employee development
 - 5.2 Explain the advantages and limitations of different types of training and development methods
 - 5.3 Explain the role of targets, objectives and feedback in employee development
 - 5.4 Explain how personal development plans support the training and development of individuals
 - 5.5 Explain how to make use of planned and unplanned learning opportunities to meet individuals' preferred learning styles
 - 5.6 Explain how to support individuals' learning and development
-

The learner will:

6 Understand reward and recognition

The learner can:

- 6.1 Describe the components of **'total reward'**
 - 6.2 Analyse the relationship between motivation and reward
 - 6.3 Explain different types of pay structures
 - 6.4 Explain the risks involved in the management of reward schemes
-

The learner will:

7 Understand the principles of conflict management

The learner can:

- 7.1 Evaluate the suitability of different **methods of conflict management** in different situations
 - 7.2 Describe the **personal skills** needed to deal with conflict between other people
 - 7.3 Analyse the **potential consequences** of unresolved conflict within a team
 - 7.4 Explain the role of **external arbitration** and conciliation in conflict resolution
-

Unit 01 Principles of people management (J/507/4328) (cont'd)**Key words****1.1 business functions** may include:

- purchasing
- production
- marketing
- finance
- administration
- public relations
- general management

1.4 employment contracts could include:

- temporary
- fixed-term
- annualised hours
- term-time only
- casual/zero hours contracts
- employee-shareholder
- apprenticeship/training

3.4 ways to **motivate** people may include but are not limited to:

- team building
- goal setting/clear targets
- performance measurement
- encouragement and feedback
- rewarding
- inspiring
- empowering
- supporting
- coaching
- promoting creativity
- providing meaningful and challenging work
- training and development

3.6 examining theories requires the learner to contrast, compare and comment on a minimum of 2 theories**team development** refers to:

- developing trust among team members
- practising openness
- enhancing co-operation through realisation of objectives
- promoting inter-dependence (collaboration, teamwork, etc)

Unit 01 Principles of people management (J/507/4328) (cont'd)**Key words (cont'd)**

3.8 techniques used to manage conflict may include:

- direct approach
- bargaining
- enforcement
- retreat
- de-emphasis

6.1 total reward may include:

- compensation
- benefits
- work-life
- performance and recognition

7.1 methods of conflict management may include but are not limited to:

- avoiding
- competing
- collaborating
- compromising
- accommodating

7.2 personal skills could include:

- withholding judgement
- empathic questioning
- active listening
- assertiveness
- objectivity

7.3 potential consequences may include but are not limited to:

- organisational
- financial
- team dynamics
- productivity
- personal

7.4 external arbitration may include but is not limited to:

- supportive
- mediation
- investigative

Unit 01 Principles of people management (J/507/4328) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–7.4		learner written statements
1.1–7.4	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–7.4	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–7.4	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 02 Principles of business (L/507/4329)

Unit summary	This unit aims to provide learners with the opportunity to increase their knowledge of business markets, innovation and growth, financial management, and the principles of marketing.
Guided learning hours	50
Level	3
Mandatory/optional	Mandatory

The learner will:

- 1 Understand business markets

The learner can:

- 1.1 Explain the characteristics of different **business markets**
- 1.2 Explain the nature of interactions between businesses within a market
- 1.3 Explain how an organisation's goals may be shaped by the market in which it operates
- 1.4 Describe the **legal obligations** of a business

The learner will:

- 2 Understand business innovation and growth

The learner can:

- 2.1 Define business innovation
- 2.2 Explain the uses of **models of business innovation**
- 2.3 Identify sources of support and guidance for business innovation
- 2.4 Explain the process of product or service development
- 2.5 Explain the benefits, risks and implications associated with innovation

The learner will:

- 3 Understand financial management

The learner can:

- 3.1 Explain the importance of financial viability for an organisation
- 3.2 Explain the consequences of poor financial management
- 3.3 Explain different **financial terminology**

Unit 02 Principles of business (L/507/4329) (cont'd)

The learner will:

- 4 Understand business budgeting

The learner can:

- 4.1 Explain the uses of a budget
4.2 Explain how to manage a budget
-

The learner will:

- 5 Understand sales and marketing

The learner can:

- 5.1 Explain the principles of marketing
5.2 Explain a sales process
5.3 Explain the features and uses of market research
5.4 Explain the value of a brand to an organisation
5.5 Explain the relationship between sales and marketing
-

Key words

- 1.1 business markets** are also known as business-to-business (B2B) markets or industrial marketing. They are markets in which goods/services are sold between companies/organisations, as opposed to consumer markets
- 1.4 legal obligations** may include but are not limited to insurance, health, safety and environmental, data protection, employment law, premises
- 2.2 models of business innovation** may include but are not limited to hire and leasing, return and reuse, collection of used products, made to order, collaborative consumption
- 3.3 financial terminology** should include as a minimum:
- turnover
 - gross profit
 - net profit
 - debt
 - credit
-

Unit 02 Principles of business (L/507/4329) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–5.5		learner written statements
1.1–5.5	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–5.5	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–5.5	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 03 Principles of leadership and management (F/507/4330)

Unit summary	The aim of this unit is to equip learners with an understanding of the principles of effective decision making; styles and models of leadership; the role, functions and processes of management; and an understanding of performance measurement.
Guided learning hours	50
Level	3
Mandatory/optional	Mandatory

The learner will:

- 1 Understand the principles of effective decision making

The learner can:

- 1.1 Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken
- 1.2 Assess the importance of analysing the **potential impact** of decision making
- 1.3 Explain the importance of obtaining sufficient valid information to enable effective decision making
- 1.4 Explain the importance of aligning decisions with business objectives, values and policies
- 1.5 Explain how to validate information used in the decision-making process
- 1.6 Explain how to address issues that hamper the achievement of targets and quality standards

The learner will:

- 2 Understand leadership styles and models

The learner can:

- 2.1 Explain the difference in the influence of managers and leaders on their teams
- 2.2 Evaluate the suitability and impact of different **leadership styles** in different contexts
- 2.3 Analyse theories and models of motivation and their application in the workplace

Unit 03 Principles of leadership and management (F/507/4330) (cont'd)

The learner will:

- 3 Understand the role, functions and processes of management

The learner can:

- 3.1 Analyse a manager's responsibilities for planning, co-ordinating and controlling work
 - 3.2 Explain how managers ensure that team objectives are met
 - 3.3 Explain how a manager's role contributes to the achievement of an organisation's vision, mission and objectives
 - 3.4 Analyse theories and **models of management**
 - 3.5 Explain how the application of management theories guide a manager's actions
 - 3.6 Explain the operational constraints imposed by budgets
-

The learner will:

- 4 Understand performance measurement

The learner can:

- 4.1 Explain the relationship between business objectives and performance measures
 - 4.2 Explain the features of a performance measurement system
 - 4.3 Explain how to set key performance indicators (KPIs)
 - 4.4 Explain the tools, processes and timetable for monitoring and reporting on business performance
 - 4.5 Explain the use of management accounts and management information systems in performance management
 - 4.6 Explain the distinction between outcomes and outputs
-

Unit 03 Principles of leadership and management (F/507/4330) (cont'd)**Key words**

1.2 potential impact may include, but is not limited to, the impact on:

- teams
- individuals
- suppliers
- stakeholders
- managers

2.2 leadership styles may include but are not limited to:

- autocratic
- situational leadership
- transformational leadership
- transactional leadership
- charismatic
- servant leader

3.4 models of management may include but are not limited to:

- classical eg Fayol, Taylor, Weber
 - human relations eg Mayo or Schein
 - neo-human relations approaches eg Maslow, McGregor, Likert and Argyris
-

Unit 03 Principles of leadership and management (F/507/4330) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–4.6		learner written statements
1.1–4.6	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–4.6	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–4.6	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 04 Understand how to improve business performance (J/507/4331)

Unit summary	The aim of this unit is to equip learners with an understanding of the principles of resolving business problems and improvement techniques and processes. Learners will be able to describe problem-solving techniques and processes. Learners will also be able to evaluate different change management models.
Guided learning hours	35
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand the principles of resolving business problems

The learner can:

- 1.1 Explain the use of different problem-solving techniques
- 1.2 Explain the organisational and legal constraints relating to problem-solving
- 1.3 Describe the role of stakeholders in problem-solving
- 1.4 Describe the steps in the business decision-making process
- 1.5 Analyse the implications of adopting recommendations and implementing decisions to solve business problems

The learner will:

- 2 Understand improvement techniques and processes

The learner can:

- 2.1 Describe the purpose and benefits of continuous improvement
- 2.2 Analyse the features, use and constraints of different continuous improvement techniques and models
- 2.3 Explain how to carry out a cost-benefit analysis
- 2.4 Explain the importance of feedback from customers and other stakeholders in continuous improvement

Unit 04 Understand how to improve business performance (J/507/4331) (cont'd)

The learner will:

- 3 Understand the principles of change management

The learner can:

- 3.1 Explain the importance of effective leadership when implementing change
 - 3.2 Explain the role of internal and external stakeholders in the management of change
 - 3.3 Evaluate the suitability of **change management models** for different contexts
 - 3.4 Explain how to assess the business risks associated with change
 - 3.5 Assess the need for contingency planning when implementing change
 - 3.6 Assess the need for crisis management when implementing change
 - 3.7 Explain the different types of barriers to change and how to deal with these
 - 3.8 Explain how to evaluate change management projects
-

Key words**3.3 change management models** may include:

- Lewin - Force Field Analysis
 - Kotter – 8-Step change model
 - Nudge theory
 - Psychological Contract theory
 - Fisher - Personal Change
-

Unit 04 Understand how to improve business performance (J/507/4331) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–3.8		learner written statements
1.1–3.8	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–3.8	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–3.8	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 05 Understand the development and implementation of an information system (L/507/4332)

Unit summary	This unit aims to provide learners with an understanding of how to design and contribute to the development and implementation of an information system. Learners will also develop knowledge of how information systems are used.
Guided learning hours	30
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand the design and implementation of an information system

The learner can:

- 1.1 Explain the types of information to be managed by a system
- 1.2 Explain how information will be used and by whom
- 1.3 Explain who needs to be consulted in the design and implementation of an **information system** and why
- 1.4 Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system

The learner will:

- 2 Understand how information systems are used

The learner can:

- 2.1 Explain how the intended use of reports affects the choice of format and language
- 2.2 Explain how the audience of reports affects the choice of format and language
- 2.3 Explain the features of **different problem-solving techniques** related to information systems
- 2.4 Evaluate the suitability of possible problem-solving actions related to information systems
- 2.5 Explain techniques to validate the reliability of information
- 2.6 Analyse the suitability of different evaluation techniques related to information systems
- 2.7 Assess the potential **consequences** of breaches of confidentiality
- 2.8 Evaluate the potential consequences of publishing reports containing inaccurate or unsubstantiated information

**Unit 05 Understand the development and implementation of an information system (L/507/4332)
(cont'd)****Key words**

1.3 information systems may include:

- hardware
- software
- infrastructure

2.3 different problem-solving techniques may include but are not limited to:

- means-end analysis
- inductive reasoning
- rule of thumb (heuristic)

2.7 consequences cover the effects on:

- the individual
 - the organisation
 - the stakeholders
-

Unit 05 Understand the development and implementation of an information system (L/507/4332) (cont'd)

Assessment guidance

AC	Assessment guidance	Suggested assessment method
1.1–2.8		learner written statements
1.1–2.8	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.8	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.8	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 06 Understand how to participate in a project and collaborate and negotiate with other departments (R/507/4333)

Unit summary	This unit aims to provide learners with knowledge of project management and the roles required to support the delivery of a project. Learners will identify what is required to effectively collaborate with other departments and understand the principles underpinning negotiation.
Guided learning hours	35
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand how to manage a project

The learner can:

- 1.1 Explain the features of a project business case
- 1.2 Explain the stages of a **project lifecycle**
- 1.3 Explain the roles of people involved in a project
- 1.4 Explain the uses of project-related information
- 1.5 Explain the advantages and limitations of different **project monitoring techniques**
- 1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources

The learner will:

- 2 Understand how to collaborate with other departments

The learner can:

- 2.1 Explain the need for collaborating with other departments
- 2.2 Explain the nature of the interaction between **their own** team and other departments
- 2.3 Explain the features of effective collaboration
- 2.4 Explain the potential implications of ineffective collaboration with other departments
- 2.5 Explain the factors relating to **knowledge management** that should be considered when collaborating with other departments

Unit 06 Understand how to participate in a project and collaborate and negotiate with other departments (R/507/4333) (cont'd)

The learner will:

- 3 Understand the principles underpinning negotiation

The learner can:

- 3.1 Describe the requirements of a negotiation strategy
3.2 Explain the use of different **negotiation techniques**
3.3 Explain how research on the other party can be used in negotiations
3.4 Explain how cultural differences might affect negotiations
-

Key words

1.2 project lifecycle explanations should include:

- initiation
- planning
- execution
- evaluation

1.5 project monitoring techniques may include but are not limited to:

- pulse meetings
- variance reports
- programme reviews
- technical reviews
- project forecasting
- problem-solving
- management reviews
- use of dashboards/logs

2.2 where AC states '**their own**' learners may use their own organisation, an organisation they are familiar with or information within an assignment/case study

2.5 knowledge management is the process of capturing, sharing, developing and effectively using organisational knowledge

3.2 negotiation techniques may include identifying your goals, conducting your research, identifying areas for compromise, setting boundaries

Unit 06 Understand how to participate in a project and collaborate and negotiate with other departments (R/507/4333)

Assessment guidance

AC	Assessment guidance	Suggested assessment method
1.1–3.4		learner written statements
1.1–3.4	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–3.4	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–3.4	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 07 Understand equality, diversity and inclusion in the workplace (K/507/4337)

Unit summary	The aim of this unit is to equip learners with an understanding of organisational and personal aspects of equality, diversity and inclusion in the workplace. Learners will also be able to support equality, diversity and inclusion in the workplace.
Guided learning hours	15
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand the organisational aspects of equality, diversity and inclusion in the workplace

The learner can:

- 1.1 Explain the difference between equality, diversity and inclusion
- 1.2 Explain the impact of equality, diversity and inclusion across aspects of organisational policy
- 1.3 Explain the potential consequences of breaches of equality legislation
- 1.4 Describe nominated responsibilities within an organisation for equality, diversity and inclusion

The learner will:

- 2 Understand the personal aspects of equality, diversity and inclusion in the workplace

The learner can:

- 2.1 Explain the different **forms of discrimination** and harassment
- 2.2 Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace
- 2.3 Explain the importance of displaying **behaviour** that supports equality, diversity and inclusion in the workplace

Key words

- 2.1 **forms of discrimination** may include but are not limited to:
 - direct discrimination
 - indirect discrimination
- 2.3 explanations of **behaviour** should include the legal consequences of not displaying supportive behaviour

Unit 07 Understand equality, diversity and inclusion in the workplace (K/507/4337) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–2.3		learner written statements
1.1–2.3	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.3	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.3	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 08 Understand how to develop and deliver a presentation (T/507/4339)

Unit summary	This unit aims to provide learners with an understanding of the principles underpinning the delivery of presentations. Learners will be able to describe different types of media used to deliver a presentation and its limitations.
Guided learning hours	15
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand how to develop a presentation

The learner can:

- 1.1 Explain best practice in developing **presentations**
- 1.2 Explain who needs to be consulted on the development of a presentation
- 1.3 Explain the factors to be taken into account in developing a presentation
- 1.4 Analyse the advantages and limitations of different **communication media**

The learner will:

- 2 Understand the principles underpinning the delivery of presentations

The learner can:

- 2.1 Analyse the advantages and limitations of different **methods** of, and **media** for, making presentations
- 2.2 Explain how the type and size of the audience affects the delivery of a presentation
- 2.3 Explain the factors to be taken into account in developing **contingency plans** when delivering presentations
- 2.4 Explain voice projection and timing techniques when delivering presentations
- 2.5 Explain the **factors** to be taken into account in responding to questions from an audience
- 2.6 Explain different methods for evaluating the effectiveness of a presentation

Unit 08 Understand how to develop and deliver a presentation (T/507/4339) (cont'd)**Key words**

- 1.1 presentations** can be electronic or paper-based methods of delivering a message to individuals or a group
- 1.4 communication media** refers to the manner in which the information is to be presented:
- visually - on screen, flip chart, whiteboard, paper
 - verbally - face-to-face, teleconference
- 2.1 methods/media** may include:
- chalk and talk
 - OHP (overhead projection)
 - PowerPoint
 - video clips
 - interactive whiteboard
 - handouts
- 2.3 contingency plans** may include:
- agreement for post event hand outs
 - use of USB sticks
 - secondary emergency equipment
 - pre-event testing of equipment
- 2.5 factors** may include:
- timing
 - listening
 - understanding
 - considering
 - responding
 - referring
-

Unit 08 Understand how to develop and deliver a presentation (T/507/4339) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–2.6		learner written statements
1.1–2.6	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.6	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.6	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 09 Understand how to resolve customers' problems and complaints (D/507/5565)

Unit summary	This unit is aimed at developing learners' understanding of different techniques and organisational procedures for dealing with customer problems and complaints.
Guided learning hours	30
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand the monitoring and resolution of customers' problems

The learner can:

- 1.1 Assess the suitability of a range of **techniques for monitoring** customer problems
- 1.2 Explain how to use the resolution of customers' problems to improve products and/or services
- 1.3 Explain how the successful resolution of customers' problems contributes to customer loyalty and enhanced business performance
- 1.4 Explain the features of **negotiating techniques** used to resolve customers' problems

The learner will:

- 2 Understand the monitoring and resolution of customers' complaints

The learner can:

- 2.1 Assess the suitability of a range of monitoring techniques for customers' complaints
- 2.2 Explain how to identify those complaints that should prompt a review of the service offer and service delivery
- 2.3 Explain negotiating techniques used to resolve customers' complaints
- 2.4 Explain **conflict management techniques** used in dealing with upset customers
- 2.5 Explain **organisational procedures** for dealing with customer complaints
- 2.6 Explain when to escalate customers' complaints
- 2.7 Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint
- 2.8 Explain the advantages and limitations of offering compensation or replacement products and/or services

Unit 09 Understand how to resolve customers' problems and complaints (D/507/5565) (cont'd)**Key words**

1.1 monitoring techniques may include but are not limited to:

- record keeping
- customer contact systems
- emails
- letters
- task-specific documents

1.4 negotiating techniques may include but are not limited to:

- compensation
- replacement
- cost reduction
- upgrade
- standard communication
- referral to a specialist team

2.4 conflict management techniques may include but are not limited to:

- standard communication
- referral to a specialist team
- explanation at source
- 'second facing' at source

2.5 organisational procedures may include but are not limited to:

- explanation at source
 - 'second facing' at source
 - compensation
 - replacement
 - cost reduction
 - upgrade
 - standard communication
 - referral to a specialist team
-

Unit 09 Understand how to resolve customers' problems and complaints (D/507/5565) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–2.8		learner written statements
1.1–2.8	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.8	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.8	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 10 Understand how to monitor customer service interactions and feedback (M/507/5568)

Unit summary	This unit is designed to equip learners with the techniques for monitoring the quality of customer interactions. Learners will be able to identify techniques used to gather the required information and provide feedback on performance to colleagues. Learners will develop an understanding of how to gather and analyse customer feedback in order to recommend improvements to customer service.
Guided learning hours	30
Level	3
Mandatory/optional	Optional

The learner will:

- 1 Understand how to monitor the quality of customer service interactions

The learner can:

- 1.1 Describe **techniques for monitoring** the quality of customer service **interactions**
- 1.2 Explain organisational procedures and guidelines for customer service delivery
- 1.3 Explain the advantages and limitations of different methods for monitoring the quality of customer service interactions
- 1.4 Explain how to construct a representative sample of customer service interactions for monitoring purposes
- 1.5 Explain how data protection legislation applies to monitoring the quality of customer service interactions
- 1.6 Explain how monitoring actions taken can identify possible improvements in customer service interactions
- 1.7 Explain **techniques** to gather customer feedback

**Unit 10 Understand how to monitor customer service interactions and feedback (M/507/5568)
(cont'd)**

The learner will:

- 2 Understand how to gather, analyse and interpret customer feedback

The learner can:

- 2.1 Describe methods of collecting data for customer research
 - 2.2 Explain random sampling techniques used to collect data
 - 2.3 Explain how to evaluate **bias** in non-random samples
 - 2.4 Explain the principles of questionnaire design
 - 2.5 Assess the suitability of a range of **techniques** to analyse customer feedback
 - 2.6 Explain **techniques** used to monitor the quality of data collected
 - 2.7 Explain the use of software to record and analyse customer feedback
 - 2.8 Explain the **validation issues** associated with customer feedback
 - 2.9 Explain the importance of **anonymising comments** from customers who do not wish to be identified
-

**Unit 10 Understand how to monitor customer service interactions and feedback (M/507/5568)
(cont'd)****Key words**

1.1 monitoring techniques may include but are not limited to:

- record keeping
- customer contact systems
- emails
- letters
- task-specific documents

Customer service **interactions** to include: business as usual, predictable and non-predictable events, including problems and complaints

1.7 techniques could include:

- surveys
- monitoring social media
- comments boxes
- email/contact forms

2.3 bias refers to inclination or prejudice for or against

2.5 techniques to analyse customer feedback may include:

- verifying data
- identifying over-arching themes
- highlighting 'quick wins' and 'red alerts'

2.6 techniques to monitor the quality of data collected may include:

- sampling
- monitoring
- review of methods used

2.8 a validation issue is something that affects the accuracy of data

2.9 anonymising comments refers to ensuring that they do not contain information which reveals someone's identity

Unit 10 Understand how to monitor customer service interactions and feedback (M/507/5568) (cont'd)

Assessment guidance

AC	Assessment guidance	Suggested assessment method
1.1–2.9		learner written statements
1.1–2.9	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.9	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.9	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 11 Understand how to develop professional networks (M/507/5571)

Unit summary	This unit aims to provide learners with the knowledge required to network effectively and to develop and maintain professional networks.
Guided learning hours	15
Level	4
Mandatory/optional	Optional

The learner will:

- 1 Understand the principles of effective networking

The learner can:

- 1.1 Describe the interpersonal skills needed for effective networking
- 1.2 Explain the basis on which to choose **networks** to be developed
- 1.3 Evaluate the role of shared agendas and conflict management in relationship-building
- 1.4 Evaluate the role of the internet in business networking
- 1.5 Assess the importance of following up leads and actions
- 1.6 Analyse **ethical issues** relating to networking activities

Key words

1.2 networks may cover:

- online networking (social media)
- face-to-face networking
- professional network services
- formal networking (weekly/monthly meetings and referrals)

1.6 ethical issues may relate to:

- the UK General Data Protection Regulation (UK GDPR)
- conflicts of interest
- social responsibility
- morality

Unit 11 Understand how to develop professional networks (M/507/5571) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–1.6		learner written statements
1.1–1.6	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–1.6	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–1.6	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 12 Understand how to manage business risk (R/507/5577)

Unit summary	The aim of this unit is to equip learners with the ability to address and mitigate business risk, coupled with an understanding of the management of business risk.
Guided learning hours	20
Level	4
Mandatory/optional	Optional

The learner will:

- 1 Understand the management of business risk

The learner can:

- 1.1 Explain what is meant by 'business risk'
- 1.2 Analyse **business risk** identification theories and models
- 1.3 Explain measures and techniques to mitigate business risk
- 1.4 Explain **their own** level of authority in managing risk

Key words

- 1.2 business risk** may include, for example, direct or indirect risk relating to:

- legal
- technology
- environmental
- health and safety
- property, equipment
- security
- staff
- suppliers

Learners should analyse risks relating to their chosen industry or organisation

- 1.4** where AC states '**their own**' learners may use their own organisation, an organisation they are familiar with or information within an assignment/case study

Unit 12 Understand how to manage business risk (R/507/5577) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–1.4		learner written statements
1.1–1.4	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–1.4	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–1.4	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 13 Understand how to manage knowledge in an organisation (M/507/5585)

Unit summary	This unit aims to provide learners with the ability to identify and maintain knowledge within an organisation.
Guided learning hours	25
Level	4
Mandatory/optional	Optional

The learner will:

- 1 Understand the principles of knowledge management

The learner can:

- 1.1 Explain the concept, scope and importance of knowledge management
 - 1.2 Explain the concept of intellectual property
 - 1.3 Identify the business drivers that lead to effective knowledge management
 - 1.4 Explain the risks associated with knowledge management and their potential implications
 - 1.5 Explain the importance of engaging others and communicating knowledge management issues and activities
 - 1.6 Explain best practice principles and techniques for effective knowledge management
 - 1.7 Describe strategies to manage tacit and explicit knowledge
-

Unit 13 Understand how to manage knowledge in an organisation (M/507/5585) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–1.7		learner written statements
1.1–1.7	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–1.7	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–1.7	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Unit 14 Understand how to manage redundancy and redeployment (T/507/5586)

Unit summary	This unit aims to provide learners with an understanding of the key processes involved in managing redundancy and redeployment.
Guided learning hours	30
Level	4
Mandatory/optional	Optional

The learner will:

- 1 Understand the management of redundancy

The learner can:

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

Unit 14 Understand how to manage redundancy and redeployment (T/507/5586) (cont'd)

The learner will:

- 2 Understand the principles of redeployment

The learner can:

- 2.1 Explain the concept of redeployment
 - 2.2 Explain the legal requirements that relate to the management of redeployment
 - 2.3 Explain the process for planning and managing a redeployment
 - 2.4 Evaluate the type of information required by staff who are retained
 - 2.5 Evaluate the type of information required by staff who are redeployed
 - 2.6 Evaluate the benefits and limitations to an organisation of redeployment
 - 2.7 Assess the role of project management techniques in the management of redeployment
-

Unit 14 Understand how to manage redundancy and redeployment (T/507/5586) (cont'd)**Assessment guidance**

AC	Assessment guidance	Suggested assessment method
1.1–2.7		learner written statements
1.1–2.7	discussions should always be planned and structured by the Assessor and learner to enable the learner to demonstrate their knowledge and understanding	record of professional discussion
1.1–2.7	where oral questioning is used, Assessors are required to record both questions and answers	record of oral/written questions
1.1–2.7	centres may support learners by providing appropriate assignments, projects or case studies to provide the basis for the learners' answers, or learners may use their own organisation (or an organisation they're familiar with) for their examples	assignments, projects and/or case studies

Assessment guidance provided is for example purposes only and is not intended to be exhaustive. Learners should always be encouraged to conduct research to identify examples relating to their chosen industry.

Section 3

Assessment and Moderation

Assessment and Moderation

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.

The NCFE Level 3 Certificate in Principles of Management is internally assessed and externally moderated.

Internal assessment

Each learner must create a portfolio of evidence which demonstrates achievement of all the learning outcomes and assessment criteria. On completion of each unit learners must declare that the work produced is their own. The Assessor must countersign this. Examples of suitable evidence for the portfolio for each unit are provided in Section 2 (page 16).

The main pieces of evidence for the portfolio could include (in no particular order):

- learner's proof of work
- Assessor observation – completed observational checklists and related action plans
- witness testimony
- worksheets
- assignments/projects/reports
- record of professional discussion
- record of oral and written questioning
- learner and peer reports.

You'll also find a variety of assessment and moderation pro-formas on the NCFE website.

Assessment guidance is provided for each unit. Assessors can use other methods of assessment as long as they're valid and reliable and maintain the integrity of the assessment and of the standards required of this qualification. Acceptable methods of assessment could be drawn from the list above.

Assessors must be satisfied that learners have achieved all learning outcomes and assessment criteria related to the unit being assessed, prior to deciding if learners have been successful. Assessors are also responsible for supporting learners through the assessment process.

For approval of methods of internal assessment other than portfolio building, please contact the Quality Assurance team on 0191 239 8000.

Presenting evidence

Written

Written evidence may be presented in word-processed or handwritten form. Audio-visual content (videos, pictures, drawings, audio) may also be used.

Tables, graphs and spreadsheets may be produced using appropriate ICT.

Any copied material must be suitably acknowledged, and quotations must be clearly marked and a reference provided wherever possible to ensure that learner work can be authenticated.

Recorded

Where audio-visual evidence of multiple learners is used, centres must ensure that each learner being assessed is clearly visible and can be identified by the Moderator.

The recorded evidence should allow the learner to demonstrate the learning outcomes clearly but should only show work relevant to what is being assessed. For example, if a performance/participation is done as part of a group, the Moderator will need to be able to see how each learner being assessed has contributed and met the learning outcomes.

To help our Moderators to identify clearly when a particular learner is performing/participating we'd recommend including the following information:

- the exact start and finish times so that the Moderator can go straight to that spot on the tape/recording
- a running order list and a description of each learner
- information about where the performance/recorded evidence took place
- what type of audience they were performing to (if applicable).

Centres must also ensure that the camera and microphone are set up in a suitable place to ensure good quality audio. This will allow the Moderator to hear both the learner(s) and the Assessor (if applicable).

If learners are not clearly identified, NCFE may not be able to moderate or examine the work.

Moderation

Moderation is the process by which we confirm that assessment decisions in centres are:

- made by competent and qualified Assessors
- the product of sound and fair assessment practice
- recorded accurately and appropriately.

We do this through:

- internal moderation – which you carry out
 - external moderation – which we carry out through our External Moderators who, by supporting you, will make sure that assessments meet nationally agreed standards and that your quality assurance systems continue to meet our centre approval criteria.
-

Section 4

Explanation of terms

Explanation of terms

This table explains how the terms used at Level 3 in the unit content are applied to this qualification (not all verbs are used in this qualification).

Apply	Explain how existing knowledge can be linked to new or different situations in practice.
Analyse	Break the subject down into separate parts and examine each part. Show how the main ideas are related and why they are important. Reference to current research or theory may support the analysis.
Clarify	Explain the information in a clear, concise way.
Classify	Organise according to specific criteria.
Collate	Collect and present information arranged in sequence or logical order.
Compare	Examine the subjects in detail and consider the similarities and differences.
Critically compare	This is a development of compare where the learner considers the positive aspects and limitations of the subject.
Consider	Think carefully and write about a problem, action or decision.
Demonstrate	Show an understanding by describing, explaining or illustrating using examples.
Describe	Write about the subject giving detailed information in a logical way.
Develop (a plan/idea which...)	Expand a plan or idea by adding more detail and/or depth of information.
Diagnose	Identify the cause based on valid evidence.
Differentiate	Identify the differences between two or more things.
Discuss	Write a detailed account giving a range of views or opinions.
Distinguish	Explain the difference between two or more items, resources, pieces of information.
Draw conclusions (which...)	Make a final decision or judgment based on reasons.
Estimate	Form an approximate opinion or judgment using previous knowledge or considering other information.

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. Reference to current research or theory may support the evaluation.
Explain	Provide detailed information about the subject with reasons showing how or why. Responses could include examples to support these reasons.
Extrapolate	Use existing knowledge to predict possible outcomes which might be outside the norm.
Identify	Recognise and name the main points accurately. (Some description may also be necessary to gain higher marks when using compensatory marking).
Implement	Explain how to put an idea or plan into action.
Interpret	Explain the meaning of something.
Judge	Form an opinion or make a decision.
Justify	Give a satisfactory explanation for actions or decisions.
Perform	Carry out a task or process to meet the requirements of the question.
Plan	Think about and organise information in a logical way using an appropriate format.
Provide	Identify and give relevant and detailed information in relation to the subject.
Review and revise	Look back over the subject and make corrections or changes.
Reflect	Learners should consider their actions, experiences or learning and the implications of this for their practice and/or professional development.
Select	Make an informed choice for a specific purpose.
Show	Supply evidence to demonstrate accurate knowledge and understanding.
State	Give the main points clearly in sentences or paragraphs.
Summarise	Give the main ideas or facts in a concise way.

Section 5

General information

General information

Equal opportunities

NCFE fully supports the principle of equal opportunities and opposes all unlawful or unfair discrimination on the grounds of ability, age, colour, culture, disability, domestic circumstances, employment status, gender, marital status, nationality, political orientation, racial origin, religious beliefs, sexual orientation and social background. NCFE aims to ensure that equality of opportunity is promoted and that unlawful or unfair discrimination, whether direct or indirect, is eliminated both in its own employment practices and in access to its qualifications. A copy of our Diversity and Equality policy is available on the NCFE website.

Diversity, access and inclusion

Our qualifications and associated assessments are designed to be accessible, inclusive and non-discriminatory. NCFE regularly evaluates and monitors the 6 diversity strands (gender, age, race, disability, religion, sexual orientation) throughout the development process as well as throughout the delivery, external moderation and external assessment processes of live qualifications. This ensures that positive attitudes and good relations are promoted, discriminatory language is not used and our assessment procedures are fully inclusive.

Learners who require reasonable adjustments or special consideration should discuss their requirements with their Tutor who should refer to our Reasonable Adjustments and Special Considerations policy for guidance.

For more information on the Reasonable Adjustments and Special Considerations policy please see the NCFE website.

Feedback

Here at NCFE, we're continually looking to review and improve our portfolio of qualifications to make sure they are of a high standard and meeting the needs of both learners and employers.

In order to achieve this and to comply with the requirements of our regulator, Ofqual, we rely on the valuable feedback that you – our centres – provide us with.

For each NCFE qualification you deliver, we would be grateful if you could let us know the following:

- general feedback about the qualification and assessment
- whether the qualification is meeting its intended purpose
- the outcome for the learner – whether they have progressed to further education or into/within employment

You can provide us with this information by emailing qualificationfeedback@ncfe.org.uk, giving us a call on 0191 239 8000, or responding to the next survey we send you. By doing this, you're playing an important role in helping us continue to develop and enhance our qualifications for the benefit of your learners.

Contact us

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