



Certificate in Team Leading

SFJ Awards Level 3

Qualification Handbook

Ofqual Qualification Number: 610/5093/3

Qualifications Wales Number: C00/5132/3

Operational Start Date: 1st January 2025

Contents

Contents.....	2
1. Introduction	5
1.1. About SFJ Awards.....	5
1.2. Customer Service Statement.....	5
1.3. Centre Support	6
2. The Qualification	7
2.1. Qualification Objective.....	7
2.2. Pre-entry Requirements	7
2.3. Qualification Structure	7
2.4. Total Qualification Time (TQT).....	9
2.5. Grading.....	10
2.6. Age Range and Geographical Coverage.....	10
2.7. Opportunities for Progression.....	10
2.8. Use of Languages	11
3. Qualification Units	12
3.1. Mandatory Units	12
3.2. Optional Units.....	28
4. Centre Requirements	60
4.1. Centre Responsibilities.....	60
4.2. Centre Assessment Standards Scrutiny (CASS) Strategy.....	61
4.3. Facilities	61
4.4. Trainers	62
5. Assessment	63
5.1. Qualification Assessment Methods	63
5.2. Assessing Competence.....	63
5.3. Methods for Assessing Competence.....	64
5.3.1 Observation.....	64
5.3.2 Testimony of Witnesses and Expert Witnesses	64
5.3.3 Work Outputs (Product Evidence).....	65
5.3.4 Professional Discussion	65
5.3.5 Questioning the Learner	65

5.3.6	Simulations	65
5.4.	Assessing Knowledge and Understanding	66
5.5.	Methods for Assessing Knowledge and Understanding	67
5.6.	Assessment Planning	67
6.	Assessor Requirements	69
6.1.	Occupational Knowledge and Competence.....	69
6.2.	Qualification Knowledge	69
6.3.	Assessor Competence	69
6.4.	Continuing Professional Development.....	71
7.	Internal Quality Assurer Requirements	72
7.1.	Occupational Knowledge.....	72
7.2.	Qualification Knowledge	72
7.3.	Internal Quality Assurer Competence.....	72
7.4.	Continuing Professional Development.....	73
8.	Expert Witnesses	74
8.1.	Occupational Competence	74
8.2.	Qualification Knowledge	74
9.	External Quality Assurers.....	75
9.1.	External Quality Assurer Competence.....	75
9.2.	Continuing Professional Development.....	75
10.	Standardisation	76
10.1.	Internal Standardisation	76
10.2.	External Standardisation	76
11.	Recognition of Prior Learning (RPL).....	76
12.	Equality and Diversity	77
13.	Health and Safety.....	78

Document Control

Revisions and Amendment Register

Date of Issue	Page No	Revision	Version
01/01/2025	--	N/A	1

1. Introduction

1.1. About SFJ Awards

SFJ Awards is part of the Workforce Development Trust group, together with Skills for Justice, Skills for Health and People 1st International. The Workforce Development Trust is a not-for-profit organisation helping employers to continually improve their workforce through increasing productivity, improving learning solutions and helping to boost the skills for staff across a wide range of industries throughout the UK and internationally.

SFJ Awards is an independent Awarding Organisation, regulated by the UK qualifications regulators, including Ofqual, CCEA and Qualifications Wales, to assess, quality assure and certificate learners and employees, helping training providers and employers to continue developing a highly skilled workforce for the future. Our values are 'For Skills, For Flexibility and For Jobs' and our work embodies the core charitable aims of the wider Workforce Development Trust group that ultimately supports better jobs. We add value to employers and training providers by delivering a wide range of sector-specific regulated qualifications, bespoke learner certification and quality assurance; SFJ Awards is also an End-Point Assessment Organisation for Apprenticeships in England.

Whilst predominantly delivering qualifications and assessments to meet the needs of Policing, Fire and Rescue, Community Justice, Custodial Care, Armed Forces, Security and Emergency Services, we continue to grow into markets that require a robust, and quality assured certification solution.

1.2. Customer Service Statement

Our Customer Service Statement is published on the SFJ Awards [website](#) giving the minimum level of service that centres can expect. The Statement will be reviewed annually and revised as necessary in response to customer feedback, changes in legislation, and guidance from the qualifications regulators.

1.3. Centre Support

SFJ Awards works in partnership with its customers. For help or advice contact:

SFJ Awards
Consult House
Meadowcourt Business Park
4 Hayland Street
Sheffield
S9 1BY

Tel: 0114 284 1970

Email: info@sfjawards.com

Website: www.sfjawards.com

2. The Qualification

2.1. Qualification Objective

This handbook relates to the following qualification:

SFJ Awards Level 3 Certificate in Team Leading

The objective of this qualification is to develop learners' knowledge and skills who are working as team leaders, section leaders, floor managers, help desk managers, trainee supervisors, team co-ordinators and those working in a range of other team leader positions.

It is suitable for people who are entering management, or who have the ability and the opportunity to demonstrate recognisable management and leadership skills, for example, providing leadership for their team.

Team leaders play an integral role in supporting organisational objectives through a wide range of functions, including: monitoring work, giving feedback, briefing teams, supporting team members, resolving problems, procuring supplies, project management and delivering and improving customer service.

2.2. Pre-entry Requirements

There are no pre-entry requirements for this qualification. However, centres must ensure that learners are able to complete this qualification, for example, through completing a skills scan to ensure they can work at the appropriate level.

2.3. Qualification Structure

The qualification consists of **3 mandatory** units and **13 optional** units which have been designed to encapsulate the knowledge and skills required to carry out a team leading role.

To be awarded this qualification the learner must achieve all **3 mandatory** units and a **minimum of 2 optional** units.

Mandatory Units						
Unit Number	Odyssey Reference	Unit Title	Level	GLH	TUT	Credit Value
1	6634	Manage personal performance and development	3	18	38	4
2	6635	Plan, allocate, and monitor work of a team	3	35	55	6
3	6636	Principles of team leading	2	37	57	6

Optional Units						
Unit Number	Odyssey Reference	Unit Title	Level	GLH	TUT	Credit Value
4	6637	Make effective decisions	3	10	35	4
5	6638	Develop working relationships with colleagues	2	19	39	4
6	6639	Manage knowledge in own area of responsibility	3	15	35	4
7	6640	Resolve customers' problems and complaints	3	30	55	6
8	6641	Promote equity, diversity, and inclusion in the workplace	3	15	35	4
9	6642	Manage team performance	3	21	41	4

10	6643	Manage individuals' performance	3	15	35	4
11	6644	Chair and lead meetings	3	10	30	3
12	6645	Manage conflict within a team	3	25	45	5
13	6646	Procure products and/or services	3	35	55	6
14	6647	Collaborate with other departments	3	14	34	3
15	6648	Participate in a project	3	22	45	5
16	6649	Develop and deliver a presentation	3	25	55	6

2.4. Total Qualification Time (TQT)

Values for Total Qualification Time¹, including Guided Learning, are calculated by considering the different activities that Learners would typically complete to achieve and demonstrate the learning outcomes of a qualification. They do not include activities which are required by a Learner's Teacher based on the requirements of an individual Learner and/or cohort. Individual Learners' requirements and individual teaching styles mean there will be variation in the actual time taken to complete a qualification. Values for Total Qualification Time, including Guided Learning, are estimates.

Some examples of activities which can contribute to Total Qualification Time include:

- Independent and unsupervised research/learning
- Unsupervised compilation of a portfolio of work experience
- Unsupervised e-learning
- Unsupervised e-assessment
- Unsupervised coursework

¹ Total Qualification Time, Ofqual
<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

- Watching a pre-recorded podcast or webinar
- Unsupervised work-based learning
- All Guided Learning

Some examples of activities which can contribute to Guided Learning include:

- Classroom-based learning supervised by a Teacher
- Work-based learning supervised by a Teacher
- Live webinar or telephone tutorial with a Teacher in real time
- E-learning supervised by a Teacher in real time
- All forms of assessment which take place under the Immediate Guidance or Supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training, including where the assessment is competence-based and may be turned into a learning opportunity.

The minimum Total Qualification Time and Guided Learning Hours for this qualification are as follows:

Qualification Title	TQT	GLH
SFJ Awards Level 3 Certificate in Team Leading	214 - 260	114 - 155

2.5. Grading

This qualification is graded pass / fail.

2.6. Age Range and Geographical Coverage

This qualification is recommended to learners aged **18** years and over and is regulated in England and Wales.

2.7. Opportunities for Progression

This qualification offers various progression opportunities into management and business-related qualifications, such as the [SFJ Awards Level 4 Certificate in Business and Administrative Management](#) and the [SFJ Awards Level 4 Certificate in Office and Administration Management](#).

2.8. Use of Languages

SFJ Awards business language is English, and we provide assessment materials and qualification specifications that are expressed in English. Assessment specifications and assessment materials may be requested in Welsh or Irish and, where possible, SFJ Awards will try to fulfil such requests. SFJ Awards will provide assessment materials and qualification specifications that are expressed in Welsh or Irish and support the assessment of those learners, where the number of learners makes it economically viable for SFJ Awards to do so. More information is provided in the SFJ Awards' Use of Language Policy.

For learners seeking to take a qualification and be assessed in British Sign Language or Irish Sign Language, please refer to SFJ Awards' Reasonable Adjustments Policy. A learner may be assessed in British Sign Language or Irish Sign Language where it is permitted by SFJ Awards for the purpose of Reasonable Adjustment.

Policies are available on our website sfjawards.com or on request from SFJ Awards.

3. Qualification Units

3.1. Mandatory Units

Title	Manage personal performance and development		
Level	3		
Unit Number	1		
Credit Value	4		
Total Hours	38		
GLH	18		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Be able to manage personal performance	1.1	Plan objectives that align with business needs with line manager	<ul style="list-style-type: none"> Identify objectives that provide focus and clear direction and are Specific, measurable, achievable, realistic, and time-bound (SMART) Action plan
	1.2	Agree criteria for measuring progress and achievement with line manager	Measuring progress and achievement enables any adjustments or improvements to the task to be carried out if they are required.

	1.3	Complete tasks to agreed timescales and quality standards	
	1.4	Explain which types of issues would need reporting to the appropriate person as problems beyond own level of competence and authority	<p>Competence: The ability to do something successfully or efficiently.</p> <p>Authority: The power or right to give orders and make decisions.</p>
	1.5	Implement necessary actions to address and resolve problems with personal performance	<p>Problems with personal performance include:</p> <ul style="list-style-type: none"> ● Unfair or unclear expectations ● Inadequate knowledge or skills ● Medical issues ● Personal or family issues ● Job dissatisfaction ● Workplace conflict
2. Be able to manage own time and workload	2.1	Implement time management tools and techniques to plan and prioritise workloads effectively	<p>Time management techniques include:</p> <ul style="list-style-type: none"> ● Eisenhower Matrix (organise by priority and importance) ● Time Blocking Method

			<ul style="list-style-type: none"> • Time management tools include: • Diary (paper based or electronic) • To-do list • Bespoke software's such as Microsoft Planner
	2.2	Take action to minimise distractions that are likely to limit the effective management of time and the achievement of objectives	<p>Potential distractions can include:</p> <ul style="list-style-type: none"> • Phone calls • Meetings (scheduled or unscheduled) • Cluttered desk / workspace • Lack of objectives or priorities
	2.3	Explain the benefits of achieving an acceptable “work-life balance”	<p>Work-life balance - the division of one's time and focus between working and family or leisure activities.</p> <p>Benefits of work-life balance include:</p> <ul style="list-style-type: none"> • Reduced staff turnover • Reduced absenteeism

			<ul style="list-style-type: none"> • Improved morale and job satisfaction • Improved productivity
3. Be able to identify own development needs	3.1	Identify organisational policies and procedures relating to personal development	<p>Examples may include:</p> <ul style="list-style-type: none"> • Professional development policy • Training and development policy • Learning and development policy
	3.2	Evaluate the benefits of feedback on performance, both positive and areas for development	<p>Feedback helps employees feel more confident in their performance and more committed to showing positive behaviour. Somebody aware of their skills and strengths may gain a sense of value in the workplace.</p>
	3.3	Explain the potential business benefits of personal development	<p>Potential business benefits may include:</p> <ul style="list-style-type: none"> • Improved workplace performance • Improved staff morale and motivation

	3.4	Identify own preferred learning methods	<p>Examples of learning styles could include:</p> <p>Honey and Mumford's Learning Styles:</p> <ul style="list-style-type: none"> ● Activist ● Reflector ● Theorist ● Pragmatist <p>VARK Model:</p> <ul style="list-style-type: none"> ● Visual ● Auditory ● Reading & Writing ● Kinaesthetic
	3.5	Identify own development needs from analyses of the role, personal, and team objectives	This analysis can be undertaken to identify the future development needs required to acquire the skills and knowledge for career development and for effective performance in the workplace.
	3.6	Interpret feedback from others to identify own development needs	Feedback from others is important in identifying development needs as good

			feedback enables individuals to be aware of what they do and how they do it, to help them learn, grow and develop.
4. Be able to fulfil a personal development plan	4.1	Agree a personal development plan that specifies actions, methods, resources, timescales, and review mechanisms	<ul style="list-style-type: none"> ● Objectives should form part of an agreed personal development plan that sets out what needs to be done and how. ● The plan should provide details of the resources required, the timescales, and the review mechanisms. ● Job shadowing / buddying up ● Online learning
	4.2	Utilise formal development opportunities that are consistent with own personal development	Formal development takes place in an organised and structured setting with explicit learning outcomes and objectives, and typically leads to certification or some other recognition that it has been completed to a certain standard.

	4.3	Utilise informal learning opportunities that contribute to the achievement of personal development objectives	Informal learning results from daily activities related to work, family, or leisure, and is not organised or structured in terms of learning outcomes and objectives.
	4.4	Review progress against agreed objectives and amend plans accordingly	Regular review will ensure that you keep tabs on your activity and are not tempted to make personal development a lower priority.
	4.5	Share lessons learned with others using agreed communication methods	<p>Sharing 'lessons learned' with others enables successes to be built upon and previous mistakes to be avoided.</p> <p>This may take place in:</p> <ul style="list-style-type: none"> • a performance review or appraisal interview • a learning community • as part of a review of a development activity.

Additional information about the unit

Assessment guidance

This unit focuses on the skills and techniques required to manage personal performance and development effectively. It covers setting performance goals, time management, balancing workloads, and recognising areas for improvement. Through this unit, individuals will develop self-awareness, responsibility, and the ability to take ownership of their learning and performance. Learners may be assessed through methods such as reflective journals, performance reviews, or work-based tasks.

Title	Plan, allocate, and monitor work of a team		
Level	3		
Unit Number	2		
Credit Value	6		
Total Hour	55		
GLH	35		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Be able to plan work for a team	1.1	Agree team objectives with own manager	
	1.2	Develop a plan for a team to meet agreed objectives, taking into account capacity and capabilities of the team	This could include: <ul style="list-style-type: none"> • Creating a plan • Updating an existing plan
2. Be able to allocate work across a team	2.1	Discuss team plans with a team	
	2.2	Agree work allocation and objectives with team members	SMART (Specific, Measurable, Achievable, Realistic and Time-bound)
	2.3	Agree standard of work required by team members	
3. Be able to manage team members to achieve team objectives	3.1	Support all team members in order to achieve team objectives	This could include / need consideration of: <ul style="list-style-type: none"> • Reasonable adjustments • Protected characteristics

			<ul style="list-style-type: none"> • Work patterns • Assistance with completing a task
	3.2	Recognise team members' achievement of objectives and agreed standards	<p>Informal recognition:</p> <ul style="list-style-type: none"> • Email • Conversation • Team meetings • Mentoring <p>Formal recognition:</p> <ul style="list-style-type: none"> • Professional Development Review (PDR) • Reward and recognition schemes
	3.3	Identify potential issues or concerns which may impact the achievement of team objectives	<ul style="list-style-type: none"> • Different priorities • Resourcing • Timing
	3.4	Take steps to minimise potential conflict arising from those issues or concerns	
	3.5	Identify causes for team members not meeting team objectives and offer appropriate support or interventions	Offering support could include signposting e.g. mental health support

4. Be able to improve the performance of a team	4.1	Identify ways of improving team performance	
	4.2	Provide constructive feedback to team members to improve their performance	<p>Informal feedback:</p> <ul style="list-style-type: none"> ● 1:1 ● Conversations ● Sharing best practice <p>Formal feedback:</p> <ul style="list-style-type: none"> ● Coaching ● Mentoring ● Leadership programmes
	4.3	Implement and review identified ways of improving team performance	<p>Informal:</p> <ul style="list-style-type: none"> ● Team meeting feedback ● Team surveys ● Verbal e.g. conversation <p>Formal:</p> <ul style="list-style-type: none"> ● Key Performance Indicators (KPIs)

Additional information about the unit

Assessment guidance	This unit covers how to plan and allocate tasks, manage team members to achieve objectives and improve overall team performance. The unit addresses recognising achievements, providing feedback, resolving conflicts and continuously improving team efficiency through feedback and performance reviews. This unit will equip learners with the skills to manage a team effectively. Learners may be assessed through methods such as workplace observation, professional discussion and written assignments.
---------------------	---

Title	Principles of team leading		
Level	2		
Unit Number	3		
Credit Value	6		
Total Hours	57		
GLH	37		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand leadership styles in organisations	1.1	Describe the characteristics of effective leadership	This could include: <ul style="list-style-type: none"> • Integrity • Resilience • Accountability • Empathy • Decisive
	1.2	Describe different leadership styles	This could include: <ul style="list-style-type: none"> • Democratic • Autocratic • Laissez-Faire • Transformational • Transactional • Bureaucratic

	1.3	Describe ways in which leaders can motivate their teams	<ul style="list-style-type: none"> • Set clear goals • Encourage teamwork • Positive feedback • Provide opportunities for development • Positive role model
	1.4	Explain the benefits of effective leadership for organisations	<ul style="list-style-type: none"> • Boosts staff morale • Shapes values and goals • Improves communication • Increases revenue • Healthier corporate culture • Retention / recruitment
2. Understand team dynamics	2.1	Explain the purpose of different types of teams	<p>This could include:</p> <ul style="list-style-type: none"> • Functional teams • cross-functional teams • self-managed teams • virtual teams
	2.2	Describe the stages of team development and behaviour	<p>Tuckman's Model – 5 stages:</p> <ul style="list-style-type: none"> • Forming • Storming • Norming • Performing • Adjourning

	2.3	Explain how the principle of team role theory is used in team building and leadership	<p>Belbin's Team Roles:</p> <ul style="list-style-type: none"> • Resource Investigator, Team worker and Co-ordinator (the Social roles) • Plant, Monitor Evaluator and Specialist (the Thinking roles) • Shaper, Implementer and Completer Finisher (the Action or Task roles).
	2.4	Explain typical sources of conflict within a team and how they could be managed	<p>Sources of conflict could include:</p> <ul style="list-style-type: none"> • Organisational • Resources • departments • Internal and external stakeholders
3. Understand techniques used to manage the work of teams	3.1	Explain the factors to be taken into account when setting targets	<p>SMART (Specific, Measurable, Achievable, Realistic and Time-bound)</p> <p>Factors could include:</p> <ul style="list-style-type: none"> • Financial • Resources • Time

			<ul style="list-style-type: none"> • Location
	3.2	Describe a range of techniques to monitor the flow of work of a team	<ul style="list-style-type: none"> • Work management systems • PowerBI
	3.3	Describe techniques to identify and solve problems within a team	<p>Informal:</p> <ul style="list-style-type: none"> • Mediation • Peer to peer support network <p>Formal:</p> <ul style="list-style-type: none"> • Grievance policies • HR • Unions
4. Understand the impact of change management within a team	4.1	Describe typical reasons for organisational change	<p>This could include:</p> <ul style="list-style-type: none"> • Political • Financial
	4.2	Explain how to implement change within a team	Kotter – 8 Phases of Change
	4.3	Explain the importance of accepting change positively	
	4.4	Explain the potential impact of negative responses to change on a team	<p>Managing resistance to change:</p> <ul style="list-style-type: none"> • Dealing with Conflict-Thomas-Kilmann

5. Understand team motivation	5.1	Explain the meaning of the term “motivation” and the factors that can affect motivation levels in team members	<ul style="list-style-type: none"> • Maslow hierarchy of needs • McClland • Mazars survey of motivation 2013 • Leadership style • Recognition / appreciation • Flexible work schedules • Work culture • Progression opportunities
	5.2	Describe techniques that can be used to motivate team members	
	5.3	Explain how having motivated staff benefits an organisation	
Additional information about the unit			
Assessment guidance	This unit provides learners with foundational knowledge about leadership styles, team dynamics and motivation in a team setting. Learners will explore different leadership styles such as democratic, autocratic and transformational leadership and understand how leaders can motivate and positively influence their teams. Additionally, learners will gain insight into how effective team leadership impacts organisational success. Learners may be assessed through methods such as case study analysis, multiple choice questions or reflective journals.		

3.2. Optional Units

Title	Make effective decisions		
Level	3		
Unit Number	4		
Credit Value	4		
Total Hours	35		
GLH	10		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand circumstances that require a decision to be made	1.1	Explain the circumstances requiring a decision to be made	
	1.2	State the desired objective(s) for making a decision	
	1.3	Establish criteria on which to base the decision, in line with own organisation	National Decision Model
2. Understand how to use information to inform decision-making	2.1	Identify information for validity and relevance to the decision-making process	
	2.2	Describe how to interpret information against established criteria to inform decision making	
3. Be able to collect information to inform decision-making	3.1	Identify information needed to inform the decision-making process	National Decision Model

	3.2	Communicate with stakeholders affected by the decision	
	3.3	Explain how to inform stakeholders about the decision-making process	
4. Be able to make a decision	4.1	Apply decision-making technique(s) to determine a decision	
	4.2	Explain the decision made in line with desired objectives	
	4.3	Communicate the decision taken to relevant stakeholders	
Additional information about the unit			
Assessment guidance	<p>This unit focuses on equipping learners with the skills to make informed, objective decisions in a professional context. The unit covers understanding the circumstances that necessitate decision-making, establishing objectives and setting criteria based on organisational needs. The unit also emphasises the importance of communicating with stakeholders throughout the decision-making process and explaining decisions clearly in line with organisational objectives. Learners may be assessed through methods such as professional discussion, reflective log, observation, or written assignments.</p>		

Title	Develop working relationships with colleagues		
Level	2		
Unit Number	5		
Credit Value	4		
Total Hours	39		
GLH	19		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand the principles of effective team working	1.1	Outline the benefits of effective team working	<p>This could include:</p> <ul style="list-style-type: none"> • Innovation • Personal growth • Increased job satisfaction • Reduction of stress • Increased trust
	1.2	Describe how to give feedback constructively	<ul style="list-style-type: none"> • Establish trust • Balance positive/negative • Be specific • Face-to-face
	1.3	Explain conflict management techniques that may be used to resolve team conflicts	<ul style="list-style-type: none"> • Accommodation • Compromise • Avoidance • Competition • Collaboration

	1.4	Explain the importance of giving team members the opportunity to discuss work progress and any issues arising	<ul style="list-style-type: none"> • Acknowledge team achievements • Celebrate success • Identify areas of improvement
	1.5	Explain the importance of communicating with colleagues on changes that may affect them	
2. Understand how to collaborate with colleagues to resolve problems	2.1	Describe how you can take others' viewpoints into account when making decisions	
	2.2	Explain how to take ownership of problems within own level of authority	
	2.3	Outline actions to minimise disruption to business activities within own level of authority	
	2.4	Describe how to resolve problems within own level of authority and agreed contribution	
3. Be able to maintain effective working relationships with colleagues	3.1	Recognise the contribution of colleagues to the achievement of team objectives	<p>Informal recognition:</p> <ul style="list-style-type: none"> • Email • Conversation • Team meetings <p>Formal recognition:</p> <ul style="list-style-type: none"> • Professional Development Review (PDR) • Reward and recognition schemes

	3.2	Describe how to treat colleagues with respect, fairness, and courtesy	
	3.3	Fulfil agreements made with colleagues	
	3.4	Provide support and constructive feedback to colleagues	
Additional information about the unit			
Assessment guidance	This unit focuses on building and maintaining effective professional relationships within a team. Learners will explore the principles of teamwork, including the benefits of collaboration, constructive feedback and conflict management techniques. Learners also learn to take ownership of problems, include colleagues' viewpoints in decision-making and handle conflicts. The aim is to foster respectful, supportive and productive working relationships that contribute to achieving team objectives. Learners may be assessed through methods such as professional discussion, observation or role play / simulation.		

Title	Manage knowledge in own area of responsibility		
Level	3		
Unit Number	6		
Credit Value	4		
Total Hours	35		
GLH	15		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand existing knowledge management in own area of responsibility	1.1	Describe how knowledge is gained and applied	
	1.2	Explain how knowledge is shared	
	1.3	Outline how intellectual property is protected	
2. Understand how to develop and share knowledge	2.1	Explain the informal and formal processes and procedures which can be used to develop knowledge	Informal processes: <ul style="list-style-type: none"> • Email • Conversation • Team meetings • 1:1 Formal processes: <ul style="list-style-type: none"> • Professional Development Review (PDR) • Coaching • Mentoring

	2.2	Explain how to support individuals to ensure knowledge development and sharing processes are followed	<p>Informal processes:</p> <ul style="list-style-type: none"> ● Email ● Conversation ● Team meetings ● 1:1 <p>Formal processes:</p> <ul style="list-style-type: none"> ● Policies ● Procedures ● Internal training programmes
3. Be able to monitor and evaluate knowledge management in own area of responsibility	3.1	Assess the knowledge development process in own area of responsibility	
	3.2	Implement any changes to improve knowledge management	
	3.3	Monitor change and development in the knowledge development process	
Additional information about the unit			
Assessment guidance	This unit teaches learners how to effectively manage and develop knowledge within their area of work. The unit focuses on both informal and formal methods of knowledge sharing and development. Additionally, learners are taught how to assess, monitor and implement improvements to knowledge management processes to ensure continuous development within their teams or departments. Learners may be assessed through methods such as professional discussion, observation or case studies.		

Title	Resolve customers' problems and complaints		
Level	3		
Unit Number	7		
Credit Value	6		
Total Hours	55		
GLH	30		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand the monitoring and resolution of customers' problems and complaints	1.1	Assess the suitability of a range of monitoring techniques for customers' problems and complaints	
	1.2	Explain how to identify those complaints that should prompt a review of the service offer and delivery	
	1.3	Explain how to use the resolution of customers' problems and complaints to improve products and/or services	
	1.4	Explain how the successful resolution of customers' problems and complaints contributes to customer loyalty and enhanced business performance	
	1.5	Explain negotiating techniques used to resolve customers' problems and complaints	<ul style="list-style-type: none"> ● The pin model ● Win-win ● OK model

	1.6	Explain conflict management techniques used in dealing with upset customers	Thomas Kilmann conflict model
	1.7	Explain organisational procedures for dealing with customers' problems or complaints	
	1.8	Explain when to escalate customers' complaints	
	1.9	Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint	
	1.10	Explain the advantages and limitations of offering compensation or replacement products and/or services	
2. Be able to deal with customers' problems and complaints	2.1	Confirm the nature, cause, and implications of customers' problems or complaints	
	2.2	Explain when customers' problems should be treated as complaints	
	2.3	Take personal responsibility for dealing with complaints	
	2.4	Communicate in a way that recognises customers' problems or complaints and understands their points of view	
	2.5	Explain the advantages and limitations of different response options to customers	
	2.6	Explain the benefits to customers and the organisation of the options available to solve problems and complaints	

	2.7	Explain the drawbacks of various options to solve problems and complaints	<ul style="list-style-type: none"> • Customers • Organisation
	2.8	Keep customers informed of progress	
	2.9	Agree solutions with customers that address the problem and complaint, and which are within the limits of own authority	
	2.10	Record the outcome of the handling of problems and complaints for future reference	
	2.11	Evaluate the effectiveness of the resolution of customers' problems and complaints	
	2.12	Adhere to organisational policies and procedures, and legal and ethical requirements when dealing with customers' problems and complaints	
Additional information about the unit			
Assessment guidance	<p>This unit focuses on equipping learners with the skills and knowledge needed to effectively handle and resolve customer issues. Learners will explore techniques for monitoring complaints, identifying service improvement opportunities and applying negotiation and conflict management strategies to resolve customer issues. The unit also covers organisational procedures for dealing with complaints and when to escalate issues. Learners will gain practical skills in taking personal responsibility for complaints, communicating effectively with customers and evaluating the effectiveness of resolutions. Learners may be assessed through methods such as professional discussion, observation or reflective journals.</p>		

Title	Promote equity, diversity, and inclusion in the workplace		
Level	3		
Unit Number	8		
Credit Value	4		
Total Hours	35		
GLH	15		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand the organisational aspects of equity, diversity, and inclusion in the workplace	1.1	Explain the difference between equity, diversity, and inclusion	
	1.2	Explain the impact of equity, diversity, and inclusion across aspects of organisational policy	
	1.3	Explain the potential consequences of breaches of legislation	The Equality Act 2010
	1.4	Describe nominated responsibilities within an organisation for equity, diversity, and inclusion	
2. Understand the personal aspects of equity, diversity, and inclusion in the workplace	2.1	Explain the different types of discrimination and harassment	<ul style="list-style-type: none"> ● Direct ● Indirect ● Discrimination by association ● Victimisation ● Bullying

	2.2	Describe the characteristics of behaviour that supports equity, diversity, and inclusion	
	2.3	Explain the importance of displaying behaviour that supports equity, diversity, and inclusion	
3. Be able to support equity, diversity, and inclusion in the workplace	3.1	Ensure colleagues are aware of their responsibilities for equity, diversity, and inclusion	
	3.2	Explain how to positively support equity, diversity, and inclusion	
	3.3	Adhere to organisational policies and procedures, and legal and ethical requirements when supporting equity, diversity, and inclusion	
Additional information about the unit			
Assessment guidance	<p>This unit focuses on equipping learners with the knowledge and skills to foster a workplace culture that values and promotes equity, diversity, and inclusion (EDI). Learners will explore the distinctions between EDI and understand their impact on organisational policies. The unit also covers the personal responsibilities of employees, including identifying and addressing various types of discrimination and harassment, and promoting inclusive behaviours. Learners are tasked with ensuring that colleagues are aware of their EDI responsibilities. Learners may be assessed through methods such as professional discussion, written assignments or reflective journals.</p>		

Title	Manage team performance		
Level	3		
Unit Number	9		
Credit Value	4		
Total Hours	41		
GLH	21		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand the management of team performance	1.1	Explain the use of benchmarks in managing performance	
	1.2	Explain a range of quality management techniques to manage team performance	<ul style="list-style-type: none"> ● Continual improvement ● Customer focus ● Key performance indicators ● Delegation ● Feedback / performance reviews
	1.3	Describe constraints on the ability to amend priorities and plans	
2. Be able to allocate and assure the quality of work	2.1	Identify the strengths, competences, and expertise of team members	

	2.2	Allocate work on the basis of the strengths, competences, and expertise of team members	
	2.3	Identify areas for improvement in team members' performance outputs and standards	
	2.4	Amend priorities and plans to take account of changing circumstances	
	2.5	Recommend changes to systems and processes to improve the quality of work	
3. Be able to manage communications within a team	3.1	Explain to team members the lines of communication and authority levels	
	3.2	Communicate individual and team objectives, responsibilities and priorities	
	3.3	Use communication methods that are appropriate to the topics, audience and timescales	
	3.4	Provide support to team members when they need it	
	3.5	Agree with team members a process for providing feedback on work progress and any issues arising	
	3.6	Review the effectiveness of team communications and make improvements	
Additional information about the unit			
Assessment guidance	This unit focuses on the skills and knowledge needed to effectively manage a team's performance. Learners will explore the use of benchmarks and quality management		

	<p>techniques to monitor and improve team outputs. The unit also covers how to allocate tasks based on team members' strengths, identify performance improvement areas and adjust priorities as needed. Additionally, learners are taught to manage team communication, ensuring clarity in objectives, responsibilities and authority levels, while providing necessary support and feedback. Learners may be assessed through methods such as professional discussion, written assignments or reflective journals.</p>
--	--

Title	Manage individuals' performance		
Level	3		
Unit Number	10		
Credit Value	4		
Total Hours	35		
GLH	15		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand the management of underperformance in the workplace	1.1	Explain typical organisational policies and procedures on discipline, grievance, and dealing with underperformance	
	1.2	Explain how to identify causes of underperformance	<ul style="list-style-type: none"> Key Performance Indicators (KPIs)
	1.3	Explain the purpose of making individuals aware of their underperformance clearly but sensitively	
	1.4	Explain how to address issues that hamper individuals' performance	
	1.5	Explain how to agree a course of action to address underperformance	<ul style="list-style-type: none"> Coaching Additional Training
2. Be able to manage individuals' performance in the workplace	2.1	Agree objectives with team members that align to organisational objectives	Specific, measurable, achievable, realistic and time-bound (SMART)

	2.2	Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development need	
	2.3	Provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards	
	2.4	Monitor individuals' progress towards objectives in accordance with agreed plans	
	2.5	Recognise individuals' achievement of targets and quality standards	
	2.6	Adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace	
Additional information about the unit			
Assessment guidance	This unit equips learners with the knowledge and skills needed to effectively manage and improve individual performance in the workplace. The unit covers identifying and addressing underperformance by following organisational policies related to discipline, grievance and performance management. Learners will explore methods for sensitively communicating underperformance, identifying causes and agreeing on appropriate actions like coaching or additional training. Learners may be assessed through methods such as professional discussion, written assignments or reflective journals.		

Title	Chair and lead meetings	
Level	3	
Unit Number	11	
Credit Value	3	
Total Hours	30	
GLH	10	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content
1. Be able to prepare to lead meetings	1.1	Identify the type, purpose, objectives, and background to a meeting
	1.2	Identify those individuals expected, and those required to attend a meeting
	1.3	Prepare for any formal procedures that apply to a meeting
	1.4	Describe ways of minimising likely problems in a meeting
	1.5	Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale
2. Be able to chair and lead meetings	2.1	Facilitate meetings so that everyone is involved, and the optimum possible consensus is achieved

	2.2	Manage the agenda within the timescale of the meeting	
	2.3	Summarise the agreed actions, allocated responsibilities, timescales, and any future arrangements	
3. Be able to deal with post-meeting matters	3.1	Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale	
	3.2	Take action to ensure that post-meeting actions are completed	
	3.3	Evaluate the effectiveness of a meeting and identify points for future improvement	

Additional information about the unit

Assessment guidance	<p>This unit focuses on developing the skills required to effectively plan, chair and follow up on meetings. Learners will learn how to identify the purpose, objectives and participants of a meeting and prepare necessary documentation. The unit covers techniques to manage meetings efficiently, ensuring active participation, consensus-building and adherence to the agenda and timescales. Additionally, learners will gain skills in summarising decisions, assigning responsibilities and handling post-meeting tasks such as record-keeping and evaluating meeting effectiveness for future improvements. Learners may be assessed through methods such as professional discussion, written assignments or reflective journals.</p>
---------------------	--

Title	Manage conflict within a team		
Level	3		
Unit Number	12		
Credit Value	5		
Total Hours	45		
GLH	25		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand the principles of conflict management	1.1	Evaluate the suitability of different methods of conflict management in different situations	Thomas Kilmann conflict model
	1.2	Describe the personal skills needed to deal with conflict between other people	
	1.3	Analyse the potential consequences of unresolved conflict within a team	
	1.4	Explain the role of external arbitration and conciliation in conflict resolution	
2. Be able to reduce the potential for conflict within a team	2.1	Communicate to team members their roles, responsibilities, objectives and expected standards of behaviour	
	2.2	Explain to team members the constraints under which other colleagues work	

	2.3	Review systems, processes, situations, and structures that are likely to give rise to conflict in line with organisational procedures	
	2.4	Take action to minimise the potential for conflict within the limits of own authority	
	2.5	Explain how team members' personalities and cultural backgrounds may give rise to conflict	
3. Be able to deal with conflict within a team	3.1	Assess the seriousness of conflict and its potential impact	
	3.2	Treat everyone involved with impartiality and sensitivity	
	3.3	Decide a course of action that offers optimum benefits	
	3.4	Explain the importance of engaging team members' support for the agreed actions	
	3.5	Communicate the actions to be taken to those who may be affected by it	
	3.6	Adhere to organisational policies and procedures, and legal and ethical requirements when dealing with conflict within a team	
Additional information about the unit			
Assessment guidance	This unit provides learners with the knowledge and skills to handle and resolve conflicts effectively in a team setting. Learners will explore various conflict management methods and develop personal skills needed to mediate disputes. Learners will also learn how to minimise the potential for conflict by communicating roles and responsibilities clearly, reviewing team		

	<p>dynamics, and considering how personalities and cultural backgrounds can contribute to disputes. Learners may be assessed through methods such as professional discussion, written assignments or observation.</p>
--	---

Title	Procure products and/or services	
Level	3	
Unit Number	13	
Credit Value	6	
Total Hours	55	
GLH	35	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content
1. Be able to identify procurement requirements	1.1	Explain current and likely future procurement requirements
	1.2	Decide whether the purchase of products and/or services offers the organisation best value
	1.3	Evaluate ethical and sustainability considerations relating to procurement
	1.4	Justify the decision to buy products and/or services with evidence of an analysis of risk, costs, and benefits
2. Be able to select suppliers	2.1	Explain the factors to be taken into account in selecting suppliers
	2.2	Explain organisational procurement policies, procedures, and standards
	2.3	Explain the effect of supplier choice on the supply chain

	2.4	Use appropriate media to publicise procurement requirements	
	2.5	Confirm the capability and track record of suppliers and their products and/or services	
	2.6	Select suppliers that meet the procurement specification	
3. Be able to buy products and/or services	3.1	Explain the action to be taken in the event of problems arising	
	3.2	Agree contract terms that are mutually acceptable within own scope of authority	
	3.3	Record agreements made, stating the specification, contract terms and any post-contract requirements	
	3.4	Adhere to organisational policies and procedures, legal and ethical requirements	
Additional information about the unit			
Assessment guidance	This unit focuses on the processes and skills required to procure goods and services efficiently and ethically. Learners will understand how to identify current and future procurement needs, assess value, and take ethical and sustainability factors into consideration. Additionally, learners will learn how to handle contract agreements, manage procurement-related issues, and ensure compliance with legal and organisational requirements. Learners may be assessed through methods such as professional discussion, written assignments or observation.		

Title	Collaborate with other departments		
Level	3		
Unit Number	14		
Credit Value	3		
Total Hours	34		
GLH	14		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand how to collaborate with other departments	1.1	Explain the need for collaborating with other departments	
	1.2	Explain the nature of the interaction between own team and other departments	
	1.3	Explain the features of effective collaboration	
	1.4	Explain the potential implications of ineffective collaboration with other departments	
	1.5	Explain the factors relating to knowledge management that should be considered when collaborating with other departments	Storage of Information: <ul style="list-style-type: none"> Employee intranet Shared folders

2. Understand opportunities for collaboration with other departments	2.1	Explain the advantages and disadvantages of collaborating with other departments	
	2.2	Identify with which departments collaborative relationships should be built	
	2.3	Identify the scope for and limitations of possible collaboration	
3. Be able to collaborate with other departments	3.1	Agree objectives and priorities of collaborative arrangements	<ul style="list-style-type: none"> • Service Level Agreements (SLAs) • Verbal agreements • Written agreements
	3.2	Work with other departments in a way that contributes to the achievement of organisational objectives	
Additional information about the unit			
Assessment guidance	<p>This unit focuses on developing skills for effective interdepartmental collaboration within an organisation. Learners will explore the importance of collaboration, the nature of interactions between teams and the key features of successful teamwork across departments. Additionally, learners will also learn to identify potential opportunities and limitations for collaboration, establish objectives, and work in a way that contributes to achieving organisational goals. Learners may be assessed through methods such as professional discussion, written assignments or observation.</p>		

Title	Participate in a project		
Level	3		
Unit Number	15		
Credit Value	5		
Total Hours	45		
GLH	22		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance and/or Indicative Content	
1. Understand how to manage a project	1.1	Explain the features of a project business case	
	1.2	Explain the stages of a project lifecycle	
	1.3	Explain the roles of people involved in a project	Roles could include: <ul style="list-style-type: none"> • Project Manager • Stakeholders • Team members
	1.4	Explain the uses of project-related information	This could include: <ul style="list-style-type: none"> • Project plans • Risk assessments
	1.5	Explain the advantages and limitations of different project monitoring techniques	This could include: <ul style="list-style-type: none"> • Gantt charts • Project plans

2. Be able to support the delivery of a project	2.1	Fulfil own role in accordance with a project plan	
	2.2	Collect project-related information in accordance with project plans	
	2.3	Use appropriate tools to analyse project information	
	2.4	Report on information analysis in the agreed format and timescale	
	2.5	Draw issues, anomalies, and potential problems to the attention of project managers	
	2.6	Adhere to organisational policies and procedures, and legal and ethical requirements in supporting the delivery of a project	
Additional information about the unit			
Assessment guidance	<p>This unit provides learners with the skills and knowledge to effectively contribute to a project. It covers understanding key aspects of project management, including the business case, project lifecycle stages, roles of key participants, and how project-related information is used. Learners will also explore different techniques for monitoring and reporting on project progress. The practical element focuses on fulfilling roles as outlined in a project plan, collecting and analysing project data, reporting findings, and identifying issues for the project manager while adhering to organisational requirements. Learners may be assessed through methods such as professional discussion, portfolio of evidence or observation.</p>		

Title	Develop and deliver a presentation		
Level	3		
Unit Number	16		
Credit Value	6		
Total Hours	55		
GLH	25		
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>		Guidance and/or Indicative Content
1. Understand the principles underpinning the delivery of presentations	1.1	Analyse the advantages and limitations of different methods of, and media for, making presentations	
	1.2	Explain how the type and size of the audience affects the delivery of a presentation	
	1.3	Explain the factors to be taken into account in developing contingency plans when delivering presentations	
	1.4	Explain voice projection and timing techniques when delivering presentations	
	1.5	Explain the factors to be taken into account in responding to questions from an audience	
	1.6	Explain different methods for evaluating the effectiveness of a presentation	

2. Understand how to develop a presentation	2.1	Explain best practice in developing presentations	
	2.2	Explain who needs to be consulted on the development of a presentation	
	2.3	Explain the factors to be taken into account in developing a presentation	<ul style="list-style-type: none"> ● Audience ● Message ● Focus ● Visual aids ● Execution ● Allocated duration
	2.4	Analyse the advantages and limitations of different communication media	
3. Be able to develop a presentation	3.1	Identify the purpose, content, style, timing, and audience for a presentation	
	3.2	Select a communication media that is appropriate to the nature of a presentation, message, and audience	
	3.3	Tailor a presentation to fit the timescale and audience's needs	
	3.4	Prepare a presentation that is logically structured, summarises the content and addresses the brief	
	3.5	Take action to ensure that a presentation adheres to organisational guidelines and policies	

	3.6	Develop materials that support the content of a presentation	
4. Be able to effectively prepare to deliver a presentation	4.1	Confirm the delivery method and correct functioning of equipment and resources prior to making a presentation	Presentation could be: <ul style="list-style-type: none"> • Face-to-face • Virtual e.g. Teams / Zoom
	4.2	Develop contingency plans for potential equipment and resource failure	
	4.3	Take action to ensure that the presentation fits the time slot available	
5. Be able to effectively deliver a presentation	5.1	Speak clearly and confidently, using language that is appropriate for the topic and the audience	
	5.2	Vary voice tone, pace, and volume appropriately when delivering a presentation	
	5.3	Use body language in a way that reinforces messages	
	5.4	Use equipment and resources effectively when delivering a presentation	
	5.5	Deliver a presentation within the agreed timeframe	
	5.6	Respond to questions in a way that meets the audience's needs	
	5.7	Evaluate the effectiveness of a presentation	

Additional information about the unit	
Assessment guidance	<p>This unit provides learners with the knowledge and skills required to design, prepare and effectively deliver a presentation. It covers the principles of using different presentation methods and media, the impact of audience size and type, and the importance of contingency planning. Learners will develop presentations that are structured, audience-focused and adhere to organisational policies. They will also practice delivering presentations with appropriate voice projection, timing, body language and resource usage. Learners may be assessed through methods such as professional discussion, case study analysis or practical observation.</p>

4. Centre Requirements

4.1. Centre Responsibilities

Centres must be approved by SFJ Awards and also have approval to deliver the qualifications they wish to offer. This is to ensure centres have the processes and resources in place to deliver the qualifications. Approved centres must adhere to the requirements detailed in the SFJ Awards Centre Handbook, which includes information for centres on assessment and internal quality assurance processes and procedures.

When a centre applies to offer a qualification, they will need to provide evidence that they have sufficient resources and infrastructure in place for delivery of that qualification:

- evidence of assessor and IQA competence
- sample assessment materials and mark schemes
- scheme of work
- details of available resources.

Centres are responsible for ensuring that their assessor and internal quality assurance staff:

- are occupationally competent and/or knowledgeable as appropriate to the assessor or IQA role they are carrying out
- have current experience of assessing/internal quality assuring as appropriate to the assessor or IQA role they are carrying out
- have access to appropriate training and support
- are independent and any conflicts of interests are managed and monitored appropriately by SFJ Awards.

Information on the induction and continuing professional development of those carrying out assessment and internal quality assurance must be made available by centres to SFJ Awards through the external quality assurance process.

This handbook should be used in conjunction with the following SFJ Awards documents:

- Assessment Guidance
- Centre Handbook
- Centre Assessment Standards Scrutiny (CASS) Strategy
- Conflict of Interest Policy
- Whistleblowing Policy
- Malpractice and Maladministration Policies
- Equality and Diversity Policy
- Appeals Policy
- Complaints Policy
- Sanctions Policy

- Examinations and Invigilation Policy
- Risk and Centre Monitoring Policy
- Fair Access and Equality of Opportunity Policy
- Reasonable Adjustment and Special Considerations Policy
- Standardisation Policy
- Direct Claims Policy
- Centre Approval Process

All documents referenced in the strategy are available to centres on Odyssey, SFJ Awards learner management system, or on request from SFJ Awards.

4.2. Centre Assessment Standards Scrutiny (CASS) Strategy

Awarding Organisations are required by Ofqual to have a CASS Strategy in place to improve the controls where an assessment is devised and marked by a centre². In line with our CASS Strategy, SFJ Awards will determine the most appropriate CASS approach for each qualification / qualification suite using a risk-based approach.

Any Subject Matter Experts (SMEs) used by centres to develop and/or mark assessments must declare any conflict of interest and centres must ensure that any such conflicts are mitigated. All details of such conflicts of interest must be recorded by the centre.

SFJ Awards will require sample assessments from centres to maintain confidence with our centres' approach to maintaining the integrity of our quality assurance strategy defined within the CASS strategy. Centre marking will be subject to external quality assurance.

Centres are permitted to develop and mark assessments for the qualification(s) in this handbook, in line with our CASS Strategy.

4.3. Facilities

Training and assessment for approved qualifications must take place in a suitable environment that has been approved by SFJ Awards. The environment must be adequately equipped for training, conducive to effective learning, and must comply with current Health and Safety requirements. Equipment for practical activities must be readily available and fit for purpose. All examination venues must comply with the policy, standards, and regulations specified by SFJ Awards to gain approval for knowledge-based assessment.

Training and assessment facilities must comply with the ongoing approval arrangements of SFJ Awards.

² [Condition H2 - Centre Assessment Standards Scrutiny where an assessment is marked by a Centre](#)

4.4. Trainers

Some sectors specify trainer requirements for qualification delivery, for example first aid and security. Details of any specific trainer requirements are included in this qualification handbook. Centres should therefore check the handbook, or with SFJ Awards, for any trainer requirements that apply to the qualification(s) they wish to deliver. Centres applying for approval with SFJ Awards will be required to provide SFJ Awards with current evidence of how each trainer meets the requirements, for example certificates of achievement, CV or CPD records.

5. Assessment

5.1. Qualification Assessment Methods

Assessment methods³ that can be used for the SFJ Awards Level 3 Certificate in Team Leading are as follows:

- Aural Examination
- E-assessment
- Multiple Choice Examination
- Portfolio of Evidence (including for example records of professional discussions, question and answer sessions, work products)
- Practical Demonstration / Assignment
- Practical Examination
- Task-based Controlled Assessment
- Written Examination
- Observation
- Professional Discussion
- Interview
- Presentation and Questioning
- Project

5.2. Assessing Competence

The purpose of assessing competence is to make sure that an individual is competent to carry out the activities required in their work.

Assessors gather and judge evidence during normal work activities to determine whether the learner demonstrates their competence against the standards in the qualification unit(s). Competence should be demonstrated at a level appropriate to the qualification. The skills required at the different qualification levels are defined in Ofqual's level descriptors.⁴ Further information on qualification levels is included in the SFJ Awards Assessment Guidance.

Evidence must be:

1. Valid
2. Authentic
3. Sufficient
4. Current
5. Reliable

³ Selected from assessment methods listed on Ofqual's regulatory system (Portal)

⁴ Ofqual Handbook: General Conditions of Recognition, Section E - Design and development of qualifications www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications

Assessment should be integrated into everyday work to make the most of opportunities that arise naturally within the workplace.

5.3. Methods for Assessing Competence

Qualifications may be assessed using any method, or combination of methods, as stipulated either by SFJ Awards or within specific qualifications, and which clearly demonstrate that the learning outcomes and assessment criteria have been met. Some sectors may have specific assessment requirements that apply to their qualifications and where these apply, details will be included in the qualification-specific handbook.

Assessors need to be able to select the right assessment methods for the competences that are being assessed, without overburdening the learner or the assessment process, or interfering with everyday work activities. SFJ Awards expect assessors to use a combination of different assessment methods to make a decision about an individual's occupational competence. Assessment methods which are most likely to be used are outlined below. However, these are included for guidance only and there may be other methods which are suitable. Further information on assessment methods is included in the SFJ Awards Assessment Guidance.

5.3.1 Observation

SFJ Awards believe that direct observation in the workplace by an assessor or testimony from an expert witness is preferable as it allows for authenticated, valid and reliable evidence. Where learners demonstrate their competence in a real work situation, this must be done without the intervention from a tutor, supervisor or colleague.

However, SFJ Awards recognise that alternative sources of evidence and assessment methods may have to be used where direct observation is not possible or practical.

5.3.2 Testimony of Witnesses and Expert Witnesses

Witness testimonies are an accepted form of evidence by learners when compiling portfolios. Witness testimonies can be generated by peers, line managers and other individuals working closely with the learner. Witnesses are defined as being those people who are occupationally expert in their role.

Testimony can also be provided by expert witnesses who are occupationally competent **and** familiar with the qualification unit(s). Assessors will not need to spend as long assessing expert witness testimony as they would a witness testimony from a non-expert. Therefore, if expert witnesses are involved in the assessment strategy for a qualification a greater number of learners can be managed by a smaller number of assessors.

The assessor is however responsible for making the final judgement in terms of the learner meeting the evidence requirements for the qualification unit(s).

5.3.3 Work Outputs (Product Evidence)

Examples of work outputs include plans, reports, budgets, photographs, videos or notes of an event. Assessors can use work outputs in conjunction with other assessment methods, such as observation and discussion, to confirm competence and assure authenticity of the evidence presented.

5.3.4 Professional Discussion

Discussions allow the learner to describe and reflect on their performance and knowledge in relation to the standards. Assessors can use discussions to test the authenticity, validity and reliability of a learner's evidence. Written/audio records of discussions must be maintained.

5.3.5 Questioning the Learner

Questioning can be carried out orally or in written form and used to cover any gaps in assessment or corroborate other forms of evidence. Written/audio records of all questioning must be maintained.

5.3.6 Simulations

Simulations may take place in a non-operational environment which is not the learner's workplace, for example a training centre. The units in section 3 of the handbook will specify whether simulations are allowed. Proposed simulations **must** be reviewed to ensure they are fit for purpose as part of the IQA's pre-delivery activity.

Simulations can be used when:

- the employer or assessor consider that evidence in the workplace will not be demonstrated within a reasonable timeframe
- there are limited opportunities to demonstrate competence in the workplace against all the assessment criteria
- there are health and safety implications due to the high-risk nature of the work activity
- the work activity is non-routine and assessment cannot easily be planned for
- assessment is required in more difficult circumstances than is likely to happen day to day.

Simulations must follow the principles below:

1. The nature of the contingency and the physical environment for the simulation must be realistic
2. Learners should be given no indication as to exactly what contingencies they may come across in the simulation
3. The demands on the learner during the simulation should be no more or less than they would be in a real work situation
4. Simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the specific qualification unit seeks to assess and all simulations should follow these documented plans
5. There should be a range of simulations to cover the same aspect of a unit and they should be rotated regularly.

5.4. Assessing Knowledge and Understanding

Knowledge-based assessment involves establishing what the learner knows or understands at a level appropriate to the qualification. The depth and breadth of knowledge required at the different qualification levels are defined in Ofqual's level descriptors.⁵ Further information on qualification levels is included in the SFJ Awards Assessment Guidance.

Assessments must be:

- Fair
- Robust
- Rigorous
- Authentic
- Sufficient
- Transparent
- Appropriate

Good practice when assessing knowledge includes use of a combination of assessment methods to ensure that as well as being able to recall information, the learner has a broader understanding of its application in the workplace. This ensures that qualifications are a valid measure of a learner's knowledge and understanding.

A proportion of any summative assessment may be conducted in controlled environments to ensure conditions are the same for all learners. This could include use of:

- Closed book conditions, where learners are not allowed access to reference materials

⁵ Ofqual Handbook: General Conditions of Recognition, Section E - Design and development of qualifications www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications

- Time bound conditions
- Invigilation.

Where assessment in controlled environments is considered appropriate for qualifications, or the use of specific assessment materials (for example, exemplars or scenarios) is required, information will be included in the qualification handbook.

5.5. Methods for Assessing Knowledge and Understanding

SFJ Awards expect assessors to use a variety of different assessment methods to make a decision about an individual's knowledge and understanding, which are likely to include a combination of the following:

- Written tests in a controlled environment
- Multiple choice questions (MCQs)
- Evidenced question and answer sessions with assessors
- Evidenced professional discussions
- Written assignments (including scenario-based written assignments).

Where written assessments are centre-devised and centre-assessed, centres must:

- maintain a sufficient bank of assignments which are changed regularly
- record how risks in tests/exams conducted in controlled environments are mitigated
- conduct assessments in line with SFJ Awards Examination and Invigilation Policy.

Centres must take into account the qualification when selecting knowledge assessment methods to ensure they are appropriate and allow the learner to evidence the assessment criteria. For example, MCQs are unlikely to be appropriate for higher levels qualifications or assessment criteria which require learners to 'explain', 'describe', 'evaluate' or 'analyse'.

5.6. Assessment Planning

Planning assessment allows a holistic approach to be taken, which focuses on assessment of the learner's work activity as a whole. This means that the assessment:

- reflects the skills requirements of the workplace
- saves time
- streamlines processes
- makes the most of naturally occurring evidence opportunities

Planning assessment enables assessors to track learners' progress and incorporate feedback into the learning process; assessors can therefore be sure that learners have had sufficient opportunity to acquire the skills and knowledge to perform competently and consistently to the standards before being assessed. The

assessment is therefore a more efficient, cost-effective process which minimises the burden on learners, assessors and employers.

6. Assessor Requirements

6.1. Occupational Knowledge and Competence

Due to the risk-critical nature of the work, particularly when assessing in the public and security sectors, and the legal implications of the assessment process, assessors must understand the nature and context of the learners' work. This means that assessors must be occupationally competent. Each assessor must therefore be, according to current sector practice, competent in the functions covered by the unit(s) they are assessing. They will have gained their occupational competence by working within the sector relating to the unit(s) or qualification(s) they are assessing.

Assessors must be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit(s) they are assessing as a practitioner, trainer or manager.

Where assessors are assessing knowledge-based qualifications, they must be occupationally knowledgeable in the sector they are assessing in.

6.2. Qualification Knowledge

Assessors must be familiar with the qualification unit(s) they are assessing. They must be able to interpret and make judgements on current working practices and technologies within the area of work.

6.3. Assessor Competence

Assessors must be able to make valid, reliable and fair assessment decisions. To demonstrate their competence, we expect assessors to be:

- qualified with a recognised assessor qualification, or
- working towards a recognised assessor qualification.

However, there may be circumstances when assessors have the equivalent competence through training to appropriate national standards, and SFJ Awards will agree this on a case-by-case basis.

Assessors' experience, knowledge and understanding could be verified by a combination of:

1. curriculum vitae and employer endorsement or references
2. possession of a relevant NVQ/SVQ, or vocationally related qualification
3. corporate membership of a relevant professional institution
4. interview (the verification process must be recorded and available for audit).

Recognised assessor qualifications include, but are not limited to:

- RQF/QCF Level 3 Award in Assessing Competence in the Work Environment
- RQF/QCF Level 3 Award in Assessing Vocationally Related Achievement
- RQF/QCF Level 3 Certificate in Assessing Vocationally Related Achievement
- An appropriate Assessor qualification in the SCQF as identified by SQA Accreditation
- A1 Assess candidates using a range of methods
- D32/33 Assess candidate performance, using differing sources of evidence.

Where assessors hold an older qualification e.g. D32/33 or A1, they must provide evidence of Continuing Professional Development (CPD) to demonstrate current competence.

Assessors must hold an assessor qualification, or equivalent competence if agreed by SFJ Awards, relevant to the type of qualification(s) they are assessing e.g.

- Level 3 Award in Assessing Competence in the Work Environment:
 - For assessors who assess **competence in a work environment**, which requires the use of the following assessment methods: observation, examining work products or outputs, oral questioning, discussion, use of witness testimony, learner statements and Recognition of Prior Learning (RPL).
- Level 3 Award in Assessing Vocationally Related Achievement:
 - For assessors who assess **knowledge and/or skills in vocationally related areas** using the following assessment methods: tests of skills, oral questioning, written questions, case studies, assignments, projects and RPL.

To be able to assess both knowledge and competence-based qualifications, new assessors should be working towards the **Level 3 Certificate in Assessing Vocational Achievement**.

Centres must have in place a procedure to ensure that their trainee assessors have a representative sample of their assessment decisions counter signed by a qualified and competent assessor. SFJ Awards will provide centres with guidance on the ratio of qualified/trainee assessors.

Trainee assessors working towards a qualification must be registered for the qualification with a regulated AO and achieve it within 18 months. Assessor competence will be checked through annual External Quality Assurance checks.

Centres must check the qualification handbook for assessor requirements for the qualification(s) they are approved to deliver as some sectors have different

requirements e.g. security, education and training, assessor and quality assurance, and learning and development.

Centres applying for approval with SFJ Awards will be required to provide SFJ Awards with current evidence of how each assessor meets these requirements, for example certificates of achievement. Centres who apply for approval to offer additional qualifications will be required to provide evidence of assessor competence for the qualifications they wish to offer.

6.4. Continuing Professional Development

Assessors must actively engage in continuous professional development activities to maintain:

- occupational competence and knowledge by keeping up-to-date with the changes taking place in the sector(s) for which they carry out assessments
- professional competence and knowledge as an assessor.

It is the centre's responsibility to retain the CPD information of assessors. Assessor competence and CPD will be checked by External Quality Assurers at the centre's annual compliance visit.

7. Internal Quality Assurer Requirements

7.1. Occupational Knowledge

Internal quality assurers (IQAs) must be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role. Due to the risk-critical nature of the work, particularly in the justice, community safety and security sectors, and the legal implications of the assessment process, they must understand the nature and context of the assessors' work and that of their learners. This means that they must have worked closely with staff who carry out the functions covered by the qualifications, possibly by training or supervising them, and have sufficient knowledge of these functions to be able to offer credible advice on the interpretation of the units.

7.2. Qualification Knowledge

IQAs must understand the content, structure and assessment requirements for the qualification(s) they are internal quality assuring.

Centres should provide IQAs with an induction to the qualifications that they are responsible for quality assuring. IQAs should also have access to ongoing training and updates on current issues relevant to these qualifications.

7.3. Internal Quality Assurer Competence

IQAs must occupy a position in the organisation that gives them the authority and resources to:

- coordinate the work of assessors
- provide authoritative advice
- call meetings as appropriate
- conduct pre-delivery internal quality assurance on centre assessment plans, for example, to ensure that any proposed simulations are fit for purpose
- visit and observe assessment practice
- review the assessment process by sampling assessment decisions
- ensure that assessment has been carried out by assessors who are occupationally competent, or for knowledge-based qualifications occupationally knowledgeable, in the area they are assessing
- lead internal standardisation activity
- resolve differences and conflicts on assessment decisions

To demonstrate their competence, IQAs must be:

- qualified with a recognised internal quality assurance qualification, or
- working towards a recognised internal quality assurance qualification.

However, there may be circumstances when IQAs have the equivalent competence through training to appropriate national standards, and SFJ Awards will agree this on a case-by-case basis. Recognised IQA qualifications include, but are not limited to:

- RQF/QCF Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice
- RQF/QCF Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
- An appropriate IQA qualification in the SCQF as identified by SQA Accreditation
- V1 Conduct internal quality assurance of the assessment process
- D34 Internally verify the assessment process.

Where IQAs hold an older qualification e.g. D34 or V1, they must provide evidence of Continuing Professional Development (CPD) to demonstrate current competence. Approved centres will be required to provide SFJ Awards with current evidence of how each IQA meets these requirements, for example certificates of achievement.

Centres must have in place a procedure to ensure that their trainee IQAs have a representative sample of their IQA decisions counter signed by a qualified IQA who holds a minimum of the **Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice**. SFJ Awards will provide centres with guidance on the ratio of qualified/trainee assessors.

Trainee IQAs working towards one of the above qualifications must be registered for the qualification with a regulated AO and achieve it within 18 months. IQA competence will be checked through annual External Quality Assurance checks.

7.4. Continuing Professional Development

IQAs must actively engage in continuous professional development activities to maintain:

- occupational knowledge by keeping up-to-date with the changes taking place in the sector(s) for which they carry out assessments
- professional competence and knowledge as an IQA.

Centres must check the qualification handbook for IQA requirements for the qualification(s) they are approved to deliver as some sectors have different requirements e.g. security, education and training, assessor and quality assurance, and learning and development.

8. Expert Witnesses

Expert witnesses, for example line managers and supervisors, can provide evidence that a learner has demonstrated competence in an activity. Their evidence contributes to performance evidence and has parity with assessor observation. Expert witnesses do not however perform the role of assessor.

8.1. Occupational Competence

Expert witnesses must, according to current sector practice, be competent in the functions covered by the unit(s) for which they are providing evidence.

They must be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit that they are witnessing as a practitioner, trainer or manager.

8.2. Qualification Knowledge

Expert witnesses must be familiar with the qualification unit(s) and must be able to interpret current working practices and technologies within the area of work.

9. External Quality Assurers

External quality assurance is carried out by SFJ Awards to ensure that there is compliance, validity, reliability and good practice in centres. External quality assessors (EQAs) are appointed by SFJ Awards to approve centres and to monitor the assessment and internal quality assurance carried out by centres.

SFJ Awards are responsible for ensuring that their external quality assurance team have:

- sufficient and appropriate occupational knowledge
- current experience of external quality assurance
- access to appropriate training and support.

9.1. External Quality Assurer Competence

To demonstrate their competence, EQAs must be:

- qualified with a recognised external quality assurance qualification, or
- working towards a recognised external quality assurance qualification

Relevant qualifications include:

- Level 4 Award in the External Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice

Trainee EQAs working towards one of the above qualifications must be registered for the qualification with a regulated AO and aim to achieve it within 18 months. Whilst working towards a qualification, trainee EQAs will be supported by qualified EQA and receive training, for example by shadowing the EQA on compliance visits. EQA competence will be checked and monitored by SFJ Awards.

9.2. Continuing Professional Development

EQAs must maintain their occupational and external quality assurance knowledge. They will attend training and development designed to keep them up-to-date, facilitate standardisation between staff and share good practice.

10. Standardisation

Internal and external standardisation is required to ensure the consistency of evidence, assessment decisions and qualifications awarded over time.

10.1. Internal Standardisation

IQAs should facilitate internal standardisation events for assessors to attend and participate, in order to review evidence used, make judgments, compare quality and come to a common understanding of what is sufficient.

10.2. External Standardisation

SFJ Awards will enable access to external standardisation opportunities for centres and EQAs over time.

Further information on standardisation is available in the SFJ Awards Quality Assurance (Internal and External) Guidance and the SFJ Awards [Standardisation Policy](#).

11. Recognition of Prior Learning (RPL)

Recognition of prior learning (RPL) is the process of recognising previous formal, informal or experiential learning so that the learner avoids having to repeat learning/assessment within a new qualification. RPL is a broad concept and covers a range of possible approaches and outcomes to the recognition of prior learning (including credit transfer where an Awarding Organisation has decided to attribute credit to a qualification).

The use of RPL encourages transferability of qualifications and/or units, which benefits both learners and employers. SFJ Awards support the use of RPL and centres must work to the principles included in Section 6 Assessment and Quality Assurance of the SFJ Awards Centre Handbook and outlined in SFJ Awards [Recognition of Prior Learning Policy](#).

12. Equality and Diversity

Centres must comply with legislation and the requirements of the RQF relating to equality and diversity. There should be no barriers to achieving a qualification based on:

- Age
- Disability
- Gender
- Gender reassignment
- Marriage and civil partnerships
- Pregnancy and maternity
- Race
- Religion and belief
- Sexual orientation

Reasonable adjustments are made to ensure that learners who are disabled or who have additional learning needs are not disadvantaged in any way. Learners must declare their needs prior to the assessment and all necessary reasonable adjustment arrangements must have been approved by SFJ Awards and implemented before the time of their assessment.

All cases where reasonable adjustment has been used must be fully documented, made available for external quality assurance and retained for a minimum of 3 years.

Further information is available in the SFJ Awards [Reasonable Adjustments and Special Considerations Policy](#) and the SFJ Awards [Equality of Opportunity Policy](#).

SFJ Awards will conduct Equality Impact Assessments in the design and development of qualifications to minimise as far as possible any impact on learners with a protected characteristic, disability or additional learning needs.

13. Health and Safety

SFJ Awards are committed to safeguarding and promoting the welfare of learners, employees and volunteers and expect everyone to share this commitment.

SFJ Awards foster an open and supportive culture to encourage the safety and well-being of employees, learners and partner organisations to enable:

- learners to thrive and achieve
- employees, volunteers and visitors to feel secure
- everyone to feel assured that their welfare is a high priority.

Assessment of competence-based qualifications in some sectors can carry a high-risk level due to the nature of some roles. Centres must therefore ensure that due regard is taken to assess and manage risk and have procedures in place to ensure that:

- qualifications can be delivered safely with risks to learners and those involved in the assessment process minimised as far as possible
- working environments meet relevant health and safety requirements.

Copyright

The content of this document is, unless otherwise indicated, Copyright © SFJ Awards and may not be copied, revised, reproduced or distributed, without prior written consent from SFJ Awards. However, approved SFJ Awards centres may use and reproduce this document free of charge when teaching/assessing learners working towards SFJ Awards qualifications, or for SFJ Awards related administration purposes. Learners may copy the document for their own use.



SFJ Awards
Consult House
4 Hayland Street
Sheffield S9 1BY
Tel: 0114 284 1970
sfjawards.com

