



# **SFJ Awards Level 3 Certificate in Management Skills**



# Qualification Handbook

## SFJ Awards Level 3 Certificate in Management Skills

Qualification Number: 603/4769/7

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# 1 Introduction

## 1.1 About us

SFJ Awards is part of the Workforce Development Trust, together with Skills for Justice and Skills for Health. For over 10 years **Skills for Health** and **Skills for Justice** have been working with employers, Governments of the UK and agencies within the skills system, to better equip workforces with the right skills now and for the future.

During this time both Skills for Health and Skills for Justice have earned an enviable reputation for their knowledge of the health and justice sectors and their proactive approach to the development of skills and qualifications, along with an ability to deliver genuinely workable solutions for the employers they represent.

SFJ Awards is an awarding organisation that builds upon this reputation. We work with employers in the policing, community safety, legal, armed forces and health sectors and understand their specific challenges, enabling us to quality assure learning outcomes that are suited to the needs of the sectors.

Customer satisfaction is the cornerstone of our organisation, and is delivered through an efficient service, providing excellent value for money.

## 1.2 Customer Service Statement

Our Customer Service Statement is published on 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

E-mail: [info@sfjawards.com](mailto:info@sfjawards.com)

Website: [www.sfjawards.com](http://www.sfjawards.com)

## 2 The Qualification

### 2.1 Qualification objective

This handbook relates to the following qualification:

SFJ Awards Level 3 Certificate in Management Skills

The main objective of this qualification is to provide the knowledge and skills required to undertake management roles such as section manager, first line manager, assistant manager, trainee manager or senior supervisor.

### 2.2 Pre-entry requirements

There are no pre-entry requirements for enrolling to complete this qualification.

### 2.3 Qualification structure

This qualification is made up of 2 mandatory units and a range of optional units to allow selection of those appropriate to the context.

To be awarded this qualification the learner must achieve a total of 28 credits:

- 7 credits from the mandatory group
- a minimum of 21 credits from the optional groups
- a maximum of 13 credits from optional group C are allowed

Mandatory Group A					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
A/506/1821	869	Manage team performance	3	21	4
T/506/2952	1041	Manage personal and professional development	3	12	3

Optional Group B					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
J/617/6478	1395	Plan, allocate and monitor work of a team	3	25	5
A/617/4419	1369	Principles of leadership and management	3	40	6
D/506/1942	1039	Principles of business	3	74	10
M/617/4420	1370	Principles of people management	3	26	5
T/600/9730	512	Manage knowledge in own area of responsibility	3	15	4
T/617/4421	1371	Develop working relationships with colleagues	3	25	4
T/506/1820	868	Promote equality, diversity and inclusion in the workplace	3	15	3
J/506/1921	870	Manage individuals' performance	3	20	4
L/506/1922	1042	Manage individuals' development in the workplace	3	10	3
F/600/9715	511	Make effective decisions	3	10	3
Y/506/1924	871	Chair and lead meetings	3	10	3
K/506/1927	872	Manage conflict within a team	3	25	5
M/506/1928	873	Procure products and/or services	3	35	5
T/506/1929	1043	Implement change	3	28	5

Optional Group B					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
K/506/1930	1044	Implement and maintain business continuity plans and processes	3	25	4
M/506/1931	874	Collaborate with other departments	3	14	3
A/506/1933	1045	Support remote or virtual teams	3	18	4
F/506/1934	875	Participate in a project	3	19	3
J/506/2292	876	Encourage innovation	3	14	4

Optional Group C					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
D/506/1911	1061	Contribute to the improvement of business performance	3	33	6
H/506/1912	885	Negotiate in a business environment	3	18	4
K/506/1913	886	Develop a presentation	3	11	3
M/506/1914	887	Deliver a presentation	3	17	3
A/506/1916	1062	Contribute to the development and implementation of an information system	3	21	6
K/506/2169	1063	Resolve customers' problems	3	19	4
R/506/2151	888	Resolve customers' complaints	3	22	4

Optional Group C					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
D/506/2170	905	Gather, analyse and interpret customer feedback	3	24	5
F/507/9527	1173	Provide leadership and direction for own area of responsibility	4	30	5
L/617/6479	1394	Know how to follow disciplinary procedures	4	20	4
L/600/9619	610	Manage risk in own area of responsibility	4	25	4

## 2.4 Total Qualification Time (TQT)

Values for Total Qualification Time<sup>1</sup>, 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
- 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

<sup>1</sup> Total Qualification Time, Ofqual November 2018

<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

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

Qualification Title	TQT	GLH
SFJ Awards Level 3 Certificate in Management Skills	280	121

## **2.4 Age restriction**

This qualification is available to learners aged 16 years and over.

## **2.5 Opportunities for progression**

This qualification creates a number of opportunities for progression into a range of business and management related qualifications and employment in a management role.

## **2.6 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 [www.sfjawards.com](http://www.sfjawards.com) or on request from SFJ Awards.

# 3 Qualification Units

## Mandatory Group A

<b>Title</b>	Manage team performance	
<b>Level</b>	3	
<b>Unit Number</b>	A/506/1821	
<b>Credit Value</b>	4	
<b>GLH</b>	21	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the management of team performance	1.1 Explain the use of benchmarks in managing performance 1.2 Explain a range of quality management techniques to manage team performance 1.3 Describe constraints on the ability to amend priorities and plans	
2. Be able to allocate and assure the quality of work	2.1 Identify the strengths, competences and expertise of team members 2.2 Allocate work on the basis of the strengths, competences and expertise of team members 2.3 Identify areas for improvement in team members' performance outputs and standards 2.4 Amend priorities and plans to take account of changing circumstances 2.5 Recommend changes to systems and processes to improve the quality of work	
3. Be able to manage communications within a team	3.1 Explain to team members the lines of communication and authority levels 3.2 Communicate individual and team objectives, responsibilities and priorities 3.3 Use communication methods that are appropriate to the topics, audience and timescales 3.4 Provide support to team members when they need it	

	3.5 Agree with team members a process for providing feedback on work progress and any issues arising
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<b>Title</b>	Manage personal and professional development	
<b>Level</b>	3	
<b>Unit Number</b>	T/506/2952	
<b>Credit Value</b>	3	
<b>GLH</b>	12	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to identify personal and professional development requirements	1.1	Compare sources of information on professional development trends and their validity
	1.2	Identify trends and developments that influence the need for professional development
	1.3	Evaluate their own current and future personal and professional development needs relating to the role, the team and the organisation
2. Be able to fulfil a personal and professional development plan	2.1	Evaluate the benefits of personal and professional development
	2.2	Explain the basis on which types of development actions are selected
	2.3	Identify current and future likely skills, knowledge and experience needs using skills gap analysis
	2.4	Agree a personal and professional development plan that is consistent with business needs and personal objectives
	2.5	Execute the plan within the agreed budget and timescale
3. Be able to maintain the relevance of a personal and professional development plan	3.1	Explain how to set specific, measurable, achievable, realistic and time-bound (SMART) objectives
	3.2	Obtain feedback on performance from a range of valid sources
	3.3	Review progress toward personal and professional objectives
	3.4	Amend the personal and professional development plan in the light of feedback received from others

## Optional Group B

<b>Title</b>	Plan, allocate and monitor work of a team	
<b>Level</b>	3	
<b>Unit Number</b>	J/617/6478	
<b>Credit Value</b>	5	
<b>GLH</b>	35	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
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	
2. Be able to allocate work across a team	2.1 Discuss team plans with a team 2.2 Agree work allocation and SMART (Specific, Measurable, Achievable, Realistic and Time-bound) objectives with team member 2.3 Agree standard of work required by team	
3. Be able to manage team members to achieve team objectives	3.1 Support all team members in order to achieve team objectives 3.2 Recognise team members' achievement of objectives and agreed standards 3.3 Identify potential areas of conflict within a team 3.4 Take steps to minimise the potential for conflict within the limits of own role 3.5 Identify causes for team members not meeting team objectives	
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 4.3 Implement identified ways of improving team performance	

<b>Title</b>	Principles of leadership and management	
<b>Level</b>	3	
<b>Unit Number</b>	A/617/4419	
<b>Credit Value</b>	6	
<b>GLH</b>	40	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles of effective decision making	1.1 Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken 1.2 Assess the importance of analysing the potential impact of decision making 1.3 Explain the importance of obtaining sufficient valid information to enable effective decision making 1.4 Explain the importance of aligning decisions with business objectives, values and policies 1.5 Explain how to validate information used in the decision-making process 1.6 Explain how to address issues that hamper the achievement of targets and quality standards	
2. Understand leadership styles and models	2.1 Explain the difference in the influence of managers and leaders on their teams 2.2 Evaluate the suitability and impact of different leadership styles in different contexts 2.3 Analyse theories and models of motivation and their application in the workplace	
3. Understand the role, functions and processes of management	3.1 Analyse a manager's responsibilities for planning, coordinating and controlling work 3.2 Explain how managers ensure that team objectives are met 3.3 Explain how a manager's role contributes to the achievement of an organisation's vision, mission and objectives 3.4 Analyse theories and models of management 3.5 Explain how the application of management theories guide a manager's actions	

	3.6 Explain the operational constraints imposed by budgets
4. Understand performance measurement	4.1 Explain the relationship between business objectives and performance measures 4.2 Explain the features of a performance measurement processes 4.3 Explain how to set key performance indicators (KPIs)

<b>Title</b>	Principles of business	
<b>Level</b>	3	
<b>Unit Number</b>	D/506/1942	
<b>Credit Value</b>	10	
<b>GLH</b>	74	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand business markets	1.1	Explain the characteristics of different business markets
	1.2	Explain the nature of interactions between businesses within a market
	1.3	Explain how an organisation's goals may be shaped by the market in which it operates
	1.4	Describe the legal obligations of a business
2. Understand business innovation and growth	2.1	Define business innovation
	2.2	Explain the uses of models of business innovation
	2.3	Identify sources of support and guidance for business innovation
	2.4	Explain the process of product or service development
	2.5	Explain the benefits, risks and implications associated with innovation
3. Understand financial management	3.1	Explain the importance of financial viability for an organisation
	3.2	Explain the consequences of poor financial management
	3.3	Explain different financial terminology
4. Understand business budgeting	4.1	Explain the uses of a budget
	4.2	Explain how to manage a budget
5. Understand sales and marketing	5.1	Explain the principles of marketing
	5.2	Explain a sales process
	5.3	Explain the features and uses of market research
	5.4	Explain the value of a brand to an organisation
	5.5	Explain the relationship between sales and marketing

<b>Title</b>	Principles of people management	
<b>Level</b>	3	
<b>Unit Number</b>	M/617/4420	
<b>Credit Value</b>	5	
<b>GLH</b>	26	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles of workforce planning	1.1	Explain the purpose and benefits of workforce planning
	1.2	Explain the workforce planning process
2. Understand equality, diversity and inclusion	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
3. Understand team building and dynamics	3.1	Explain the difference between a group and a team
	3.2	Summarise the characteristics of an effective team
	3.3	Explain the techniques of building a team
	3.4	Explain the stages of team development
	3.5	Explain techniques to motivate team members
	3.6	Explain the importance of communicating targets and objectives to a team
	3.7	Explain common causes of conflict within a team
	3.8	Explain techniques to manage conflict within a team
4. Understand performance management	4.1	Identify the characteristics of an effective performance management processes
	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

<p>5. Understand training and development</p>	<p>5.1 Explain the benefits of employee development</p> <p>5.2 Explain the advantages and limitations of different types of training and development methods</p> <p>5.3 Explain the role of targets, objectives and feedback in employee development</p> <p>5.4 Explain how personal development plans support the training and development of individuals</p> <p>5.5 Explain how to make use of planned and unplanned learning opportunities to meet individuals' preferred learning styles</p> <p>5.6 Explain how to support individuals' learning and development</p>
<p>6. Understand motivation and reward in the workplace</p>	<p>6.1 Summarise motivation models</p> <p>6.2 Analyse the relationship between motivation and reward</p>

<b>Title</b>	Manage knowledge in own area of responsibility	
<b>Level</b>	3	
<b>Unit Number</b>	T/600/9730	
<b>Credit Value</b>	4	
<b>GLH</b>	15	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to understand existing knowledge management in own area of responsibility	1.1 Describe how knowledge is gained and applied in own area of responsibility	1.2 Explain how knowledge is shared in own area of responsibility
	1.3 Outline how intellectual property is protected in own area of responsibility	
2. Be able to develop knowledge	2.1 Identify established processes and procedures which can develop knowledge	2.2 Explain how to support individuals to ensure knowledge development processes are followed
3. Be able to share knowledge	3.1 Communicate established processes and procedures which share knowledge across own area of responsibility	3.2 Explain how to support individuals to ensure knowledge-sharing processes are followed
4. Be able to monitor and evaluate knowledge management in own area of responsibility	4.1 Assess the knowledge development process in own area of responsibility	4.2 Implement any changes to improve knowledge management
	4.3 Monitor change and development in the knowledge development process	

<b>Title</b>	Develop working relationships with colleagues	
<b>Level</b>	3	
<b>Unit Number</b>	T/617/4421	
<b>Credit Value</b>	4	
<b>GLH</b>	25	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the benefits of working with colleagues	1.1	Explain the benefits of productive working relationships
	1.2	Clarify how to agree a common sense of purpose with colleagues
	1.3	Summarise how to create an environment of trust and mutual respect with colleagues
2. Be able to establish working relationships with colleagues	2.1	Identify colleagues within own and other organisations
	2.2	Agree the roles and responsibilities with colleagues
	2.3	Establish working relationships with colleagues
3. Be able to act in a professional and respectful manner when working with colleagues	3.1	Explain how to display behaviour that shows professionalism
	3.2	Act in a professional manner
	3.3	Interact with colleagues that allows respect for the views and actions of others
4. Be able to communicate with colleagues	4.1	Communicate information to others clearly and concisely
	4.2	Explain how to receive and clarify own understanding of information
5. Be able to identify potential work-related difficulties and explore solutions	5.1	Identify potential work-related difficulties and conflicts of interest
	5.2	Explain how to resolve identified potential difficulties

<b>Title</b>	Promote equality, diversity and inclusion in the workplace	
<b>Level</b>	3	
<b>Unit Number</b>	T/506/1820	
<b>Credit Value</b>	3	
<b>GLH</b>	15	
<b>Learning Outcomes</b> <i>The learner will:</i>		<b>Assessment Criteria</b> <i>The learner can:</i>
1. Understand the organisational aspects of equality, diversity and inclusion in the workplace		1.1 Explain the difference between equality, diversity and inclusion 1.2 Explain the impact of equality, diversity and inclusion across aspects of organisational policy 1.3 Explain the potential consequences of breaches of equality legislation 1.4 Describe nominated responsibilities within an organisation for equality, diversity and inclusion
2. Understand the personal aspects of equality, diversity and inclusion in the workplace		2.1 Explain the different forms of discrimination and harassment 2.2 Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace 2.3 Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace
3. Be able to support equality, diversity and inclusion in the workplace		3.1 Ensure colleagues are aware of their responsibilities for equality, diversity and inclusion in the workplace 3.2 Identify potential issues relating to equality, diversity and inclusion in the workplace 3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when supporting equality, diversity and inclusion in the workplace

<b>Title</b>	Manage individuals' performance	
<b>Level</b>	3	
<b>Unit Number</b>	J/506/1921	
<b>Credit Value</b>	4	
<b>GLH</b>	20	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the management of underperformance in the workplace	1.1 Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance 1.2 Explain how to identify causes of underperformance 1.3 Explain the purpose of making individuals aware of their underperformance clearly but sensitively 1.4 Explain how to address issues that hamper individuals' performance 1.5 Explain how to agree a course of action to address underperformance	
2. Be able to manage individuals' performance in the workplace	2.1 Agree with team members specific, measurable, achievable, realistic and time-bound (SMART) objectives that align to organisational objectives 2.2 Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs 2.3 Apply motivation techniques to maintain morale 2.4 Provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards 2.5 Monitor individuals' progress towards objectives in accordance with agreed plans 2.6 Recognise individuals' achievement of targets and quality standards 2.7 Adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace	

<b>Title</b>	Manage individuals' development in the workplace	
<b>Level</b>	3	
<b>Unit Number</b>	L/506/1922	
<b>Credit Value</b>	3	
<b>GLH</b>	10	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to carry out performance appraisals	1.1 Explain the purpose of performance reviews and appraisals 1.2 Explain techniques to prepare for and carry out appraisals 1.3 Provide a private environment in which to carry out appraisals 1.4 Carry out performance reviews and appraisals in accordance with organisational policies and procedures 1.5 Provide clear, specific and evidence-based feedback sensitively 1.6 Agree future actions that are consistent with appraisal findings and identified development needs	
2. Be able to support the learning and development of individual team members	2.1 Describe training techniques that can be applied in the workplace 2.2 Analyse the advantages and disadvantages of learning and development interventions and methods 2.3 Explain organisational learning and development policies and resource availability 2.4 Review individuals' learning and development needs at regular intervals 2.5 Suggest learning and development opportunities and interventions that are likely to meet individual and business needs	

<b>Title</b>	Make effective decisions	
<b>Level</b>	3	
<b>Unit Number</b>	F/600/9715	
<b>Credit Value</b>	3	
<b>GLH</b>	10	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to identify 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
2. Be able to collect information to inform decision-making	2.1	Identify information needed to inform the decision-making process
	2.2	Communicate with stakeholders affected by the decision
	2.3	Explain how to inform stakeholders about the decision-making process
3. Be able to analyse information to inform decision-making	3.1	Identify information for validity and relevance to the decision-making process
	3.2	Analyse information against established criteria
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

<b>Title</b>	Chair and lead meetings	
<b>Level</b>	3	
<b>Unit Number</b>	Y/506/1924	
<b>Credit Value</b>	3	
<b>GLH</b>	10	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
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 Follow business conventions in the conduct of a meeting 2.2 Facilitate meetings so that everyone is involved, and the optimum possible consensus is achieved 2.3 Manage the agenda within the timescale of the meeting 2.4 Summarise the agreed actions, allocated responsibilities, timescales and any future arrangements	
3. Be able to deal with post-meeting matters	3.1 Take action to ensure that accurate records of a meeting are produced and distributed in the agreed format and timescale 3.2 Take action to ensure that post-meeting actions are completed 3.3 Evaluate the effectiveness of a meeting and identify points for future improvement	

<b>Title</b>	Manage conflict within a team	
<b>Level</b>	3	
<b>Unit Number</b>	K/506/1927	
<b>Credit Value</b>	5	
<b>GLH</b>	25	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles of conflict management	1.1	Evaluate the suitability of different methods of conflict management in different situations
	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 their 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, legal and ethical requirements when dealing with conflict within a team
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<b>Title</b>	Procure products and/or services	
<b>Level</b>	3	
<b>Unit Number</b>	M/506/1928	
<b>Credit Value</b>	5	
<b>GLH</b>	35	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to identify procurement requirements	1.1 Explain current and likely future procurement requirements 1.2 Decide whether the purchase of products and/or services offers the organisation best value 1.3 Evaluate ethical and sustainability considerations relating to procurement 1.4 Justify the decision to buy products and/or services with evidence of an analysis of risk, costs and benefits	
2. Be able to select suppliers	2.1 Explain the factors to be taken into account in selecting suppliers 2.2 Explain organisational procurement policies, procedures and standards 2.3 Explain the effect of supplier choice on the supply chain 2.4 Use appropriate media to publicise procurement requirements 2.5 Confirm the capability and track record of suppliers and their products and/or services 2.6 Select suppliers that meet the procurement specification	
3. Be able to buy products and/or services	3.1 Explain the action to be taken in the event of problems arising 3.2 Agree contract terms that are mutually acceptable within their own scope of authority 3.3 Record agreements made, stating the specification, contract terms and any post-contract requirements 3.4 Adhere to organisational policies and procedures, legal and ethical requirements	

<b>Title</b>	Implement change	
<b>Level</b>	3	
<b>Unit Number</b>	T/506/1929	
<b>Credit Value</b>	5	
<b>GLH</b>	28	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles of change management	1.1	Explain the importance of effective leadership when implementing change
	1.2	Explain the role of internal and external stakeholders in the management of change
	1.3	Evaluate the suitability of change management models for different contexts
	1.4	Explain how to assess the business risks associated with change
	1.5	Assess the need for contingency planning when implementing change
	1.6	Assess the need for crisis management when implementing change
	1.7	Explain the different types of barriers to change and how to deal with these
	1.8	Explain how to evaluate change management projects
2. Be able to plan the implementation of change	2.1	Explain the need for change
	2.2	Explain the potential consequences of not implementing change
	2.3	Explain the roles and responsibilities of a change management project team
	2.4	Develop a plan that includes specific, measurable, achievable, realistic and time-bound (SMART) objectives and resources
	2.5	Brief team members on their roles and responsibilities and the objectives of the change
	2.6	Gain acceptance to the need for change from team members and other stakeholders

<p>3. Be able to manage the implementation of a change plan</p>	<p>3.1 Explain organisational escalation processes for reporting problems</p> <p>3.2 Analyse the advantages and disadvantages of monitoring techniques</p> <p>3.3 Implement the plan within the agreed timescale</p> <p>3.4 Provide support to team members and other stakeholders according to identified needs</p> <p>3.5 Monitor the progress of the implementation against the plan</p> <p>3.6 Manage problems in accordance with contingency plans</p>
<p>4. Be able to evaluate the effectiveness of the implementation of change plans</p>	<p>4.1 Assess the suitability of techniques used to analyse the effectiveness of change</p> <p>4.2 Collate valid feedback and information from stakeholders</p> <p>4.3 Analyse feedback and information against agreed criteria</p> <p>4.4 Identify areas for future improvement</p> <p>4.5 Communicate the lessons learned with those who may benefit</p>

<b>Title</b>	Implement and maintain business continuity plans and processes	
<b>Level</b>	3	
<b>Unit Number</b>	K/506/1930	
<b>Credit Value</b>	4	
<b>GLH</b>	25	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to plan for the implementation of business continuity plans and processes	1.1 Describe the components of a business continuity plan 1.2 Explain the uses of a business continuity plan 1.3 Explain the features of different business continuity planning models 1.4 Explain the potential consequences of inadequate business continuity plans and processes 1.5 Confirm the required aim, scope and objectives of business continuity plans 1.6 Engage stakeholders in developing business continuity plans and processes 1.7 Identify business-critical products and/or services and the activities and resources that support them	
2. Be able to implement business continuity plans and processes	2.1 Develop a framework for business continuity management 2.2 Recommend resources that are proportionate to the potential impact of business disruption 2.3 Communicate the importance and requirements of business continuity plans and processes to stakeholders 2.4 Meet their own objectives within the plan	
3. Be able to maintain the fitness for purpose of on-going business continuity plans and processes	3.1 Provide training for staff who may be affected 3.2 Validate and test the strength of business continuity plans and processes 3.3 Update plans and processes in the light of feedback from business continuity exercises and other sources of information	

<b>Title</b>	Collaborate with other departments	
<b>Level</b>	3	
<b>Unit Number</b>	M/506/1931	
<b>Credit Value</b>	3	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
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 their 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	
2. Be able to identify opportunities for collaboration with other departments	2.1 Analyse 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 Service Level Agreements (SLAs), objectives and priorities of collaborative arrangements 3.2 Work with other departments in a way that contributes to the achievement of organisational objectives	

<b>Title</b>	Support remote or virtual teams	
<b>Level</b>	3	
<b>Unit Number</b>	A/506/1933	
<b>Credit Value</b>	4	
<b>GLH</b>	18	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to assess the support needed by remote or virtual teams	1.1 Identify the resource requirements for providing communication tools and processes for remote or virtual working 1.2 Specify effective tools and processes that are capable of supporting remote or virtual teams 1.3 Identify processes and systems that will enable people to connect to information and knowledge remotely and securely 1.4 Plan how to assure the safety of staff in remote teams	
2. Be able to support remote or virtual teams	2.1 Provide guidelines, training, information and coaching to support remote or virtual teams 2.2 Identify areas for improvement from monitoring processes and information 2.3 Facilitate interactive collaboration amongst stakeholders 2.4 Take action to ensure that team members adhere to regulatory, professional and commercial requirements 2.5 Take action to ensure that data security and confidentiality issues arising from remote or virtual working are addressed 2.6 Take action to ensure that records management issues arising from remote or virtual working are addressed	

<b>Title</b>	Participate in a project	
<b>Level</b>	3	
<b>Unit Number</b>	F/506/1934	
<b>Credit Value</b>	3	
<b>GLH</b>	19	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand how to manage a project	1.1 Explain the features of a project business case 1.2 Explain the stages of a project lifecycle 1.3 Explain the roles of people involved in a project 1.4 Explain the uses of project-related information 1.5 Explain the advantages and limitations of different project monitoring techniques 1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources	
2. Be able to support the delivery of a project	2.1 Fulfil their role in accordance with a project plan 2.2 Collect project-related information in accordance with project plans 2.3 Use appropriate tools to analyse project information 2.4 Report on information analysis in the agreed format and timescale 2.5 Draw issues, anomalies and potential problems to the attention of project managers 2.6 Adhere to organisational policies and procedures, legal and ethical requirements in supporting the delivery of a project	

<b>Title</b>	Encourage innovation	
<b>Level</b>	3	
<b>Unit Number</b>	J/506/2292	
<b>Credit Value</b>	4	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to identify opportunities for innovation	1.1 Analyse the advantages and disadvantages of techniques used to generate ideas 1.2 Explain how innovation benefits an organisation 1.3 Explain the constraints on their own ability to make changes 1.4 Agree with stakeholders, terms of reference and criteria for evaluating potential innovation and improvement 1.5 Engage team members in finding opportunities to innovate and suggest improvements 1.6 Monitor performance, products and/or services and developments in areas that may benefit from innovation 1.7 Analyse valid information to identify opportunities for innovation and improvement	
2. Be able to generate and test ideas for innovation and improvement	2.1 Generate ideas for innovation or improvement that meet the agreed criteria 2.2 Test selected ideas that meet viability criteria 2.3 Evaluate the fitness for purpose and value of the selected ideas 2.4 Assess potential innovations and improvements against the agreed evaluation criteria	
3. Be able to implement innovative ideas and improvements	3.1 Explain the risks of implementing innovative ideas and improvements 3.2 Justify conclusions of efficiency and value with evidence 3.3 Prepare costings and schedules of work that will enable efficient implementation 3.4 Design processes that support efficient implementation	

## Optional Group C

<b>Title</b>	Contribute to the improvement of business performance	
<b>Level</b>	3	
<b>Unit Number</b>	D/506/1911	
<b>Credit Value</b>	6	
<b>GLH</b>	33	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles of resolving business problems	1.1	Explain the use of different problem-solving techniques
	1.2	Explain the organisational and legal constraints relating to problem-solving
	1.3	Describe the role of stakeholders in problem-solving
	1.4	Describe the steps in the business decision-making process
	1.5	Analyse the implications of adopting recommendations and implementing decisions to solve business problems
2. Understand improvement techniques and processes	2.1	Describe the purpose and benefits of continuous improvement
	2.2	Analyse the features, use and constraints of different continuous improvement techniques and models
	2.3	Explain how to carry out a cost-benefit analysis
	2.4	Explain the importance of feedback from customers and other stakeholders in continuous improvement
3. Be able to solve problems in business	3.1	Identify the nature, likely cause and implications of a problem
	3.2	Evaluate the scope and scale of a problem
	3.3	Analyse the possible courses of action that can be taken in response to a problem
	3.4	Use evidence to justify the approach to problem-solving
	3.5	Develop a plan and success criteria that are appropriate to the nature and scale of a problem

	<p>3.6 Obtain approval to implement a solution to a problem</p> <p>3.7 Take action to resolve or mitigate a problem</p> <p>3.8 Evaluate the degree of success and scale of the implications of a solved problem</p>
4. Be able to contribute to the improvement of activities	<p>4.1 Identify the nature, scope and scale of possible contributions to continuous improvement activities</p> <p>4.2 Measure changes achieved against existing baseline data</p> <p>4.3 Calculate performance measures relating to cost, quality and delivery</p> <p>4.4 Justify the case for adopting improvements identified with evidence</p> <p>4.5 Develop standard operating procedures and resource plans that are capable of implementing agreed changes</p>

<b>Title</b>	Negotiate in a business environment	
<b>Level</b>	3	
<b>Unit Number</b>	H/506/1912	
<b>Credit Value</b>	4	
<b>GLH</b>	18	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles underpinning negotiation	1.1 Describe the requirements of a negotiation strategy 1.2 Explain the use of different negotiation techniques 1.3 Explain how research on the other party can be used in negotiations 1.4 Explain how cultural differences might affect negotiations	
2. Be able to prepare for business negotiations	2.1 Identify the purpose, scope and objectives of the negotiation 2.2 Explain the scope of their own authority for negotiating 2.3 Prepare a negotiating strategy 2.4 Prepare fall-back stances and compromises that align with the negotiating strategy and priorities 2.5 Assess the likely objectives and negotiation stances of the other party 2.6 Research the strengths and weaknesses of the other party	
3. Be able to carry out business negotiations	3.1 Carry out negotiations within responsibility limits in a way that optimises opportunities 3.2 Adapt the conduct of the negotiation in accordance with changing circumstances 3.3 Maintain accurate records of negotiations, outcomes and agreements made 3.4 Adhere to organisational policies and procedures, and legal and ethical requirements when carrying out business negotiations	

<b>Title</b>	Develop a presentation	
<b>Level</b>	3	
<b>Unit Number</b>	K/506/1913	
<b>Credit Value</b>	3	
<b>GLH</b>	11	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the principles underpinning the delivery of presentations	1.1	Analyse the advantages and limitations of different methods of, and media for, making presentations
	1.2	Explain how the type and size of the audience affects the delivery of a presentation
	1.3	Explain the factors to be taken into account in developing contingency plans when delivering presentations
	1.4	Explain voice projection and timing techniques when delivering presentations
	1.5	Explain the factors to be taken into account in responding to questions from an audience
	1.6	Explain different methods for evaluating the effectiveness of a presentation
2. Be able to prepare to deliver a presentation	2.1	Confirm the layout of the venue and correct functioning of equipment and resources prior to making a presentation
	2.2	Develop contingency plans for potential equipment and resource failure
	2.3	Take action to ensure that the presentation fits the time slot available
3. Be able to deliver a presentation	3.1	Speak clearly and confidently, using language that is appropriate for the topic and the audience
	3.2	Vary their voice tone, pace and volume appropriately when delivering a presentation
	3.3	Use body language in a way that reinforces messages
	3.4	Use equipment and resources effectively when delivering a presentation
	3.5	Deliver a presentation within the agreed timeframe

	<p>3.6 Respond to questions in a way that meets the audience's needs</p> <p>3.7 Evaluate the effectiveness of a presentation</p>
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<b>Title</b>	Deliver a presentation	
<b>Level</b>	3	
<b>Unit Number</b>	M/506/1914	
<b>Credit Value</b>	3	
<b>GLH</b>	17	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand how to develop a presentation	1.1 Explain best practice in developing presentations 1.2 Explain who needs to be consulted on the development of a presentation 1.3 Explain the factors to be taken into account in developing a presentation 1.4 Analyse the advantages and limitations of different communication media	
2. Be able to develop a presentation	2.1 Identify the purpose, content, style, timing and audience for a presentation 2.2 Select a communication media that is appropriate to the nature of a presentation, message and audience 2.3 Tailor a presentation to fit the timescale and audience's needs 2.4 Prepare a presentation that is logically structured, summarises the content and addresses the brief 2.5 Take action to ensure that a presentation adheres to organisational guidelines and policies 2.6 Develop materials that support the content of a presentation	

<b>Title</b>	Contribute to the development and implementation of an information system	
<b>Level</b>	3	
<b>Unit Number</b>	A/506/1916	
<b>Credit Value</b>	6	
<b>GLH</b>	21	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the design and implementation of an information system	1.1	Explain the types of information to be managed by a system
	1.2	Explain how information will be used and by whom
	1.3	Explain who needs to be consulted in the design and implementation of an information system and why
	1.4	Explain the impact of legal and organisational security and confidentiality requirements for the design and implementation of an information system
2. Be able to contribute to the development of an information system	2.1	Confirm the purpose, use and features of an information system
	2.2	Identify the information that will be managed by the system
	2.3	Confirm requirements for reporting information
	2.4	Recommend the functions that will be used to manipulate and report information
	2.5	Develop guidance for the use of an information system that is accurate and easy to understand
	2.6	Recommend user access and security levels for the information system
	2.7	Make contributions to the development of an information system that are consistent with business objectives and values and within budgetary constraints
	2.8	Participate in system tests in accordance with the specification

<p>3. Be able to contribute to the implementation of an information system</p>	<p>3.1 Implement the information system in accordance with the plan, minimising disruption to business</p> <p>3.2 Confirm that staff are trained to use the system prior to its launch</p> <p>3.3 Resolve or report problems or faults with the information system within the limits of their own authority</p> <p>3.4 Adhere to organisational policies and procedures, and legal and ethical requirements in the implementation of an information system</p>
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<b>Title</b>	Resolve customers' problems	
<b>Level</b>	3	
<b>Unit Number</b>	K/506/2169	
<b>Credit Value</b>	4	
<b>GLH</b>	19	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the monitoring and resolution of customers' problems	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	
2. Be able to deal with customers' problems	2.1 Confirm the nature and cause of customers' problems 2.2 Explain when customers' problems should be treated as complaints 2.3 Explain the benefits to customers and the organisation of the options available to solve problems 2.4 Explain the drawbacks to customers and the organisation of the options available to solve problems 2.5 Explain to customers the options for resolving their problems 2.6 Agree solutions that meet customers' and organisational requirements within their own levels of authority 2.7 Inform colleagues of the nature of problems and actions taken 2.8 Evaluate the effectiveness of the resolution of customers' problems 2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' problems	

<b>Title</b>	Resolve customers' complaints	
<b>Level</b>	3	
<b>Unit Number</b>	R/506/2151	
<b>Credit Value</b>	4	
<b>GLH</b>	22	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand the monitoring and resolution of customers' complaints	1.1 Assess the suitability of a range of monitoring techniques for customers' complaints 1.2 Explain how to identify those complaints that should prompt a review of the service offer and service delivery 1.3 Explain negotiating techniques used to resolve customers' complaints 1.4 Explain conflict management techniques used in dealing with upset customers 1.5 Explain organisational procedures for dealing with customer complaints 1.6 Explain when to escalate customers' complaints 1.7 Explain the cost and regulatory implications of admitting liability on the basis of a customer complaint 1.8 Explain the advantages and limitations of offering compensation or replacement products and/or services	
2. Be able to deal with customers' complaints	2.1 Confirm the nature, cause and implications of customers' complaints 2.2 Take personal responsibility for dealing with complaints 2.3 Communicate in a way that recognises customers' problems and understands their points of view 2.4 Explain the advantages and limitations of different complaint response options to customers 2.5 Explain the advantages and limitations of different complaint response options to the organisation 2.6 Keep customers informed of progress	

	<p>2.7 Agree solutions with customers that address the complaint, and which are within the limits of their own authority</p> <p>2.8 Record the outcome of the handling of complaints for future reference</p> <p>2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers' complaints</p>
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<b>Title</b>	Gather, analyse and interpret customer feedback	
<b>Level</b>	3	
<b>Unit Number</b>	D/506/2170	
<b>Credit Value</b>	5	
<b>GLH</b>	24	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand how to gather, analyse and interpret customer feedback	1.1	Describe methods of collecting data for customer research
	1.2	Explain random sampling techniques used to collect data
	1.3	Explain how to evaluate bias in non-random samples
	1.4	Explain the principles of questionnaire design
	1.5	Assess the suitability of a range of techniques to analyse customer feedback
	1.6	Explain techniques used to monitor the quality of data collected
	1.7	Explain the use of software to record and analyse customer feedback
	1.8	Explain the validation issues associated with customer feedback
	1.9	Explain the importance of anonymising comments from customers who do not wish to be identified
2. Be able to plan the collection of customer feedback on customer service issues	2.1	Identify the objectives of collecting customer feedback
	2.2	Justify the reasons for selecting different data collection methods
	2.3	Develop a data collection and analysis plan that specifies the sampling frame, data collection and recording methods and timeframe
3. Be able to gather customer feedback	3.1	Collect customer feedback using the sampling frame identified in a customer service plan
	3.2	Record data in a way that makes analysis straightforward
	3.3	Verify that all data is handled in line with legal, organisational and ethical policies and procedures

<p>4. Be able to analyse and interpret customer feedback to recommend improvements</p>	<p>4.1 Use data analysis methods to identify patterns and trends in customer feedback</p> <p>4.2 Use the findings of a data analysis to identify areas for improvement to customer service</p> <p>4.3 Present the findings of an analysis in the agreed format</p> <p>4.4 Recommend improvements in response to the findings of an analysis</p>
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<b>Title</b>	Provide leadership and direction for own area of responsibility	
<b>Level</b>	4	
<b>Unit Number</b>	F/507/9527	
<b>Credit Value</b>	5	
<b>GLH</b>	30	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand own leadership strengths	1.1	Analyse own leadership strengths
	1.2	Evaluate leadership strengths within own area of responsibility
2. Be able to provide direction and set objectives in own area of responsibility	2.1	Explain direction for own area of responsibility
	2.2	Communicate the direction to individuals within own area of responsibility
	2.3	Set objectives with colleagues that align with direction in own area of responsibility and with those of the organisation
	2.4	Provide direction for own area of responsibility
4. Be able to evaluate own leadership performance	3.1	Collect feedback to inform improvement
	3.2	Evaluate own leadership performance

<b>Title</b>	Know how to follow disciplinary procedures	
<b>Level</b>	4	
<b>Unit Number</b>	L/617/6479	
<b>Credit Value</b>	4	
<b>GLH</b>	20	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Understand performance expectations of an organisation	1.1	Explain an organisation's required standards of conduct and performance
	1.2	Explain an organisation's formal disciplinary procedure
2. Understand how to identify and use communication methods to assess potential cases of misconduct or unsatisfactory performance	2.1	Explain how to identify when an individual's performance falls below organisational standards
	2.2	Identify communication methods used to gather information on potential cases of misconduct or unsatisfactory performance
3. Understand how to deal informally with cases of minor misconduct or unsatisfactory performance	3.1	Identify the differences between misconduct, gross misconduct and unsatisfactory performance
	3.2	Explain how misconduct, gross misconduct and unsatisfactory performance should be handled
	3.3	Evaluate whether a case of misconduct or unsatisfactory performance can be dealt with informally
	3.4	Assess methods available to improve performance or behaviour
	3.5	Explain the importance of recording informal disciplinary proceedings
4. Understand how to follow an organisation's formal disciplinary procedure	4.1	Explain the importance of seeking advice and guidance from specialists prior to taking action
	4.2	Explain when to follow formal disciplinary procedures
	4.3	Assess the importance of communicating disciplinary procedures to individuals
	4.4	Explain how to record and store information throughout the disciplinary process

<b>Title</b>	Manage risk in own area of responsibility	
<b>Level</b>	4	
<b>Unit Number</b>	L/600/9619	
<b>Credit Value</b>	4	
<b>GLH</b>	25	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	
1. Be able to undertake a risk evaluation for current and planned activities within own area of responsibility	1.1	Identify potential risks in current and planned activities within own area of responsibility
	1.2	Assess the nature of identified risks and potential consequences
	1.3	Evaluate the probability of identified risks occurring
2. Be able to minimise the impact and likelihood of potential risks occurring in own area of responsibility	2.1	Identify ways and means of minimising the impact and likelihood of potential risks
	2.2	Allocate responsibility for risk management to relevant individuals within own area of responsibility
3. Be able to communicate identified risks	3.1	Provide information on identified risks to relevant stakeholders

## 4 Centre Requirements

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 (IQA) processes and procedures and is available in the centres' area of the SFJ Awards website <http://sfjawards.com/approved-centres>.

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, and
- have access to appropriate training and support.

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 qualification handbook should be used in conjunction with the SFJ Awards Centre Handbook, the SFJ Awards Assessment Policy and the SFJ Awards Quality Assurance (Internal and External) Policy. All policies are available on the website [www.sfjawards.com](http://www.sfjawards.com) or on request from SFJ Awards.

# 5 Assessment

## 5.1 Qualification assessment methods

Assessment methods that can be used for the SFJ Awards Level 3 Certificate in Management Skills are as follows:

- Portfolio of Evidence (including for example records of professional discussions, question and answer sessions, reflective accounts)
- Practical Demonstration / Assignment

## 5.2 Assessor and internal quality assurer and requirements

### 5.2.1 Occupational knowledge and competence

All assessors, internal and external quality assurers must:

- be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role
- 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.

Assessors must also:

- be occupationally competent in the functions covered by the units they are assessing
- have gained their occupational competence by working in the sector relating to the units or qualifications they are assessing. This means 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 units they are assessing as a practitioner, trainer or manager
- be able to interpret and make judgements on current working practices and technologies within the area of work.

Internal quality assurers (IQAs) must also:

- 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
- 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.*

Approved centres will be required to provide SFJ Awards with current evidence of how each member of their team meets these requirements, for example certificates of achievement or testimonials.

### **5.2.2 Assessor competence**

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

- qualified with a recognised assessor qualification, or
- working towards a recognised assessor qualification, or
- able to prove equivalent competence through training to appropriate national standards, for example, National Occupational Standard 9: Assess learner achievement<sup>2</sup> or Police Sector Standard for the Training of Assessors, Assessor Standard.

Approved centres will be required to provide SFJ Awards with current evidence of how each assessor meets these requirements, for example certificates of achievement or testimonials.

### **5.2.3 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, or

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<sup>2</sup> National Occupational Standards for Learning and Development, LLUK 2010  
<https://www.excellencegateway.org.uk/>

- able to prove equivalent competence through training to appropriate national standards, for example National Occupational Standard 11: Internally monitor and maintain the quality of assessment<sup>3</sup> or Police Sector Standard for the Training of Internal Verifiers, Internal Verifier Standard.

Approved centres will be required to provide SFJ Awards with current evidence of how each IQA meets these requirements, for example certificates of achievement or testimonials.

### **5.3 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.

#### **5.3.1 Occupational competence**

Expert witnesses must, according to current sector practice, be competent in the functions covered by the units 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.

#### **5.3.2 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.

### **5.4 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.<sup>4</sup> Further information on qualification levels is included in the SFJ Awards Assessment Policy.

Evidence must be:

- Valid
- Authentic
- Sufficient

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<sup>3</sup> National Occupational Standards for Learning and Development, LLUK 2010  
<https://www.excellencegateway.org.uk/>

<sup>4</sup> Qualification and Component Levels, Ofqual November 2019,  
<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

- Current
- Reliable.

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

## **5.5 Methods for assessing competence**

Qualifications may be assessed using any method, or combination of methods in Section 5.1, which clearly demonstrate that the learning outcomes and assessment criteria have been met.

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 expects assessors to use a combination of different assessment methods to make decisions about an individual's occupational competence. Further information on assessment methods is provided below and in the SFJ Awards Assessment Policy.

### **5.5.1 Observation**

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

### **5.5.2 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)/criteria. Expert witnesses are the preferred witness type recommended by SFJ Awards as they provide a stronger form of evidence which is more easily authenticated and verified.

The assessor should consider witness testimonies of either type as a typical form of evidence. Assessors are therefore responsible for making the final judgement in terms of the learner meeting the evidence requirements of the qualification/unit(s)/criteria.

### **5.5.3 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.

### **5.5.4 Professional discussion**

Professional discussions are a free-flowing two-way dialogue between the assessor and learner. It should not be confused with questioning where the assessor asks specific questions and the learner provides answers. 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/electronic records of discussions must be maintained.

### **5.5.5 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/electronic records of all questioning must be maintained.

### **5.5.6 Simulations**

Simulations may take place either in an operational or non-operational environment, for example a training centre, or in the learner's workplace. 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.

## **5.6 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.<sup>5</sup> Further information on qualification levels is included in the SFJ Awards Assessment Policy.

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
- Time bound conditions
- Invigilation.

## **5.7 Methods for assessing knowledge and understanding**

Qualifications may be assessed using any method, or combination of methods in Section 5.1, which clearly demonstrate that knowledge-based learning outcomes and assessment criteria have been met. Evidence of assessment, examples listed below, can be included in a portfolio of evidence.

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<sup>5</sup> Qualification and Component Levels: Requirements and Guidance for All Awarding Organisations and All Qualifications, Ofqual 2015 [www.gov.uk/government/publications/qualification-and-component-levels](http://www.gov.uk/government/publications/qualification-and-component-levels)

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

Where written assessments are used centres must maintain a bank of assessments that are sufficient to be changed regularly.

## **5.8 Assessment planning**

Planning assessment allows a holistic approach to be taken. Holistic assessments are those which focus 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 and 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. By effectively planning 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. As a consequence the assessment is a more efficient, cost effective process which minimises the burden on learners, assessors and employers.

## **5.9 Standardisation**

Internal and external standardisation is required to ensure the consistency of evidence, assessment decisions and qualifications awarded over time. Written/audio/electronic records of all standardisation must be maintained, including records of all involved parties.

IQAs should facilitate internal standardisation events for assessors to attend and participate to review evidence used, make judgments, compare quality and come to a common understanding of what is sufficient. In addition, it is also good practice to participate in external standardisation activities. SFJ Awards will facilitate external standardisation events which are open to centres and their teams.

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

## **5.10 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 supports 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.

### **5.11 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 have specific 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.

Further information is available in the SFJ Awards Reasonable Adjustments and Special Considerations Policy and the SFJ Awards Equality of Opportunity Policy.

### **5.12 Health and safety**

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

SFJ Awards fosters 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 the justice sector 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.

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