**M&L 1 Manage personal performance and development**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1.Be able to manage personal performance | 1.1 Agree Specific, Measurable, Achievable, Realistic and Time-bound (SMART) objectives that align with business needs with line manager | Objectives are targets to be implemented or completed, or standards of performance to be achieved and maintained.Objectives provide focus and clear direction, and should be SMART:* Specific: Clear, unambiguous, straightforward, understandable
* Measurable: Related to quantified or qualitative performance measures
* Achievable: With known resources
* Realistic: Linked to business needs
* Time-bound: Building-in completion date and review dates
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|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *Identified the relevant business needs of the organisation and agreed this with their line manager*
* *Agreed two or more appropriate and correct SMART objectives with their line manager that support those business needs*
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|  | 1.2 Agree criteria for measuring progress and achievement with line manager | It is important and necessary to measure, or monitor, progress towards objectives with the line manager for a variety of reasons:* It provides information to see if objectives are being achieved
* It enables any adjustments or improvements to the task to be carried out if they are required
* Monitoring performance with the line manager will provide valuable information for a ‘two-way’ appraisal or performance review

The criteria used for measuring progress and achievement will depend upon the SMART objectives, and these criteria will need to be agreed with the line manager. |
|  |  | *In this criterion the learner is required to provide evidence that he or she has agreed appropriate and correct criteria for measuring progress towards, and achievement of, SMART objectives with his or her line manager.* |
|  | 1.3 Complete tasks to agreed timescales and quality standards | All tasks should be completed within the timescale agreed and to the quality standard required.The quality standard to be used will depend upon the task and the organisation. The ISO, for example, define a quality standard as ‘ a document that provides requirements, specifications, guidelines or characteristics that can be used consistently to ensure that materials, products, processes and services are fit for their purpose’.Other quality standards make reference to ‘conformance with requirements’, but the basis of all the definitions of ‘quality’ is that the features affecting quality are capable of being tested and are thus *objective* measures of performance. |
| *In this criterion the learner is required to provide evidence that two or more tasks have been completed to agreed timescales and that the tasks have also been completed to agreed and objective (or measurable) quality standards* |
| 1.4 Report problems beyond their own level of competence and authority to the appropriate person. | ‘Competence’ is the ability of an individual to carry out a task properly to the required standard, whilst ‘authority’ allows its holder to act in certain ways designated by the organisation and to directly influence the actions of others through instructions. Authority may be:* Line authority - reflects the organisational hierarchy
* Staff authority - the right to advise or assist those who possess line authority as well as other staff personnel
* Functional authority - given to individuals who, in order to meet responsibilities in their own areas, must be able to exercise some control over organisation members in other areas.
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| *In this criterion the learner is required to provide evidence that two or more problems that are beyond both their own level of competence and**their**authority have been reported to the appropriate person.* |
|  | 1.5 Take action needed to resolve any problems with personal performance | Problems with personal performance may arise for a variety of reasons, such as:* Unfair or unclear expectations as to the task or the individual’s role
* Medical issues
* Personal or family issues
* Job dissatisfaction
* Workplace conflict
* Inadequate knowledge or skills

It is necessary to get to the root cause of any problem with personal performance, and to ensure that the action taken to resolve the problem is appropriate and within the organisation’s guidelines, policies and procedures, if applicable. |
| *In this criterion the learner is required to provide evidence that the root cause of any problems with personal performance is identified, and that appropriate action is taken to resolve the problems* |
| 2. Be able to manage their own time and workload | 2.1 Plan and manage workloads and priorities using time management tools and techniques | Examples of time management tools and techniques include:* Covey Time (Task) Management Matrix
* ‘To-do’ list (monthly, weekly, daily)
* Scheduling tasks and activities
* Diary, paper-based or electronic
* Bespoke time-management documentation or software
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| *In this criterion the learner is required to provide evidence that he or she is managing workloads and priorities using two or more appropriate time management tools and technique.* |
| 2.2 Take action to minimise distractions that are likely to limit the effective management of time and the achievement of objectives | Distractions that are likely to limit the effective management of time and the achievement of objectives include:* Telephone interruptions
* Colleagues dropping in without appointments
* Meetings, both scheduled and unscheduled
* Lack of objectives, priorities, and deadlines
* Cluttered desk and personal disorganisation (not having the tools/resources/supplies at your disposal)
* Involvement in routine and detail that should be delegated to others
* Unclear, or lack of, communication and instruction
* Inability to say ‘no’
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| *In this criterion the learner is required to provide evidence that he or she has taken appropriate action to minimise the effects of two or more workplace distractions that are likely to limit the effective management of time and the achievement of objectives* |
| 2.3 Explain the benefits of achieving an acceptable ‘work-life balance’ | There are benefits to the employer and to the employee from achieving an acceptable ‘work-life’ balance.Employer benefits include:* Reduced staff turnover
* Lower recruitment and training costs, due to decreased turnover
* Reduced absenteeism due to higher levels of well being
* Gaining a reputation as a good employer or an employer of choice
* Better attraction and retention of staff
* Reduced stress levels amongst staff
* Improved morale and job satisfaction
* Greater staff loyalty and commitment
* Improved productivity

Employees benefits include:* A reduction in the impact of work on home and family life and vice versa
* Reduced stress levels and higher levels of well being
* Control over time management in meeting work-life commitments
* Autonomy to make decisions regarding work-life balance
* Increased focus, motivation and job satisfaction knowing that family and work commitments are being met
* Increased job security from the knowledge that an organisation understands and supports workers with family responsibilities

Ref: <http://www.superfriend.com.au/employers/a-healthier-workplace/work-life-balance> |
| In this criterion the learner is required to explain how two or more benefits for the employee or for the employer follow from having an acceptable ‘work-life balance’; it is not acceptable to merely list a number of benefits.  |
| 3. Be able to identify their own development needs | 3.1 Identify organisational policies relating to personal development | Organisational policies relating to personal development will vary, depending upon the type and nature of the organisation.Examples include:* Staff development policy
* Training and development policy
* Professional development policy
* Organisational and professional development policy
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| *In this criterion the learner is required to identify two or more organisational policies relating to personal development.* |
| 3.2 Explain the need to maintain a positive attitude to feedback on performance | Feedback is important to keep colleagues informed as to how well they are doing and to help them improve.Properly given, feedback should be about performance, not personality, so the individual receiving the feedback should not allow emotions to be part of his or her reaction to feedback: a positive attitude is required in order to listen carefully to what is being said, to take the time to consider the value of the feedback, and to ask the person giving the feedback on how you can improve. |
| *In this criterion the learner is required to describe what is meant by a positive attitude in order to then explain why it is necessary to maintain a positive attitude to feedback on performance.* |
| 3.3 Explain the potential business benefits of personal development | ‘Personal development’ is taken here to include ‘professional development’ in the sense of undertaking personal development to build human capital, skills and knowledge.The potential business benefits of personal development include:* Improved workplace performance
* Linking training and development activities to business needs and career development
* Identifying talent and potential in the organisation
* Improved staff morale and motivation
* Introducing fresh ideas in the organisation
* Linking training and development to SMART objectives and performance management
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| *In this criterion the learner is required to describe what is meant by personal development in order to then explain two or more potential business benefits of personal development; it is not sufficient to merely list potential business benefits.* |
| 3.4 Identify their own preferred learning style(s) | Individuals differ in how they learn, and there are a number of learning styles models that can be used to identify an individual’s learning style, perhaps the most widespread being the Honey and Mumford adaptation of Kolb’s experiential model:* Activist
* Reflector
* Theorist
* Pragmatist
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| *In this criterion the learner is required to provide evidence that he or she has correctly identified his or her own learning style using an appropriate model.* |
| 3.5 Identify their own development needs from analyses of the role, personal and team objectives | Analysing own role and personal and team objectives is undertaken in order to identify the future development needs that are required to acquire the skills and knowledge for career development and for effective performance in the workplace both now and in the future.Use will be made of internal documents such as job description, person specification, personal development plans, business plans, team plans and objectives, etc., and relevant documents will be analysed to identify development needs.  |
| *In this criterion the learner is required to analyse relevant documents, where available, relating to own role and personal and team objectives in order to identify own development needs.* |
| 3.6 Use feedback from others to identify their own development needs | Feedback from others is important in identifying development needs as good feedback enables individuals and groups to be aware of what they do and how they do it, and helps individuals learn, grow and develop.Feedback may be formal, as in a performance review, or it may be informal, as in on-going advice or observations given outside the formal process. |
| *In this criterion the learner is required to provide evidence that he or she has used two or more examples of formal or informal feedback from others to identify development needs.* |
| 3.7 Agree Specific, Measurable, Achievable, Realistic and Time-bound (SMART) development objectives that align with organisational and personal needs | Having identified development objectives from feedback and analysing own role and personal and team objectives, the next step is to turn them into SMART objectives that are agreed with the appropriate manager or supervisor. |
| *In this criterion the learner is required to provide evidence that appropriate and correct SMART development objectives that align with organisational and personal needs are agreed with the appropriate manager or supervisor.* |
| 4. Be able to fulfill a personal development plan | 4.1 Agree a personal development plan that specifies actions, methods, resources, timescales and review mechanisms | The SMART objectives should now form part of an agreed personal development plan that sets out what needs to be done and how it is to be done, and provides details of the resources required, the timescales, and the review mechanisms. |
| *In this criterion the learner is required to provide evidence that he or she has agreed a correct and appropriate personal development plan that specifies actions, methods, resources, timescales and review mechanisms.* |
| 4.2 Make use of formal development opportunities that are consistent with business needs | 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. |
| *In this criterion the learner is required to provide evidence that he or she has made use of two or more formal development opportunities that are consistent with business needs.* |
| 4.3 Use 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. |
| *In this criterion the learner is required to provide evidence that he or she has used two or more informal development opportunities that contribute to the achievement of personal development objectives.* |
| 4.4 Review progress against agreed objectives and amend plans accordingly | Agreed objectives and review mechanisms are addressed in assessment criteria 3.7 and 4.1  |
| *In this criterion the learner is required to provide evidence that he or she has correctly and appropriately reviewed progress against agreed objectives and amended plans accordingly.* |
| 4.5 Share lessons learned with others using agreed communication methods | Reflecting on personal development provides an opportunity to ask such questions as ‘What went well?’, ‘What didn’t go well?’, and ‘What would I do differently next time?’Sharing ‘lessons learned’ with others enables successes to be built upon and previous mistakes to be avoided, and may take place, for example, in a performance review or appraisal interview, a learning community, or as part of a review of a development activity. |
| *In this criterion the learner is required to provide evidence that he or she has shared two or more lessons learned from own personal development with others using agreed communication methods.* |

**M&L 4 Communicate work-related information**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1.Understand the principles and techniques of work-related communication | 1.1 Describe communication techniques used to gain and maintain the attention and interest of an audience | Communication is defined as the process of sharing information between different people.The main purpose of communication is to provide or seek information but there are often additional purposes, for example to persuade people to take certain actions or to influence their attitudes or behaviour.The most common methods of communication involve the use of either written or spoken words. However, other ‘non-verbal’ methods, such as pictures and diagrams, or body language, such as gestures or facial expressions, also have an important role to play.To communicate effectively the communicator needs the receiver of the information to understand precisely what is being communicated and take any actions required.To gain and maintain the interest of the receiver/ audience the communicator must select the appropriate technique for the information being sent:* Written techniques include letters, e-mail, work rotas and notices
* Spoken techniques include interviews, presentations, meetings and telephone conversations

Good practice requires any communication should:* Have a clear purpose
* Be planned and structured to suit the purpose
* Use language that the receiver/audience will understand and accept
* Use supporting non-verbal techniques if they improve the clarity of the message
* Allow for feedback from the receiver/audience so the communicator can be sure the information is correctly understood.

The Shannon and Weaver communication model illustrates the communication process in more detail.Often communicating information alone is not enough. The communicator wants to persuade or influence. If people are to accept an idea they need to see how they will benefit. Motivation theory – such as that of Abraham Maslow – shows that people have needs or expectations. To persuade or influence people the communicator should link those needs to the message. This does not apply just to selling products or services but also persuading managers to accept your recommendations or members of your team to improve working methods. |
|  |  | *In this criterion the learner is required to describe the use of two or more different work-related communication techniques and state which purposes they are best suited to if the attention and interest of an audience is to be gained and maintained.* |
|  | 1.2 Explain the principles of effective written business communications | Written business communications – for example letters and e-mails, should follow the rules of good communication practice with a clear purpose and structure, and appropriate languageWritten communication has specific advantages in that it:* Allows the communication of long or complex material
* Provides a record that can be referred to by the receiver
* Can be used as a legal record of what was said and when

However it also has disadvantages:* No instant feedback or response
* Lacks the supporting benefits of body language – gestures and tone – therefore relying totally on the correct understanding of the words used

Written communication usually follows accepted formats and companies have house styles and rules which must be followed to present the image the company wants to convey. Presentation and good spelling and punctuation are an important part of creating this image.Communicators also need to consider the cost/ benefit implications of the different techniques they use.  |
|  |  | *In this criterion the learner is required to describe the principles of effective written business communications, referring to examples to show their advantages and correct use.*  |
| 1.3 Explain the principles of effective verbal communications in a business environment | Verbal or spoken communication in a business environment, for example interviews or presentations, should follow the rules of good communication practice having a clear purpose and structure, and using appropriate languageVerbal communication has specific advantages in that it:* Allows instant feedback and response
* Uses body language to support the verbal communication

However it also has disadvantages:* Potentially confusing if complex material is involved
* No record that can be referred to later
* More difficult to establish as a legal record

In reality, some of the most effective business communication involves the use of a number of spoken, written, and non–verbal techniques. |
| *In this criterion the learner is required to describe the principles of effective spoken business communications, referring to examples to show their advantages and correct use.* |
| 1.4. Describe the importance of checking accuracy and currency of information to be communicated | It is likely that business communication will involve the receiver in taking actions and in solving problems and making decisions based on the information received. If these actions and decisions are to be correct then it is essential that the information they are based on is accurate and current. |
| *In this criterion the learner is required to describe why the accuracy and currency of work-related information should be checked. Use examples of where communicated information is used by receivers as the basis for their own actions.* |
| 1.5 Describe the importance of explaining to others the level of confidence that can be placed on the information being communicated | As information communicated is likely to be used by others as the basis for their own actions it is important that they understand how reliable the information they are using is. Although the communicator will make every attempt to ensure the information is accurate and current, business situations – processes, products and prices- may be changing rapidly. Therefore the communicator has a responsibility to make sure that the receiver is aware of this. |
| *In this criterion the learner is required to describe the importance of explaining to others the level of confidence that can be placed on information communicated. Use examples of information that could be supplied as accurate and current but could be subject to change.*  |
|  | 1.6 Describe the advantages and disadvantages of different methods of communication for different purposes | The sections above have highlighted the advantages and disadvantages of the different methods of communication that can be used in a business situation. |
| *In this criterion the learner required to describe the advantages and disadvantages of the different methods of work-related communication used for different purposes.* |
| 2. Be able to communicate work related information verbally | 2.1 Identify the information to be communicated | When communicating verbally by spoken word the person communicating the information must be clear about the purpose of the communication and the needs of the person receiving the information, including what they will use the information for. Information identified may need to be analysed so it can be presented clearly. |
| *In this criterion the learner is required identify a specific work situation where information needs to be communicated verbally by spoken word. Having identified the purpose and the receiver’s requirements the learner should then gather the relevant information.*  |
| 2.2 Confirm the audience is authorized to receive the information | When communicating any business information the communicator must ensure that the receiver is entitled to receive the information. It should be confirmed that the information to be communicated is in no way sensitive or could breach organisational policy, including data protection, or infringe business confidentiality in any other way. |
| *In this criterion the learner is required to provide evidence that the receiver of the work-related information they intend to communicate is authorised to receive that information and that no breaches of personal or business confidentiality or data protection legislation are involved.*  |
| 2.3 Provide accurate information using appropriate verbal communication techniques | The person communicating information gathered, having ensured it is accurate, must determine the best verbal spoken method to be used for the purpose. The content and structure of the information should be planned before it is communicated to ensure effectiveness. |
| *In this criterion the learner is required to provide evidence of the effective and accurate use of at least two different verbal communication techniques appropriate to the chosen situations one of which could be that used in 2.1* |
| 2.4 Communicate in way that the listener can understand, using language that is appropriate to the topic | The person communicating information should choose language that the listener can understand and that is appropriate to the topic. |
| *In this criterion the learner is required to demonstrate that the language used in 2.3 was appropriate to the listener and the topic.* |
| 2.5 Confirm that the listener has understood what has been communicated | In order to check that information communicated has been correctly understood the communicator must be aware of feedback from the listener. This may be verbal – perhaps gained through questioning or from observation of the receiver’s body language.  |
| *In this criterion the learner is required to confirm that the listener has understood what has been communicated. This will be shown through a description of the feedback used.* |
| 3. Be able to communicate work-related information in writing | 3.1 Identify the information to be communicated | When communicating verbally the person communicating the information must be clear about the purpose of the communication and the needs of the person receiving the information including what they will use the information for. Information gathered may need to be analysed so it can be presented clearly. |
|  *In this criterion the learner is required identify a specific work situation where information needs to be communicated in writing. Having identified the purpose and the receiver’s requirements the learner should gather the relevant information.* |
| 3.2 Provide accurate information using the appropriate written communication methods and house styles | The person communicating information gathered, having ensured it is accurate, must determine the best written method to be used for the purpose. The content and structure of the information should be planned before it is communicated to ensure effectiveness. Appropriate written communication methods and house styles should be used. |
| *In this criterion the learner is required to provide evidence of the effective and accurate use of at least two different verbal written communication techniques appropriate to the chosen situations - one of which could be that used in 3.1.* |
| 3.3 Adhere to any organisational confidentiality requirements when communicating in writing | When communicating any business information the communicator must ensure that the receiver is entitled to receive the information. It should be confirmed that the information to be communicated does not breach organisational policy, including data protection, or infringe business confidentiality. |
| *In this criterion the learner is required to provide evidence that the receiver of the information they intend to communicate is authorised to receive that information and that no breaches of personal or business confidentiality or data protection legislation are involved.* |
| 3.4 Use correct grammar, spelling and punctuation, using accepted business communication principles and formats | Written communication usually follows accepted formats, and companies have house styles and rules which must be followed to present the image the company wants to convey. Presentation, grammar, good spelling and punctuation are an important part of creating this image. |
| *In this criterion the learner is required to use correct grammar, spelling and punctuations in the written communications presented under 3.2. Accepted business communication principles and formats should be appropriately used.* |
| 3.5 Justify opinions and conclusions with evidence | Written business communication that is intended to persuade the receiver to accept the communicator’s opinions and conclusions should be based on sound information that is clearly and logically presented. Conclusions should be supported by arguments based on facts and should show objectivity.  |
| *In this criterion the learner is required to indicate how the opinions and conclusions drawn in an example of their own written communication are justified and supported by valid evidence.* |

**M&L 5 Lead and manage a team**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Be able to engage and support team members | 1.1 Explain organisational policies, procedures, values and expectations to team members | Policies and procedures can be defined thus:‘A set of policies are principles, rules, and guidelines formulated or adopted by an organization to reach its long-term goals and typically published in a booklet or other form that is widely accessible.Policies and procedures are designed to influence and determine all major decisions and actions, and all activities take place within the boundaries set by them. Procedures are the specific methods employed to express policies in action in day-to-day operations of the organization. Together, policies and procedures ensure that a point of view held by the governing body of an organization is translated into steps that result in an outcome compatible with that view.’Ref: <http://www.businessdictionary.com/definition/policies-and-procedures.html>Organisational values and expectations are the behaviours expected in an organisation and the manner in which employees are expected to carry out their work, and may be set out in a formal ‘Code of Conduct’. |
|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *explained how two or more policies and procedures work to team members*
* *explained what is meant by ‘values and expectations’ to team members*

*Note that it is not sufficient to merely list policies, procedures, values, expectations.* |
|  | 1.2 Communicate work objectives, priorities and plans in line with operational requirements | Communication of work objectives, priorities and plans to the team is necessary and important in order to ensure team members know what they are doing and when the tasks will be completed, and can prioritise their resources and efforts accordingly. |
|  |  | *In this criterion the learner is required to provide evidence that he or she has correctly communicated two or more work objectives, priorities and plans, using an appropriate method of communication for each, in line with operational requirements.* |
| 1.3 Explain the benefits of encouraging suggestions for improvements to work practices | Encouraging suggestions for improvements to work practices may improve staff morale and job satisfaction in the team, and implementing good suggestions may lead to business benefits such as reduced costs and improved customer satisfaction.  |
| *In this criterion the learner is expected to explain the ways in which encouraging suggestions for improvements to work practices might bring two or more benefits for the individual or for the organisation.* |
| 1.4 Provide practical support to team members facing difficulties | For this criterion, ‘practical support to team members facing difficulties’ is taken to mean facing difficulties in the work role.Providing support to colleagues might include:* Explaining policies, procedures, task requirements
* Helping with their workload
* Problem-solving
* Obtaining additional resources
* Providing encouragement
* Providing constructive feedback that focuses on issues and solutions, not personalities or blame
 |
| *In this criterion the learner is expected to provide evidence that he or she has provided appropriate practical support to two or more team members facing difficulties in their work role.* |
| 1.5 Explain the use of leadership techniques in different circumstances | Leadership techniques, or leadership styles, are approaches to leadership that indicate how a leader behaves and the way in which the functions of leadership are carried out.An example of an early model of leadership techniques is Lewin’s leadership styles framework that proposes three key leadership styles:* Autocratic
* Democratic
* Laissez-faire

There are numerous other models of leadership techniques, although it is generally acknowledged nowadays that there is no single ‘right’ style of leadership and that it is useful to understand a variety of leadership frameworks in order to use a leadership technique appropriate to the particular situation.   |
| *In this criterion the learner is expected to explain how an appropriate and correct leadership technique should be used, or has been used, in two or more different circumstances. (It may be helpful to provide examples.)*  |
| 1.6 Give recognition for achievements, in line with organisational policies | For this criterion, ‘recognition for achievements’ is taken to mean recognition of team achievements *or* recognition of a team member’s achievement.Colleagues want to be appreciated, and recognising their contribution to the achievement of team objectives lets them know that their efforts are noticed and valued. Praise should be timely, direct, personal and specific, with colleagues being told exactly what they do well and why their contribution is appreciated.There are numerous ways to recognise an colleague’s contribution, and the praise must be given in a way that is meaningful to the colleague: some colleagues may prefer to be praised in public, for example, whilst others may be more comfortable with being praised in private, and some colleagues will find it more meaningful to have their contribution recognised by a higher-level manager.  |
| *In this criterion the learner is required to provide evidence of giving recognition for two or more team achievements or recognition of two or more achievements of a team member in a relevant and appropriate manner that is in line with organisational policies.* |
| 1.7 Explain different ways of motivating people to achieve business performance targets | There are any number of internal and external factors that might stimulate people to be motivated to achieve business performance targets, and two of the most common theories of motivation that attempt to explain how to motivate people are Herzberg's motivation-hygiene theory and Maslow's hierarchy of needs. |
| *In this criterion the learner is required to explain how two or more different methods or techniques can be used in practice to motivate people to achieve business performance targets. (Using examples may make this more relevant.)* |
| 2. Be able to manage team performance  | 2.1 Allocate responsibilities making best use of the expertise within the team | When allocating responsibilities for the achievement of a task, it is necessary to make the best use of the expertise within the team so as to ensure that the task is completed as efficiently and as effectively as possible.The knowledge and skills of team members is known as the ‘skills mix’, and by knowing the skills mix of a team and allocating responsibilities accordingly, team members will be able to focus on what they are best at as well as complementing each other’s skills. |
| *In this criterion the learner is required to provide evidence that he or she has correctly allocated two or more responsibilities for a team task to individuals so as to make the best use of the expertise within the team.* |
| 2.2 Agree with team member(s) Specific, Measurable, Achievable, Realistic and Time-bound objectives (SMART) in line with business needs | Objectives provide focus and clear direction, and should be SMART:* Specific: Clear, unambiguous, straightforward, understandable
* Measurable: Related to quantified or qualitative performance measures
* Achievable: With known resources
* Realistic: Linked to business needs
* Time-bound: Building-in completion date and review dates

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| *In this criterion the learner is required to provide evidence that he or she has agreed two or more correct and appropriate SMART objectives with team member(s) that are fully in line with business needs.* |
| 2.3 Provide individuals with resources to achieve the agreed objectives | Any task undertaken by a team should have a resource plan that identifies all the resources required to complete the task, i.e. labour, equipment and materials, and more complex tasks will require a schedule to be produced showing the quantity of each resource required, who requires it, and when it will be needed.  |
| *In this criterion the learner is required to provide evidence of correctly and appropriately providing two or more individuals with the resources they require to achieve agreed objectives.* |
| 2.4 Monitor individuals’ progress, providing support and feedback to help them achieve their objectives  | It is important and necessary to measure, or monitor, progress towards objectives with the line manager for a variety of reasons:* It provides information to see if objectives are being achieved
* It enables any adjustments or improvements to the task to be carried out if they are required
* Monitoring performance with the line manager will provide valuable information for a ‘two-way’ appraisal or performance review

The criteria used for measuring progress and achievement will depend upon the SMART objectives, and these criteria will need to be agreed with the line manager.Individuals may need support to help them achieve their objectives, and possible sources of support, including feedback, are outlined for AC1.4 (above). |
| *In this criterion the learner is required to provide evidence of monitoring the progress of two or more individuals whilst providing appropriate support and feedback to help them achieve their objectives.* |
| 2.5 Explain techniques to monitor individuals’ performance | Techniques to monitor individuals’ performance will depend upon the nature of the business, the role of the individual, and the complexity of the task being monitored, but will invariably involve some collection of data and the checking and comparing of records, such as output figures, materials usage, returns, customer feedback.This may be formalised in some organisations in Key Performance Indicators (KPIs). |
| *In this criterion the learner is required to explain how two or more relevant techniques are used to monitor individuals’ performance.*  |
| 2.6 Report on team performance in line with organisational requirements | Part of a team leader’s role is to keep records and provide the management information required to maintain overall control of the business, and this will include reporting on team performance.There will usually be requirements that the information is presented is, for example, valid, reliable, timely, fit-for-purpose, accessible, cost-effective and presented in an appropriate format that is understandable by the user. |
| *In this criterion the learner is required to provide evidence that he or she has reported correctly on team performance in line with organisational requirements.* |
| 3 Be able to deal with problems within a team | 3.1 Assess actual and potential problems and their consequences  | ‘Actual and potential problems’ is taken here to mean the resolution of problems relating to working relationships with colleagues. To assess a problem is to examine all aspects of the problem in detail and make a judgement, based on the information available at the time, as to the consequences of that problem if it is not resolved. |
| *In this criterion the learner is required to provide evidence that he or she has assessed two or more actual and potential problems and understands the consequences of those problems if they are not resolved.* |
| 3.2 Report problems beyond the limits of their own competence and authority to the right person | ‘Report problems’ is taken here to mean either problems relating to working relationships with colleagues or problems relating to the team task. Limits, or level, of authority refers to the different hierarchical management levels in an organisation and the duties and responsibilities assigned to each of those levels, and ‘competence’ refers to proficiency that has been gained through education, training or experience.In any workplace:* A problem that lies outside the duties and responsibilities assigned to a role should be reported to a more senior manager whose responsibility that problem is
* Individuals need to be aware of their own competence and be prepared to report a problem to the right person if they do not have the necessary knowledge or skills to deal with that problem
 |
| *In this criterion the learner is required to provide evidence that he or she has reported two or more problems beyond the limits of their own competence and authority to the right person.* |
| 3.3 Take action within the limits of their own authority to resolve or reduce conflict | Conflict may be defined as the internal or external discord that occurs as a result of differences in ideas, values or beliefs of two or more people.Conflict management is important in order to:* Maintain morale
* Maintain performance standards
* Minimise absenteeism
* Promote a safe working environment
* Maintain group cohesion
* etc.

Depending upon the severity and level of conflict, conflict may be resolved or reduced informally, but in some cases it may be necessary to use the organisation’s formal procedures. If the formal procedures are used, then each procedure should specify the level of authority appropriate to each stage.  |
| *In this criterion the learner is required to provide evidence that he or she has taken effective and appropriate action, within the limits of their own authority, to resolve or reduce conflict* |
| 3.4 Adapt practices and processes as circumstances change | Although there may be clear plans and objectives in place for achieving a task, circumstances may change for a variety of reasons. For example, the task or objectives may themselves need to be redefined for some reason, or perhaps monitoring of the task has identified that actual performance is different from planned performance.In changing circumstances such as these there may be a need to adapt work practices and/or work processes in order to meet new requirements. |
| *In this criterion the learner is required to provide evidence that he or she has appropriately adapted two or more practices and processes as circumstances change.* |

**M&L6: Principles of team leading**

|  |  |  |  |
| --- | --- | --- | --- |
| **Centre Number :** |  | **Centre Name :** |  |
| **Learner Registration No :** |  | **Learner Name:** |  |
| **Learning Outcome / Section 1:** Understand leadership styles in organisations |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 1.1* Describe characteristics of effective leaders
 | * In order to be effective and successful, a leader should have any number of skills or qualities that ensure he or she is respected by the team as their leader and as someone who will ensure team tasks are completed on time to the appropriate standard.
* You are required to describe the principal features of five or more characteristics of effective leaders. (Note that it is not sufficient to merely list five or more characteristics.)

**Answer:** |  |
| Pass or Referral |
| AC 1.2* Describe different leadership styles
 | * Leadership styles used by the leader will often depend upon the team and/or the nature of the work, and the three most reognisable leadership styles are autocratic, democratic and laissez-faire.
* You are required to describe the principal features of three or more leadership styles. (Note that it is not sufficient to merely list three or more leadership styles.)

**Answer:**  |  |
| Pass or Referral |
| AC 1.3* Describe ways in which leaders can motivate their teams
 | * Herzberg’s Motivation-Hygiene Theory and Maslow’s Hierarchy of Needs are two important theories of motivation that describe how individuals can be motivated at work.
* You are required to describe two or more ways in which motivation theory can be used to motivate your teams.

 **Answer:** |  |
| Pass or Referral |
| AC 1.4* Explain the benefits of effective leadership for organisations
 | * Leaders will have responsibility for a variety of tasks, such as planning work, organising resources, making improvements and controlling work activities, and maintaining morale and motivation.
* You are required to explain how doing two or more of these tasks effectively as a leader will benefit the organisation. (You may wish to provide examples to illustrate your answer.)

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 2:** Understand team dynamics |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 2.1* Explain the purpose of different types of teams
 | * Organisations may use different types of teams, depending on the situation and the nature of the task.
* Some teams may be permanent, others may be temporary, and the type of team will affect the organisation of the team and how it communicates with other teams in the organisation.
* Examples include:
	+ Functional teams
	+ Cross-functional teams
	+ Self-managed teams
	+ Virtual teams
	+ Task Forces
	+ Project teams
	+ Quality circles
* You are required to explain the purpose of three or more different types of teams

**Answer:** |  |
| Pass or Referral |
| AC 2.2* Describe the stages of team development and behaviour
 | * Tuckman’s stages of team development maintains that teams have to go through a series of phases before they eventually become effective and start to deliver results.
* You are required to describe all the stages of team development ***and*** the team behaviours that are exhibited at each stage.

**Answer:** |  |
| Pass or Referral |
| AC 2.3* Explain the concept of team role theory
 | * Belbin’s Team Role Theory suggests that high-performing teams are built on a balance of basic roles, with each member of the team performing at least one of those roles.
* You are required to explain the concept of team role theory by describing how each of the basic roles identified by Belbin contribute to team performance.

**Answer:** |  |
| Pass or Referral |
| AC 2.4* Explain how the principle of team role theory is used in team building and leadership
 | * You are required to explain how knowing the basic roles identified by Belbin can be used to build teams and help leadership.

**Answer:** |  |
| Pass or Referral |
| AC 2.5* Explain typical sources of conflict within a team and how they could be managed
 | * Conflict may be defined as the internal or external discord that occurs as a result of differences in ideas, values or beliefs of two or more people.
* Conflict management is important in order to:
	+ Maintain morale
	+ Maintain performance standards
	+ Minimise absenteeism
	+ Promote a safe working environment
	+ Maintain group cohesion
	+ Etc.
* Depending upon the severity and level of conflict, conflict may be resolved or reduced informally, but in some cases it may be necessary to use the organisation’s formal procedures.
* Conflict management techniques that may be used to resolve team conflicts include:
	+ Win-Win (collaborating)
		- Attempting to identify the underlying concerns in order to find an alternative that satisfies everyone
	+ Compromise
		- Working to a mutually-acceptable solution that partially satisfies everyone
	+ Forcing
		- Using formal authority or coercion to get one’s own way at the expense of others
	+ Avoiding
		- Not addressing the conflict, withdrawing from a threatening situation
	+ Accommodating
		- Neglecting own concerns to satisfy others
* If the formal procedures are used, then each procedure should specify the level of authority appropriate to each stage.
* You are required to provide two or more examples that explain how conflict is typically caused within a team and then go on to explain what you would do to manage that conflict.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 3:** Understand techniques used to manage the work of teams |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 3.1* Explain the factors to be taken into account when setting targets
 | * Targets are sometimes used interchangeably with ‘objectives’ to provide focus and clear direction, and should be SMART:
	+ Specific: Clear, unambiguous, straightforward, understandable
	+ Measurable: Related to quantified or qualitative performance measures
	+ Achievable: With known resources
	+ Realistic: Linked to business needs
	+ Time-bound: Building-in completion date and review dates
* You are required to explain, using an example, how to take account of the SMART factors when setting targets.

 **Answer:** |  |
| Pass or Referral |
| AC 3.2* Describe a range of techniques to monitor the flow of work of a team
 | * Monitoring the flow of work of a team and checking the progress of the team and team members is important in order to ensure individual and team targets are being met, and will usually involve some form of data collection and measuring or checking of records or progress on such factors as quality, output, productivity, schedules, use of materials, etc.
* You are required to describe the principal features of three or more techniques to monitor the flow of work of a team.

**Answer:**  |  |
| Pass or Referral |
| AC 3.3* Describe techniques to identify and solve problems within a team
 | * Problem-solving techniques may be rational or creative, and include:
	+ Rational problem-solving
		- Root Cause Analysis (RCA) and ‘fishbone’ diagrams
	+ Creative problem-solving
		- Brainstorming
		- 5Ws (Who, What, Where, When, Why)
		- Six Thinking Hats
		- Mind-Mapping
* You are required to describe the principal features of two or more problem-solving techniques within a team.

 **Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 4:** Understand the impact of change management within a team |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 4.1* Describe typical reasons for organisational change
 | * There are many reasons for organisational change, such as:
	+ The need to improve quality, productivity, profit
	+ Innovation
	+ New technology
	+ Cost reductions
	+ Changing market conditions
	+ Out-of-date working practices
	+ Etc.
* You are required to describe the principal features of two or more typical reasons for organisational change.

**Answer:** |  |
| Pass or Referral |
| AC 4.2* Explain the importance of accepting change positively
 | * Change affects individuals, and when change occurs in an organisation it is important to realise that people need time to adjust.
* Keeping a positive attitude can help people deal with the uncertainty in change and enable individuals to focus on how they can make the best of their existing skills and experience and look for opportunities that arise as a result of the change.
* You are required to provide two or more examples that explain the importance of accepting change positively.

**Answer:** |  |
| Pass or Referral |
| AC 4.3* Explain the potential impact on a team of negative responses to change
 | * Negative responses to change within a team may lead to undesirable situations in the workplace such as a reduction in efficiency, a disruptive work environment, and an increase in conflict.
* You are required to explain, using two or more examples, of the potential impact on a team of negative responses to change.

**Answer:** |  |
| Pass or Referral |
| AC 4.4* Explain how to implement change within a team
 | * There are a number of models that can be used to explain how to implement change within a team, including:
	+ Lewin’s Change Management model
	+ Kubler-Ross Stages of Change model
	+ ADKAR Action-Orientated model
* You are required to use an appropriate change model to explain how to implement change within a team.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 5:** Understand team motivation |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 5.1* Explain the meaning of the term “motivation”
 | * You are required to provide a clear and correct explanation of what is meant by ‘motivation’.

 **Answer:** |  |
| Pass or Referral |
| AC 5.2* Explain factors that affect the level of motivation of team members
 | * You are required to explain how, according to a theory of motivation, two or more factors affect the level of motivation of team members.

**Answer:** |  |
| Pass or Referral |
| AC 5.3* Describe techniques that be used to motivate team members
 | * You are required to describe the principal features of two or more techniques that, according to a theory of motivation, can be used motivate team members.

**Answer:** |  |
| Pass or Referral |
| AC 5.4* Explain how having motivated staff affects an organisation
 | * Motivated staff tend to perform better in the workplace and show more commitment to their job, and this has an impact upon, for example, team and organisational performance and staff retention rates.
* You are required to explain, with two or more examples, how having motivated staff affects an organisation.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
|  |  |
| **Assessor’s Decision** | **Quality Assurance Use** |
| **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of Assessor:****Date:** | **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of QA:****Date of QA check:** |

**M&L8: understand business**

|  |  |  |  |
| --- | --- | --- | --- |
| **Centre Number :** |  | **Centre Name :** |  |
| **Learner Registration No :** |  | **Learner Name:** |  |
| **Learning Outcome / Section 1:** Understand organisational structures |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 1.1* Explain the differences between the private sector, the public sector and the voluntary sector
 | * Generally speaking, the private sector comprises profit-making businesses, the voluntary sector is run by volunteers and does not set out to make a profit as its primary goal, and the public sector aims to provide good government services and value for money.
* The different aims and goals of the private, public and voluntary sectors means that there are differences in, for example, ownership and management and the ways they are funded.
* You are required to explain two or more differences between the private sector, the public sector and the voluntary sector, using examples, where appropriate.

**Answer:** |  |
| Pass or Referral |
| AC 1.2* Explain the features and responsibilities of different business structures
 | * A business structure defines management responsibilities in allocating tasks to achieve the objectives of the business, and the structure adopted by a business will depend to a large extent upon the size and complexity of the business and its markets.
* The most common business structures in the UK private sector include:
	+ Sole Trader
	+ Partnership
	+ Private Limited Company (Ltd.)
	+ Public Limited Company (PLC)
	+ Co-operatives
	+ Franchises
* You are required to explain the features and the responsibilities of three or more different business structures

**Answer:**  |  |
| Pass or Referral |
| AC 1.3* Explain the relationship between an organisation’s vision, mission, strategy and objectives
 | * You are required to define each of the following:
	+ Vision
	+ Mission
	+ Strategy
	+ Objectives
* You are then required to explain how an organisation’s vision, mission, strategy and objectives are linked together and depend on each other. (You may wish to use an example to illustrate the relationship.)

 **Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 2:** Understand the business environment |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 2.1* Describe the internal and external influences on a business
 | * Businesses do not operate alone and in isolation; they are affected by changes that happen inside the organisation itself (internal factors) and changes that happen outside the organisation (external factors).
* Internal factors include:
	+ Management
	+ Organisational culture
	+ Products and processes
	+ Resources
	+ Location
* External factors may be:
	+ Political
	+ Economic
	+ Social
	+ Technological
	+ Legal
	+ Environmental
* You are required to describe the key features of two or more internal factors ***and*** two or more external factors.

**Answer:** |  |
| Pass or Referral |
| AC 2.2* Explain the structure and use of a strength, weakness, opportunity and threat (SWOT) analysis
 | * You are required to:
	+ Explain what is meant by ‘strength’, ‘weakness’, ‘opportunity’ and ‘threat’ in a SWOT analysis
	+ Explain how a business would use a SWOT analysis

**Answer:** |  |
| Pass or Referral |
| AC 2.3* Explain why change can be beneficial to business organisations
 | * Change can be beneficial to business organisations for a variety of reasons, such as:
	+ Taking advantage of new work methods and new technologies
	+ Responding to changing customer needs
	+ Improving quality through continuous improvement
	+ Responding to changes and growth opportunities in the economy
	+ Challenging existing ways of doing things
* You are required to explain two or more ways in which change can work to benefit business organisations.

**Answer:** |  |
| Pass or Referral |
| AC 2.4* Explain organisations health and safety responsibilities
 | * Under Health and Safety law ‘It is an employer's duty to protect the health, safety and welfare of their employees and other people who might be affected by their business. Employers must do whatever is reasonably practicable to achieve this.’

[*http://www.hse.gov.uk/workers/employers.htm*](http://www.hse.gov.uk/workers/employers.htm)* Explain, with examples where appropriate, the responsibilities employers have for health and safety under the Health and Safety and Work Act (1974) to their employees and to members of the public.

**Answer:** |  |
| Pass or Referral |
| AC 2.5* Describe sustainable ways of working
 | * ‘Sustainable’ ways of working are greener and more environmentally friendly with less waste that may sometimes make use of recycling.
* You are required to describe the principal features of two or more sustainable ways of working. (You may wish to use examples to illustrate your answer.)

**Answer:** |  |
| Pass or Referral |
| AC 2.6* Explain how legislation affects the management and confidentiality of information
 | * The Data Protection Act 1998 controls how personal information is used, and everyone responsible for using data has to follow strict rules (‘data protection principles’) set out in the Act.
* You are required to explain how the data protection principles of the Data Protection Act 1998 affect the management and confidentiality of information.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 3:** Understand the principles of business planning and finance within an organisation |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 3.1* Explain the purpose, content and format of a business plan
 | * A business plan is a written statement of why a business exists: it sets out what the business intends to achieve and how it will achieve it, and provides information on the business’ structure and finance, its product or service, and the business’ customers and markets.
* You are required to explain the purpose, content and format of a business plan. (You may wish to use an example of a business you are familiar with to illustrate your answer.)

 **Answer:** |  |
| Pass or Referral |
| AC 3.2* Explain the business planning cycle
 | * The business planning cycle usually occurs annually, and is a plan of action that goes through a logical series of phases to re-assess the overall strategies of the business and business performance in order to determine objectives and targets throughout the business for the following year.
* You are required to explain the business planning cycle. (You may wish to describe the different phases of the business planning cycle in order to illustrate your answer.)

**Answer:**  |  |
| Pass or Referral |
| AC 3.3* Explain the purpose of a budget
 | * A budget is a plan of action (not a statement of fact) expressed in financial terms that is drawn up before the period to which it relates
* Budgets are drawn up for a specified period, usually one year, and examples include:
	+ Sales budget
	+ Production budget
	+ Research and development budget
	+ Training budget
	+ Departmental costs budget
	+ Cash budget
* Advantages of budgets are that they facilitate:
	+ Coordination and teamwork
	+ Communication
	+ Planning
	+ Control
	+ Motivation
* You are required to explain the purpose of a budget. (You may wish to use an example of a budget you are familiar with to illustrate your answer.)

 **Answer:** |  |
| Pass or Referral |
| AC 3.24* Explain the concept and importance of business risk management
 | * Business Risk Management is the process of identifying, assessing and controlling the level of those risks that present a threat to a business’ assets and earning capacity.
* Examples of business risk include:
	+ Strategic, for example a competitor coming on to the market
	+ Compliance, for example responding to the introduction of new health and safety legislation
	+ Financial, for example non-payment by a customer or increased interest charges on a business loan
	+ Operational, for example the breakdown or theft of key equipment
	+ Environmental risks, including natural disasters
	+ Employee risk management, such as maintaining sufficient staff numbers and cover, employee safety and up-to-date skills
	+ Political and economic instability in any foreign markets you export goods to
	+ Health and safety risks
	+ Commercial risks, including the failure of key suppliers or customers

[*http://www.nibusinessinfo.co.uk/content/types-risk-your-business-faces*](http://www.nibusinessinfo.co.uk/content/types-risk-your-business-faces)* You are required to explain the concept and importance of business risk management.

**Answer:** |  |
| Pass or Referral |
| AC 3.5* Explain types of constraint that may affect a business plan
 | * The constraints on a business plan are those factors that may prevent the business plan from being successful.
* Constraints may be variables that are not known with certainty, and changes in these variables will have an impact on the business plan.
* Examples include:
	+ Size of the market
	+ Demand for the businesses product or service
	+ Availability and/or cost of supply
	+ Degree of competition in the market
	+ Availability and cost of finance
	+ Availability of labour with appropriate skills
	+ Quality of management
* You are required to explain how a business plan is affected by two different types of constraint.

**Answer:** |  |
| Pass or Referral |
| AC 3.6* Define a range of financial terminology
 | * The most commonly used financial terms in the UK include:
	+ Assets
	+ Liabilities
	+ Depreciation
	+ Fixed cost
	+ Variable cost
	+ Gross profit
	+ Net profit
* You are required to provide clear and correct definitions of five or more financial terms.

**Answer:** |  |
| Pass or Referral |
| AC 3.7* Explain the purposes of a range of financial reports
 | * A financial report is a formal record of the financial activities of a business that is presented in a specified format.
* The three most important are:
	+ Balance sheet, or statement of financial position
	+ Income statement, or profit and loss account
	+ Cash flow statement
* You are required to explain the purpose of three financial reports.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 4:** Understand business reporting within an organisation |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 4.1* Explain methods of measuring business performance
 | * Methods of measuring business performance will vary according to the nature of the business and the core activities in the business that contribute most to making the business successful.
* Examples of business performance Key Performance Indicators (KPIs) include:
	+ Sales
	+ Sales returns
	+ Customer complaints
	+ Customer satisfaction surveys
	+ Time taken to complete an order
	+ Delivery times
	+ Customer retention
	+ New customers
	+ etc.
* You are required to explain how two or more performance indicators are used to measure business performance.

**Answer:** |  |
| Pass or Referral |
| AC 4.2* Explain the uses of management information and reports
 | * Management information and reports comprise collected data and information that measure performance across a business in order to manage more effectively and efficiently and to identify areas for improvement.
* You are required to explain, with an appropriate example, how management information and reports can be used.

**Answer:** |  |
| Pass or Referral |
| AC 4.3* Explain how personal and team performance data is used to inform management reports
 | * You are required to explain, using an appropriate example, how personal and team performance data is used as part of management reporting.

**Answer:** |  |
| Pass or Referral |
| AC 4.4* Describe a manager’s responsibility for reporting to internal stakeholders
 | * Internal stakeholders are individuals and groups who are part of an organisation, such as members of the board, managers, employees and trade unions, who benefit directly from the organisation’s success.
* You are required to describe a manager’s responsibility for reporting to two or more internal stakeholders.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 5:** Understand the principles of management responsibilities and accountabilities within an organisation |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 5.1* Explain the principle of accountability in an organisation
 | * You are required to provide a clear and correct explanation of what is meant by ‘accountability’ in an organisation. (You may wish to use an example to illustrate your answer.)

 **Answer:** |  |
| Pass or Referral |
| AC 5.2* Explain the difference between ‘authority’ and ‘responsibility’
 | * You are required to provide a clear and correct explanation of the difference between ‘authority’ and ‘responsibility’. (You may wish to use an example to illustrate your answer.)

**Answer:** |  |
| Pass or Referral |
| AC 5.3* Explain the meaning of delegated levels of authority and responsibility
 | * ‘Level of authority’ refers to the different hierarchical management levels in an organisation and the duties and responsibilities assigned to each of those levels.
* Delegation empowers a subordinate at a lower level to make decisions.
* You are required to explain the meaning of delegated levels of authority and responsibility.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
|  |  |
| **Assessor’s Decision** | **Quality Assurance Use** |
| **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of Assessor:****Date:** | **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of QA:****Date of QA check:** |

**M&L 2 Develop working relationships with colleagues**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the principles of effective team working | 1.1 Outline the benefits of effective team working | Benefits of effective team working include:* Greater flexibility within the team
* High morale
* Increased efficiency
* Mutual support
* Better ideas from the team
* etc.
 |
|  |  | *In this criterion the learner is required to provide an outline of the main features of two or more benefits of effective team working; it is not acceptable to merely list benefits.* |
|  | 1.2 Describe how to give feedback constructively  | Feedback enables individuals and groups to be aware of what they do and how they do it.Constructive feedback helps individuals learn, grow and develop by offering opportunities to explore options and alternative behaviours, and should:* Focus on issues, not personalities
* Look for solutions, not blame
 |
|  |  | *In this criterion the learner is required to describe the principal features of how to give feedback constructively.* |
|  | 1.3 Explain conflict management techniques that may be used to resolve team conflicts | Conflict may be defined as the internal or external discord that occurs as a result of differences in ideas, values or beliefs of two or more people.Conflict management is important in order to:* Maintain morale
* Maintain performance standards
* Minimise absenteeism
* Promote a safe working environment
* Maintain group cohesion
* etc.

Conflict management techniques that may be used to resolve team conflicts include:* Win-Win (collaborating)
	+ Attempting to identify the underlying concerns in order to find an alternative that satisfies everyone
* Compromise
	+ Working to a mutually-acceptable solution that partially satisfies everyone
* Forcing
	+ Using formal authority or coercion to get one’s own way at the expense of others
* Avoiding
	+ Not addressing the conflict, withdrawing from a threatening situation
* Accommodating
	+ Neglecting own concerns to satisfy others
 |
| *In this criterion the learner is required to explain how two or more conflict management techniques may be used to resolve team conflicts. (Using examples may make this more relevant.)* |
| 1.4 Explain the importance of giving team members the opportunity to discuss work progress and any issues arising | Discussing work progress and any issues arising with team members provides an opportunity to:* Acknowledge team achievements and celebrate success
* Discuss strengths and identify areas for improvement
* Clarify and agree any steps required to improve performance
* Identify how systems, procedures, work methods might be improved
* etc.
 |
| *In this criterion the learner is required to describe two or more reasons that explain the importance of giving team members the opportunity to discuss work progress and any issues arising. (Using examples may make this more relevant.)* |
|  | 1.5 Explain the importance of warning colleagues of problems and changes that may affect them | Warning colleagues of problems and changes that may affect them allows issues to be addressed before they get out of hand and are still manageable, and allows possible solutions to be explored as opposed to merely reacting to a situation.Failure to warn might also threaten the trust relationship with colleagues, who will typically assume the worst if there is a failure to communicate. |
| *In this criterion the learner is required to describe two or more reasons that explain the importance of warning colleagues of problems and changes that may affect them. (Using examples may make this more relevant.)* |
| 2. Be able to maintain effective working relationships with colleagues | 2.1 Recognise the contribution ofcolleagues to the achievement of team objectives | Colleagues want to be appreciated, and recognising their contribution to the achievement of team objectives lets them know that their efforts are noticed and valued. Praise should be timely, direct, personal and specific, with colleagues being told exactly what they do well and why their contribution is appreciated.There are numerous ways to recognise a colleague’s contribution, and the praise must be given in a way that is meaningful to the colleague: some colleagues may prefer to be praised in public, for example, whilst others may be more comfortable with being praised in private, and some colleagues will find it more meaningful to have their contribution recognised by a higher-level manager.  |
| *In this criterion the learner is required to provide evidence that he or she has recognised in an appropriate and meaningful way the contribution of two or more colleagues to the achievement of team objectives.* |
| 2.2 Treat colleagues with respect, fairness and courtesy | Colleagues will be better motivated to complete allocated tasks if they feel they are being listened to and that they are appreciated as part of a team. Treating colleagues with respect, courtesy and fairness is fundamental in creating a positive climate within the team in order to influence team members to feel motivated.  |
| *In this criterion the learner is required to provide appropriate evidence that he or she has treated two or more colleagues with respect and fairness and courtesy. (That is, a minimum of six pieces of evidence should be provided.)* |
| 2.3 Fulfil agreements made with colleagues | Fulfilling agreements is one way to ensure you develop working relationships with colleagues, within your own organisation and within other organisations, which are productive in terms of supporting and delivering your work and that of your organisation.Colleagues should be informed when agreements have been fulfilled, or advised promptly of any difficulties or where it will be impossible to fulfil agreements. |
| *In this criterion the learner is required to provide evidence of correctly and appropriately fulfilling two or more agreements made with colleagues.* |
| 2.4 Provide support and constructive feedback to colleagues | Providing support to colleagues might include:* Explaining policies, procedures, task requirements
* Helping with their workload
* Problem-solving
* Obtaining additional resources
* Providing encouragement
* Providing constructive feedback that focuses on issues and solutions, not personalities or blame
 |
| *In this criterion the learner is required to provide evidence of appropriate support to two or more colleagues and constructive feedback to two or more colleagues.* |
| 3 Be able to collaborate with colleagues to resolve problems | 3.1 Take others’ viewpoints into account when making decisions | Empathy is the ability to identify and understand another's situation, feelings and viewpoints, and to ‘put yourself in the other person's shoes’.Successful leaders and managers work hard to understand others’ viewpoints in a particular situation. They acknowledge others’ viewpoints when making decisions and consider the impact of their choices on the wellbeing and interests of others. |
| *In this criterion the learner is required to provide evidence that he or she understands the viewpoints of two or more colleagues in particular situations and has taken their viewpoints into account when making decisions on those situations.* |
| 3.2 Take ownership of problems within own level of authority | ‘Level of authority’ refers to the different hierarchical management levels in an organisation and the duties and responsibilities assigned to each of those levels.The more senior roles in an organisation will have greater authority to give instructions and make decisions and to ensure compliance with organisational policies and procedures, and problems that lie outside own level of authority must be referred to a more senior manager at the appropriate level.The authority given to a role is usually formalised in a job description, which will generally include the roles and responsibilities of the job as well as the job-holder’s direct report. |
| *In this criterion the learner is required to provide evidence that he or she has taken ownership of two or more problems within own level of authority.* |
| 3.3 Take action to minimise disruption to business activities within their own level of authority | Business activities are activities that provide a product or service that customers require, and a disruption to business activities could have far-reaching consequences for the organisation, such as:* Loss of income
* Loss of reputation
* Loss of customers
* Penalty payments for not meeting deadlines
* Failure of the business

It is therefore the responsibility of everyone in an organisation to take appropriate and effective action, within their own level of authority, to minimise disruption to business activities. |
| *In this criterion the learner is required to provide evidence that he or she has taken effective and appropriate action, within own level of authority, to minimise disruption to two or more business activities.* |
| 3.4 Resolve problems within their own level of authority and agreed contribution  | ‘Resolve problems’ is taken here to mean the resolution of problems relating to working relationships with colleagues. To resolve a problem is to find an effective and satisfactory answer or solution, and a problem with working relationships with colleagues may be resolved formally or informally, depending upon the nature and extent of the problem.If the problem with a working relationship is a relatively minor issue, then an informal resolution may be possible.If, however, the problem is more serious, then it may be necessary to use the organisation’s formal disciplinary or grievance procedures. If the formal procedures are used, then each procedure should specify the level of authority appropriate to each stage.  |
| *In this criterion the learner is required to provide evidence that he or she has appropriately resolved, either formally or informally, two or more problems relating to working relationships with colleagues. The evidence should additionally demonstrate the learner’s agreed contribution within the learner’s own level of authority.*  |

**M&L 3 Contribute to meetings in a business environment**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1.Be able to prepare for meetings | 1.1 Explain the structure and purpose of different types of meetings in the business environment | Meetings are held to address issues that affect the organisation and that cannot be easily handled by methods such as e-mail. Meetings are held so that different people with knowledge and experience of the issues are able to contribute. The structure of the meeting will identify who is involved and the roles they will take. A meeting should have a specific purpose and will usually involve one or more of the following:* Informing
* Consulting
* Solving problems
* Making decisions
* Planning

A participant should be clear about their own role in contributing to the meeting and the nature of formal meeting roles such as the chairperson, and the secretary or minute taker.  |
|  |  | *In this criterion the learner is required to explain the structure and specific purpose of at least two different meetings.*  |
|  | 1.2 Explain the importance of having a meeting agenda which addresses objectives | Meetings should have objective(s) that come from the general purpose of the meeting and give focus and direction. An agenda is an outline plan for the meeting which should be prepared, circulated to participants and followed, so that all relevant topics are covered in a logical way and to a set timescale. This should ensure the objective(s) are achieved. Organisations often have a set format for their agendas. |
|  |  | *In this criterion the learner is required explain the importance of an agenda using an example to show roles, objective(s), topics to be covered, and time allocations.* |
|  | 1.3 Obtain current versions of documents required for a meeting | Meetings require that records be kept to provide a factual, sometimes legal, record of what was said, what information was presented, decisions taken and follow up actions agreed. This is usually in the form of meeting minutes. There are different ways of recording this information depending on the nature and purpose of the meeting. Organisations often have their own format for these. Some records are formal and follow specific rules, others are less so. In some cases those attending the meeting will be give copies of the minutes of the previous meeting or briefing papers they are expected to read before attending a meeting, as well as a copy of the agenda. |
| *In this criterion the learner is required to obtain current versions of documents required for a meeting.* |
| 1.4.Gather information from relevant people in preparation when preparing for meetings | Meetings will only be effective if participants are clear about the purpose and objectives of the meetings they attend and the contribution they will be expected to make. In order to do this effectively they will normally gather information relating to the issues and then analyse that information so they can present it clearly and concisely. |
| *In this criterion the learner is required gather information required for a meeting they will attend and decide how best that information can be presented to satisfy the requirements of the agenda and to achieve the objective(s) of the meeting.* |
| 1.5 Confirm the objectives to be achieved during the meeting | As mentioned under previous criteria the objective(s) of the meeting must be specific and the role and responsibilities of the participants should be clear. |
| *In this criterion the learner is required to clarify their understanding of the objective(s) of the meeting they are to attend and their role within the meeting. The learner should be able to confirm this and to state this clearly.*  |
| 2. Be able to participate in meetings | 2.1 Present views and information, providing evidence to support the case | Participants in a meeting are expected to present relevant views or information clearly and concisely using supporting documents and/or visual aids as appropriate. |
| *In this criterion the learner is required to provide evidence of how they have presented views and information at a meeting, including information they have presented at the meeting to support their case.* |
| 2.2 Represent the views of others when consulted | It is likely that participants at a meeting will be representing the views of others from their team, department or organisation, and they should check beforehand that the information they present accurately represents those views |
| *In this criterion the learner is required to provide evidence that he or she has represented the views of others when consulted.* |
| 2.3 Take others’ viewpoints into account in decision-making | To participate effectively in a meeting the participant should be aware of any rules that apply and of positive and negative meeting behaviours.* Negative behaviors include interrupting others, aggressive attitude, time wasting and disruptions such as mobile phones
* Positive behaviours include being prepared, allowing other people to express their views, listening and responding concisely and clearly

Participants should also be aware that other people in the meeting may well have different ideas and points of view on agenda items and topics under discussion, and that all points of view need to be taken into account when reaching a decision. |
| *In this criterion the learner is required to provide evidence that they have taken account of other people’s viewpoints during a meeting.* |
| 2.4 Identify issues that have / may have an impact on their area of responsibility | During a meeting issues will arise that have an impact on the participant’s area of responsibility, or on the team, department or organisation the participant is representing. Use of positive meeting behaviours will ensure that the participant is aware of these issues when they arise and is ready to respond.  |
| *In this criterion the learner is required to provide evidence of identifying issues at the meeting that may / may have an impact on their area of responsibility or those they represent.* |
| 2.5 Make constructive contributions in line with business objectives | Positive meeting behaviour requires the participant to take an active involvement in the meeting when issues relating to their area of responsibility arise. This is done by asking questions and clarifying and constructively presenting their views and those of the people they represent. |
| *In this criterion the learner is required to provide evidence of the constructive contributions they have made to a meeting in line with business objectives.*  |
| 2.6 Summarise future actions and accountabilities | At the end of the meeting future actions will normally have been agreed for which the participant or the person they represent will be accountable. The participant should be clear as to what these actions are and the timescales involved. Clarification should be sought before the end of the meeting if the participant is unclear. Notes should be taken as a record and for reference.  |
| *In this criterion the learner is required to provide a summary of future actions and accountabilities resulting from the meeting.* |
| 3. Be able to carry out post-meeting activities | 3.1 Carry out agreed actions within the agreed timescale | As follow up actions are normally required as the result of a meeting the participant needs to ensure that these are planned, implemented, and completed within the set time sales.  |
| *In this criterion the learner needs to provide evidence that actions resulting from a meeting have been planned and completed within the agreed timescales* |
| 3.2 Identify areas for improvements by reflecting on personal contributions to meetings | In order to improve their performance at business meetings participants should review their performance after the meeting to identify effectiveness of their contribution to the success of the meeting and how it could be improved. Feedback from other participants could be useful in doing this.Those reflections should be structured around the criteria for good meetings:* Clear understanding of purpose, objectives and own role
* Pre-meeting preparation
* Quality of contributions made
* Use of positive and constructive meeting behaviours
* Success of post-meeting activity
 |
| *In this criterion the learner should complete a reflective account of their personal contribution to a meeting(s). Areas for improvement in future meetings should be identified from this reflective account.* |

**M&L7: Principles of equality and diversity in the workplace**

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| **Centre Number :** |  | **Centre Name :** |  |
| **Learner Registration No :** |  | **Learner Name:** |  |
| **Learning Outcome / Section 1:** Understand the implications of equality legislation |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 1.1* Define the concept ‘equality and diversity’
 | * You are required to state precisely the meaning of both quality and diversity ensuring the difference between the two is made clear

**Answer:** |  |
| Pass or Referral |
| AC 1.2* Describe the legal requirements for equality of opportunity
 | * The Equality Act 2010 legally protects people from discrimination and helps achieve equal opportunities in the workplace and in wider society
	+ It replaced previous anti-discrimination laws with a single Act, making the law easier to understand and strengthening protection in some situations
	+ It sets out the different ways in which it’s unlawful to treat someone.
* You are required to describe the legal requirements for equality of opportunity as set out in the Equality Act 2010

**Answer:** |  |
| Pass or Referral |
| AC 1.3* Describe the role and powers of organisations responsible for equality
 | * The Equality and Human Rights Commission (EHRC) has ‘a statutory remit to promote and monitor human rights; and to protect, enforce and promote equality across the nine "protected" grounds - age, disability, gender, race, religion and belief, pregnancy and maternity, marriage and civil partnership, sexual orientation and gender reassignment’
* The Commission has responsibility for the promotion and enforcement of equality and non-discrimination laws in England, Scotland and Wales
* In Northern Ireland, there is a separate Equality Commission (ECNI) and a Human Rights Commission (NIHRC)
* You are required to describe the role and powers of the EHRC, the ECNI, or the NIHRC, as appropriate.

**Answer:** |  |
| Pass or Referral |
| AC 1.4* Explain the benefits of equal opportunities and diversity
 | * You are required to provide two or more examples to show how ‘diversity management’ and promoting ‘equality of opportunity’ work to benefit an organisation in terms of improving productivity, raising the profile of the organisation, entering new markets, or widening the pool of talent available for promotion.

**Answer:** |  |
| Pass or Referral |
| AC 1.5* Explain the potential consequences for an organisation of failing to comply with equality legislation
 | * The Legal Enforcement Powers available to the EHRC are Inquiries, Investigations, Unlawful Act notices, Agreements, Public Sector Duty Assessments and Compliance notices.
* In order to pass this criterion an explanation of each must be provided.

**Answer:****Inquiries****Investigations****Unlawful Act Notices****Agreements****Public Sector Duty Assessments****Compliance notices** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 2:** Understand organisational standards and expectations for equality and diversity and context in the workplace |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 2.1* Explain how organisational policies on equality and diversity translate into day to day activity in the workplace
 | * Organisations should demonstrate good practice by having a written statement on equality and diversity, and this may be called a ‘policy’, a ‘strategy’, or something similar
* The policy is a statement of intent to guide decision making, and how this intent is carried out in practice, in day-to-day operations, will be stated in relevant organisational procedures
* You are required to explain how equality and diversity is essential to two or more organisational procedures.

 **Answer:** |  |
| Pass or Referral |
| AC 2.2* Describe their own responsibilities for equality and diversity in the workplace
 | * Employees are responsible for supporting the aims of their organisation’s equality and diversity policies and for conforming to organisational procedures, and responsibilities for equality and diversity in the workplace will generally be specified in these documents.
* You are required to describe two or more of your responsibilities for equality and diversity in the workplace, in accordance with your organisation’s policies and procedures.

**Answer:**  |  |
| Pass or Referral |
| AC 2.3* Describe behaviours that support equality, diversity and inclusion in the workplace
 | * Organisations expect high standards of behaviour from employees, and all employees need to be aware how their behaviour can affect others.
* Discriminatory behaviour is not acceptable, and all employees should treat others with courtesy, respect and consideration.
* You are required to describe three or more behaviours, or ways in which employees interact with each other, which support equality, diversity and inclusivity in the workplace.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
|  |  |
| **Assessor’s Decision** | **Quality Assurance Use** |
| **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of Assessor:****Date:** | **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of QA:****Date of QA check:** |

**T/505/4673 Gweithdrefnau Iechyd a Diogelwch yn y Gweithle**

|  |  |  |
| --- | --- | --- |
| **Deilliannau Dysgu**  | **Meini Prawf Asesu**  | **Canllawiau ac ystod** **Mae’r ymgeisydd yn darparu tystiolaeth ei fod yn deall:** |
| 1. Gwybod gweithdrefnau iechyd a diogelwch yn y gweithle.
 | 1.1 Diffinio prif gyfrifoldebau iechyd a diogelwch yn y gweithle ar gyfer y canlynol:a) cyflogwyrb) gweithwyr cyflogedig | Mae’n rhaid i ymgeiswyr ddangos ymwybyddiaeth o weithdrefnau iechyd a diogelwch mewn perthynas â’u rôl a gofynion sefydliadau.Mae gan gyflogwyr ‘ddyletswydd gofal’ i sicrhau eich iechyd, eich diogelwch a’ch lles i’r graddau mwyaf posibl tra rydych yn y gwaith.**a) Cyfrifoldebau cyflogwyr i unrhyw un sy’n cyflogi pump neu fwy o bobl gan gynnwys:*** Rheoli risgiau ac atal risgiau i iechyd lle y bo’n bosibl drwy wneud y gweithle yn ddiogel
* Sicrhau bod peiriannau a chyfarpar yn ddiogel i’w defnyddio ac yn cael eu cynnal a’u cadw’n rheolaidd
* Darparu cyfarpar personol a diogelwch ar gyfer gweithwyr cyflogedig
* Rhoi gwybod i chi am unrhyw beryglon posibl sy’n gysylltiedig â’ch gwaith a rhoi gwybodaeth, cyfarwyddiadau, hyfforddiant a goruchwyliaeth lle y bo angen
* Bod yn gyfrifol am unrhyw ymwelwyr i’w safleoedd fel cwsmeriaid, cyflenwyr a’r cyhoedd
* Darparu cyfleusterau cymorth cyntaf digonol a rhoi cynlluniau argyfwng ar waith, gan gynnwys yr arwyddion rhybuddio cywir

**b) Mae cyfrifoldebau gweithwyr cyflogedig yn cynnwys:*** Cymryd gofal rhesymol am eich iechyd a’ch diogelwch eich hun ac eraill, gan sicrhau eich bod yn deall polisïau iechyd a diogelwch eich cwmni ac yn eu dilyn
* Peidio â chamddefnyddio unrhyw gyfarpar a ddarperir at ddibenion diogelwch
* Cydweithredu â’ch cyflogwr drwy wisgo dillad diogelwch ac os yw’n briodol, tynnu gemwaith neu orchuddio gwallt hir
* Adrodd am unrhyw anafiadau, ac unrhyw fathau o straen neu salwch a ddioddefwyd o ganlyniad i’ch gwaith
* Hysbysu eich cyflogwr o unrhyw feddyginiaeth yr ydych yn ei chymryd, os ydych yn gweithio â pheiriannau, yn eu gyrru neu’n eu gweithredu
 |
| *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddiffinio’r prif gyfrifoldebau iechyd a diogelwch yng ngweithle cyflogwyr a gweithwyr cyflogedig.*  |
| 1.2 Disgrifio dwy gyfraith iechyd a diogelwch sy’n effeithio ar y gweithle  | Mae enghreifftiau’n cynnwys:* Deddf Iechyd a Diogelwch yn y Gwaith etc 1974
* Rheoliadau Rheoli Sylweddau Peryglus i Iechyd (COSHH)
* ac ati
 |
| *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddisgrifio prif nodweddion dwy gyfraith iechyd a diogelwch sy’n effeithio ar y gweithle*  |
| 1.3 Diffinio pwysigrwydd dilyn gweithdrefnau iechyd a diogelwch yn y gweithle  | *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddiffinio pwysigrwydd dilyn y gweithdrefnau iechyd a diogelwch canlynol yn y gweithle* |
| 1.4 Diffinio’r math o wybodaeth neu gymorth sydd ar gael mewn perthynas ag agwedd benodol ar iechyd a diogelwch yn y gweithle. | Mae ffynonellau’n cynnwys, er enghraifft:* Y cyflogwr
* Yr Awdurdod Gweithredol Iechyd a Diogelwch (HSE)
* Canolfannau adnoddau Undebau Llafur
* Gwefannau sy’n cynnig llyfrynnau allweddol, fel HSE: Gwybodaeth am Iechyd a Diogelwch yn y Gwaith [2.9.14]
 |
| *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddiffinio tri gwahanol fath o wybodaeth neu gymorth sydd ar gael mewn perthynas ag agwedd benodol ar iechyd a diogelwch yn y gweithle.* |
| **Gellir defnyddio’r canlynol fel tystiolaeth:*** *Hyfforddiant sefydlu, trafodaeth broffesiynol, cwestiynu, datganiadau gan dystion, cofnod myfyriol, adrodd ar gasglu, dadansoddi a dehongli gwybodaeth sy’n berthnasol i Gyfraith a Rheoliadau Iechyd a Diogelwch.*
 |
| 2. Gallu cwblhau tasgau mewn perthynas ag iechyd a diogelwch yn y gweithle. | 2.1 Cynnal asesiad risg o weithgaredd penodol yn y gweithle  | Cynhelir asesiad risg er mwyn nodi mesurau call i reoli risgiau yn eich gweithle. Dyma’r pum cam:* Nodi’r peryglon
* Nodi’r unigolion sydd mewn perygl
* Gwerthuso lefel y risg
* Rhoi rheolaethau ar waith er mwyn diddymu neu leihau risg
* Cofnodi a monitro (ar gyfer 5 a mwy o weithwyr cyflogedig )
 |
| *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddarparu tystiolaeth ei fod ef neu hi wedi cynnal asesiad risg cywir o weithgaredd penodol yn y gweithle* |
| 2.2 Defnyddio cyfarpar neu offer yn ddiogel yn y gweithle  | *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddarparu tystiolaeth ei fod ef neu hi wedi defnyddio dau ddarn o gyfarpar neu offer yn ddiogel yn y gweithle.*  |
|  2.3 Disgrifio sut i atal damweiniau yn y gweithle  | *Yn y maen prawf hwn, mae gofyn i’r dysgwr ddisgrifio prif nodweddion sut i atal damweiniau yn y gweithle*  |
| 2.4 Asesu sut y gellir gwella eich arferion iechyd a diogelwch eich hun | *Yn y maen prawf hwn, mae gofyn i’r dysgwr asesu sut y gellir gwella ei arferion iechyd a diogelwch ei hun*  |
| **Gellir defnyddio’r canlynol fel tystiolaeth:*** arsylwi
* tystiolaeth gan dystion
* trafodaeth broffesiynol
* cwestiynu
* cofnod myfyriol
* cynnwys y sylfaen wybodaeth\*
* adborth cwsmeriaid/ cyflenwyr
* polisïau a gweithdrefnau sefydliad\* a chodau ymarfer sefydliad.
 |

**Dalier sylw:**

**Mae’r uned hon yn ymwneud â sicrhau eich bod wedi cael gwybodaeth a hyfforddiant, a’ch bod yn deall yr amgylchedd a bod yr amgylchedd yn ddiogel, a’ch bod yn rhoi sylw i weithdrefnau iechyd a diogelwch bob amser drwy ddefnyddio arferion gweithio diogel.**

**Yma bydd angen arsylwi ar yr ymgeisydd wrth iddo/iddi gwblhau tasgau, a defnyddio cyfarpar ac offer yn ddiogel.**

**\*Dylid cadw dogfennau mewnol/y sefydliad yn y gweithle yn hytrach nag ym mhortffolio’r ymgeisydd gan nodi lle y gellir dod o hyd iddynt a pha mor berthnasol ydynt i’r meini prawf.**

**T/505/4673 Health and Safety Procedures in the Workplace**

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| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Know health and safety procedures in the workplace.
 | 1.1 Define the main responsibilities for health and safety in the workplace of the following:a) employersb) employees | Candidates must show an awareness of health and safety procedures in relation to their role and organisational requirements.Employers have a ‘duty of care’ to ensure as far as possible your health, safety and welfare while you are at work.**a) Responsibilities of employers for anyone employing five or more people include:*** Control risks and prevent risks to health where possible by making the workplace safe
* Ensure that plant and machinery is safe to use and regularly maintained
* Provide personal protective and safety equipment for employees
* Tell you about any potential hazards for the work you do and give information, instructions , training and supervision where required
* Take responsibility for any visitors to their premises such as customers, suppliers and the general public
* Provide adequate first aid facilities and set up emergency plans, including the right warning signs

**b) Responsibilities of employees include:*** Taking reasonable care of your own and others’ health and safety, making sure that you understand and follow the company’s health and safety policies
* Not misusing any equipment that is provided for safety purposes
* Cooperating with your employer by wearing protective clothing and if appropriate, removing jewellery or covering long hair
* Reporting any injuries, strains or illnesses suffered as a result of your work
* Informing your employer of any medication that you are taking, if working with, driving or operating machinery
 |
| *In this criterion the learner is required to define the main responsibilities for health and safety in the workplace of employers and employees*  |
| 1.2 Describe two health and safety laws affecting the workplace | Examples include:* The Health and Safety at Work, etc. Act, 1974
* The Control of Substances Hazardous to Health Regulations 2002 (COSHH)
* etc.
 |
| *In this criterion the learner is required to describe the key features of two health and safety laws affecting the workplace* |
| 1.3 Define the importance of following health and safety procedures in the workplace | *In this criterion the learner is required to define the importance of following health and safety procedures in the workplace* |
| 1.4 Define the types of information or support available in relation to a specified aspect of health and safety in the workplace. | Sources include, for example:* The employer
* The Health and Safety Executive (HSE)
* Trade Union resource centres
* Websites offering key booklets, such as [HSE: Information about health and safety at work](http://www.hse.gov.uk/) [2.9.14]
 |
| *In this criterion the learner is required to define three types of information or support available in relation to a specified aspect of health and safety in the workplace.* |
| **Evidence may be supplied by:*** *Induction training, professional discussion, questioning, witness statements, reflective account, report on gathering, analysing and interpreting information relevant to the role on Health and Safety Law and Regulations.*
 |
| 2. Be able to carry out tasks with regard to health and safety in the workplace. | 2.1 Carry out a risk assessment of a specified workplace activity | A Risk assessment is carried out in order to identify sensible measures to control risks in your workplace. Five steps are:* Identify the hazards
* Identify the persons at risk
* Evaluate the level of risk
* Implement controls to remove or reduce risk
* Record and monitor ( for 5 employees and over)
 |
| *In this criterion the learner is required to provide evidence that he or she has correctly carried out a risk assessment of a specified work place activity* |
| 2.2 Use equipment or tools safely in the workplace  | *In this criterion the learner is required to provide evidence that he or she has used two or more pieces of equipment or tools safely in the workplace*  |
|  2.3 Describe how to prevent accidents in the workplace | *In this criterion the learner is required to describe the key features of how to prevent accidents in the workplace* |
| 2.4 Assess how own health and safety practices could be improved | *In this criterion the learner is required to assess how own health and safety practices could be improved* |
| **Evidence may be supplied by:*** observation
* witness testimony
* professional discussion
* questioning
* reflective account
* knowledge base content\*
* customer/ supplier feedback
* organisational policies and procedures\* and organisational codes of practice.
 |

**Note:**

**This unit is about ensuring that you have been provided with information and training, understand and work in a safe environment, observing health and safety procedures at all times by using safe working practices.**

**Here the candidate will require to be observed when carrying out tasks and using equipment and tools safely.**

**\*Internal/organisational documentation need not be held in the candidate’s portfolio but held in the workplace with reference made to where it can be found and its relevance to the criteria.**

**B&A 16 Store and retrieve information**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand information storage and retrieval.
 | Describe systems and procedures for storing and retrieving information  | Systems:* Paper-based
* Electronic

Procedures:Electronic* Title or subject
* Category or reference number
* Dated
* Author
* Storage end date

Paper-based * Alphabetical
* Numerical
* Chronological
* Geographical
* By subject or category
 |
| Outline legal and organisational requirements for information security and retention | Legal requirements:* Freedom of Information Act
* Data Protection Act
 |
| Explain how to create filing systems to facilitate information identification and retrieval | Filing systems:* Vertical
* Lateral

Identification* Index guide
* Folder tabs
* Cross indexing
 |
| Explain how to use different search techniques to locate and retrieve information |  |
| Describe what to do when problems arise when storing or retrieving information. | Problems* Misfiling
* Not up-to-date filing
* Hardware
* Software

You will also need to be aware about your level of authority and who to go to if any of the problems are outside your level of authority |
| Evidence may be supplied by* Reflective account, questioning and professional discussion
 |
| 1. Be able to gather and store information.
 | 1. Gather the information required within the agreed timescale
 |  |
| * 1. Store files and folders in accordance with organisational procedures
 |
| * 1. Store information in approved locations
 |
| * 1. Adhere to organisational policies and procedures, legal and ethical requirements.
 |
| Evidence may be supplied by* Product, reflective account, observation, questioning and witness testimony
 |
| 1. Be able to retrieve information.
 | 1. Confirm information to be retrieved and its intended use
 |  |
| 1. Retrieve the required information within the agreed timescale.
 |
| Evidence may be supplies by* Product, reflective account, observation, questioning and witness testimony
 |

**B&A 18 Handle mail**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand how to deal with mail
 | Explain how to deal with ‘junk’ mail |  |
| Describe what to do in the event of problems arising when dealing with incoming or outgoing mail | Problems* Deadlines missed
* Appointments missed
* Banking of cheques delayed
* Security issues, damage
 |
| Describe how to operate a franking machine | Franking Machine* Correct amount of postage used
* Sufficient credit
* Returning machine to minimum amount
 |
| Explain how to prepare packages for distribution |  |
| State organisational policies and procedures on:* Mail handling
* Security
* The use of courier services
 |  |
| Explain the process for reporting suspicious or damaged items in accordance with organisational procedures. | Suspicious or damaged items* Record date and time of receipt
* Report to appropriate authority
 |
| Evidence may be supplied by* Report, questions and professional discussion
 |
| 1. Be able to deal with incoming mail
 | 1. Sort incoming mail in line with organisational procedures
 |  |
| * 1. Distribute incoming mail and packages to the right people according to the agreed schedule
 |  |
| * 1. Deal with incorrectly addressed and ‘junk’ mail in accordance with organisational procedures.
 | Junk mail:* Throw away mail
* Widely distributed mail
* Unwanted
 |
| Evidence may be supplied by* Observation, case study/reflective account and witness testimony
 |
| 1. Be able to deal with outgoing mail
 | 1. Organise the collection of outgoing mail and packages on time
 |  |
| 1. Identify the best option for dispatching mail according to the:
* Required degree of urgency
* Size
* Value of the item
 |
| 3.3 dispatch outgoing mail on time |
| Evidence may be supplied by* Observation, case study/reflective account and witness testimony
 |

**B&A 39: EMPLOYEE RIGHTS AND RESPONSIBILITIES**

|  |  |  |  |
| --- | --- | --- | --- |
| **Centre Number :** |  | **Centre Name :** |  |
| **Learner Registration No :** |  | **Learner Name:** |  |
| **Learning Outcome / Section 1: Understand the role of organisations and industries** |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 1.1* Explain the role of their own occupation within an organisation and industry
 | * An ‘occupation’ is a term that is generally taken to mean a [career](http://en.wikipedia.org/wiki/Career), profession, or vocation to which an individual is particularly attracted to.
* Organisations are classified into industry sectors, and examples of industry sectors include engineering and construction, hospitality and leisure, entertainment and media, retail and consumer, etc.
* You are required to explain how your occupation contributes to your organisation ***and*** to your industry.

**Answer:** |  |
| Pass or Referral |
| AC 1.2* Describe career pathways within their organisation and industry
 | * A career pathway describes how an employee might progress his or her career through, for example, formal education or training, informal learning and developing personal skills and interests.
* You are required to describe the key features of one career pathway within your organisation ***and*** one separate and distinct career pathway within your industry.

**Answer:** |  |
| Pass or Referral |
| AC 1.3* Identify sources of information and advice on an industry, occupation, training and career pathway
 | * Information and advice on an industry, occupation, training and career pathway is readily available from a wide variety of sources, and can, for example, be easily accessed online or by visiting employment agencies.
* You are required to identify ***two*** relevant and appropriate sources of information and advice on ***each*** of the following:
	+ an industry
	+ an occupation
	+ training
	+ career pathways

**Answer:** |  |
| Pass or Referral |
| AC 1.4* Describe an organisation’s principles of conduct and codes of practice
 | * An organisation’s principles of conduct defines the behaviour expected from its employees, and will generally make reference to, for example, acting ethically and with integrity.
* Codes of practice are used to regulate an occupation or profession and provide practical advice. For example, under the Construction (Design and Management) Regulations 2007 the Approved Code of Practice (ACOP) has special legal status and gives practical advice for all those involved in construction work.
* You are required to describe the key features of an organisation’s principles of conduct ***and*** two codes of practice.

 **Answer:** |  |
| Pass or Referral |
| AC 1.5* Explain issues of public concern that affect an organisation and industry
 | * The public has expressed concern on a number of issues in recent years over the behaviour or activities of particular organisations and industries, including the behaviour of the banking industry and individual banks, food standards, and the standards of care provided in residential care homes.
* You are required to describe the poor practices of ***one*** organisation and ***one*** industry in order to explain why those poor practices have become issues of public concern that affect the organisation and the industry.

**Answer:** |  |
| Pass or Referral |
| AC 1.6* Describe the types, roles and responsibilities of representative bodies and their relevance to their own role
 | * There are a number of representative bodies relevant to employee rights and responsibilities, including:
	+ Trade unions
	+ Government bodies
	+ Works Committees
	+ Employer/Employee forums
	+ Professional Associations
	+ etc.
* You are required to describe the roles and responsibilities of ***three*** different types of representative bodies.
* You are then required to describe how each of the ***three*** different types of representative bodies is relevant to own role.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 2 Understand employers’ expectations and employees’ rights and obligations** |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 2.1* Describe the employer and employee statutory rights and responsibilities that affect their own role
 | * Employers and employees have statutory rights and responsibilities relating to such areas as Health and Safety, Terms and Conditions of Employment, Equal Opportunities, and the right to be paid a Minimum Wage.
* The Health and Safety at Work Acts, for example, set out responsibilities and rights for both employers and employees, and there are also specific regulations about the ways in which potentially harmful substances should be used and stored.
* You are required to describe how the main features of ***two*** employer and employee statutory rights and responsibilities affect own role.

 **Answer:** |  |
| Pass or Referral |
| AC 2.2* Describe an employer’s expectations for employees’ standards of personal presentation, punctuality and behaviour
 | * Most, if not all, employers will provide some formal guidance for such things as productivity, behaviour (including honesty and loyalty) and punctuality, and, depending upon the organisation and the industry, employer expectations will also usually extend to providing guidelines on, for example, interaction with customers, dress code, and use of company property (such as office equipment).
* You are required to describe the main features of an employer’s expectations for employees’ standards of personal presentation, punctuality and behaviour.

**Answer:**  |  |
| Pass or Referral |
| AC 2.3* Describe the procedures and documentation that protect relationships with employees
 | * The CIPD notes that ‘*Disciplinary and grievance procedures are frameworks which provide clear and transparent structures for dealing with difficulties which may arise as part of the working relationship from either the employer’s or employee’s perspective.*
* *These procedures are necessary to ensure that everybody is treated in the same way in similar circumstances, to deal with issues fairly and reasonably, and to ensure that employers are compliant with current legislation and follow the relevant Acas Code of Practice’*

<http://www.cipd.co.uk/hr-resources/factsheets/discipline-grievances-at-work.aspx>* You are required to describe the main features of procedures and documentation that protect relationships with employees, ensuring they are compliant with current legislation and follow the relevant Acas Code of Practice.

**Answer:** |  |
| Pass or Referral |
| AC 2.4* Identify sources of information and advice on employment rights and responsibilities
 | * Information and advice on employment rights and responsibilities can be collected from a variety of sources, including the Government, Citizens Advice and ACAS.
* You are required to identify ***three*** sources of information and advice on employment rights and responsibilities.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
|  |  |
| **Assessor’s Decision** | **Quality Assurance Use** |
| **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of Assessor:****Date:** | **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of QA:****Date of QA check:** |

**CS 7 - Deliver customer service**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand customer service delivery  | * 1. Explain the relationship

between customers’ needs and expectations and customer satisfaction | NeedsWhat the customer must have/requires.ExpectationsWhat the customer thinks they should experience or get.SatisfactionWhen an organisation meets or surpasses a customer’s expectations.Features and benefitsFeature – what a product or service does.Benefit – how the features meet the customer needs. Balancing promisesDeciding when the promises can be met by the organisation and when it is not viable for the organisation to do what the customer wants either financially or practically. |
| * 1. Describe the features and

benefits of an organisation’s products and/or services  |
| * 1. Explain the importance of

treating customers as individuals |
|  |
| * 1. Explain the importance

balancing promises made to customers with the needs of an organization |
|  |
| * 1. Explain when and to whom to

escalate problems |
| * 1. Describe methods of

measuring their own effectiveness in the delivery of customer service |
| Evidence may be supplied by* Professional discussion, questioning, reflective account, marketing materials
 |
| 2. Understand the relationship between customer service and a brand  | * 1. Explain the importance of

brand to an organization | BrandA brand is the way in which an organisation’s products, services are identified.Service offerA service offer is what the organisation says it will offer its customers and is therefore what the customer comes to expect. A service offer covers e.g. the refund policy, its delivery times and the service it will offer.Brand promiseBranding is the way a product or service is recognised and is the promise made by the organisation to its customer. When a customer sees a particular brand they trust it assists them when making buying decisions as they know what to expect. If they don’t recognise the brand they will have no clear expectations of the product or service and will almost be taking a risk on any purchase or usage. |
| 2.2 Explain how a brand affects an organisation’s customer service |
| 2.3 Explain the importance of using customer service language that supports a brand promise  |
| 2.4 Identify their own role in ensuring that a brand promise is delivered  |
| Evidence may be supplied by* Professional discussion, questioning, reflective account, marketing materials, brand
 |
| 3. Be able to prepare to deal with customers  | 3.1 Keep up to date with an organisation’s products and/or services  | Resources can be e.g.:* Marketing materials
* Manuals\*
* Documentation\*
* Schedules/rotas/daily plan
* Customer records\*
* Any monetary requirements.
 |
| 3.2 Prepare resources that are necessary to deal with customers before starting work  |
| Evidence may be supplied by:* Observation, witness testimony, customer records\*, professional discussion, questioning, reflective account, knowledge base content.\*, service offer\*, marketing materials, manuals\*, documentation\* , schedules/rotas/daily plan, legislative requirements and organisational ethical policies\*
 |
| 4. Be able to provide customer service  | 4.1 Maintain organisational standards of presentation and behaviour when providing customer service  | Presentation and behavior:* Personal presentation/dress/uniform
* Presentation of work area
* Attitude
* Tone of voice
* Body language.

Organisational guidelines:* Organisational policies/procedures
* Work instructions
* Scripts.

Organisational policies and procedures which relate to:* Roles and responsibilities showing limits of authority
* Service offer
* Handling of customer issues.

Legal requirements:* Sale of Goods Act (Sale and Supply of Goods to Consumers Regulations)
* Trade Descriptions Act
* Data Protection Act
* Equality Act

Ethical requirements:* Organisational principles
* Values
* Fairness.
 |
| 4.2 Adapt their own behaviour to meet customers’ needs or expectations  |
| 4.3 Respond to customers’ requests in line with organisational guidelines  |
| 4.4 Inform customers of the progress of their requests  |
| 4.5 Confirm that customers’ expectations have been met in line with the service offer  |
| 4.6 Adhere to organisational policies and procedures, legal and ethical requirements when providing customer service  |
| Evidence may be supplied by:* Observation, witness testimony, customer records\*, professional discussion, questioning, reflective account, service offer\*, work instructions/scripts\*, organisational policies and procedures, legislative requirements and organisational ethical policies\*
 |
| 5. Be able to support improvements to customer service delivery  | 5.1 Identify ways that customer service could be improved for an organisation and individuals  | ImprovementsHere the candidate does not need to put improvements in place but make suggestions and then share these ideas and related information. |
| 5.2 Share information and ideas with colleagues and/or service partners to support the improvement of service delivery  |  |
| Evidence may be supplied by:* Observation, witness testimony, customer records\*, professional discussion, questioning, reflective account, service offer\*, organisational policies and procedures, legal requirements and ethical policies\*
 |

Note:

This unit is about delivering customer service on a daily basis.

Here the candidate will require to be observed over time preparing for and then dealing with a variety of customers. Witness testimonies can be added if necessary. \*Internal/organisational documentation need not be held in the candidate’s portfolio but held in the workplace with reference made to where it can be found and its relevance to the criteria.

*While the candidate can provide a copy of the organisational policies and of the organisational ethical policy/requirements (or refer to them), this on its own is not sufficient. The candidate will require to demonstrate their application and be able to discuss them, showing understanding of how they are applied. This also applies to legal requirements.*

**CS 8: Understand customers**

|  |  |  |  |
| --- | --- | --- | --- |
| **Centre Number :** |  | **Centre Name :** |  |
| **Learner Registration No :** |  | **Learner Name:** |  |
| **Learning Outcome / Section 1:** Understand the different types of customers |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 1.1* Explain the distinctions between internal and external customers
 | * Organisations will all have both internal and external customers even if these exact terms are not used. While external and internal customers may fulfil different roles, both are critical to the viability of your business/organisation.
* You are required to define the differences between internal and external customers and in your explanation state why this distinction is necessary and what the key factors of each role are. Using examples, explain the impact internal customers can have on external customers.

**Answer:** |  |
| Pass or Referral |
| AC 1.2* Explain how cultural factors can affect customers’ experiences
 | * Cultural factors come from the different components related to culture or cultural environment from which the consumer belongs. Appreciating the different cultural influencers is crucial when it comes to understanding the needs and behaviours of an individual customer.
* You are required to list the main cultural factors that affect customers’ experiences and explain how these impact their buying behaviours and expectations.

**Answer:**  |  |
| Pass or Referral |
| AC 1.3* Describe the characteristics of challenging customers
 | * Often, customer facing employees find themselves out on the ‘firing line’. They are required to deal with the stresses, both great and small, that challenging customers can bring.
* You are required to describe at least four characteristics of challenging customer’s behaviour. Next explain how you would deal with two of these situations stating the skills you would employ.

**Answer:** |  |
| Pass or Referral |
| AC 1.4* Explain how to identify dissatisfied customers
 | * Customer satisfaction is a key performance measure in most customer facing businesses/organisations. One of the ways businesses lose customers is when they leave dissatisfied but haven’t been explicit or even mentioned this dissatisfaction.
* You are required to describe at least 5 behavioural clues of dissatisfaction and how you would work with these to identify the specific causes of customer dissatisfaction.

**Answer:** |  |
|  |  | Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
| **Learning Outcome / Section 2:** Understand the value of customers and their loyalty.  |
| **Assessment Criteria (AC)** | **Assessment Guidance** | **Assessor feedback on AC** *[comments not necessary in every box]* |
| AC 2.1* Explain how the achievement of the customer service offer contributes to enhancing customer loyalty
 | * Service providers of today have little choice but to invest in the customer experience. Customer loyalty is no longer an option, and the combination of rising customer expectations and competition, put a premium on a positive customer experience. Retention of customers is often a key performance indicator.
* You are required to explain how the service provided will improve the chance of customers remaining loyal to your business services/brand. Include the motivational factors that may be influencing these choices.

**Answer:** |  |
| Pass or Referral |
| AC 2.2* Explain the relationship between customer satisfaction and organisational performance
 | * Within any customer focused organisation there are customer satisfaction measures that need to be met and improved for the business to continue to trade effectively. To enable the service provided to be consistent there are policies, procedures and behavioural standards that are aimed at providing consistent service targeted at organisational performance.
* You are required to:
	+ Explain how the customers satisfaction is measured in your organisation
	+ Explain how organisations use this data to provide consistent and improved services to retain and expand their customer base.

**Answer:** |  |
| Pass or Referral |
| AC 2.3* Explain how the reputation and image of an organisation affects customers’ perceptions of its products and/or services.
 | * Organisational reputation is the overall estimation in which an organisation is held by its internal and external customers, based on its past actions and probability of its future behaviour. Think about what makes customers do business with one organisation as opposed to going elsewhere and why would they pay a premium for something, rather than going for the cheapest option somewhere else.
* You are required to explain the direct affects organisational reputation has on customers perceptions of the quality and value of the products and services provided.

**Answer:** |  |
| Pass or Referral |
| AC 2.4* Explain the potential consequences of customers’ dissatisfaction.
 | * Customer complaints are a natural consequence of any service/product activity because mistakes are an unavoidable feature of human endeavour and of service delivery. We all have the right to make mistakes, however we also have the responsibility to ensure they are not repeated, that we learn from them and deal with the consequences professionally.

* Explain, with examples where appropriate, the consequences of customers’ dissatisfaction on the customers, the organisation and the customer facing workforce.

**Answer:** |  |
| Pass or Referral |
| AC 2.5* Describe different methods of attracting customers and retaining their loyalty.
 | * The average business loses around 20 percent of its customers annually simply by failing to attend to customer relationships. In some industries this leakage is as high as 80 percent. The cost of attracting new customers is 6 or 7 times more than that to retain existing customers.
* You are required to describe the different methods used to attract new customers and the methods used to retain existing customers. State the principle features of these methods.

**Answer:** |  |
| Pass or Referral |
| **Section comments** (optional): | **Verification comments** (optional): |
|  |  |
| **Assessor’s Decision** | **Quality Assurance Use** |
| **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of Assessor:****Date:** | **Outcome** (*delete as applicable*): **PASS / REFERRAL** | **Signature of QA:****Date of QA check:** |

**CS 17 Resolve customer service problems**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the resolution of customer service problems  | 1.1 Describe an organisation’s customer service and complaints procedures  | Techniques: * Remain calm
* Listen
* Talk clearly and confidently
* Remain in control
* Let them speak without interruption when they are angry
* Ask questions and speak slowly and with concern in tone when they are confused
* Alter communication to suit the customer
* Ask for assistance from others where necessary
* If an angry customer try to move them from other customers but do not allow yourself to be alone with them and out of sight of colleagues
 |
| 1.2 Describe techniques to identify customer service problems and their causes  |
| 1.3 Describe techniques to deal with situations where customers become agitated or angry  |
| 1.4 Explain the limits of their own authority for resolving customers’ problems and making promises |
| 1.5 Explain the purpose of encouraging customers to provide feedback  |
| 1.6 Describe methods used to encourage customers to provide feedback  |
| Evidence may be supplied by:* Professional discussion, questioning, reflective account, legal and ethical requirements and organisational policies and

procedures\* |
| 2. Be able to resolve customer service problems  | 2.1 Identify the nature and cause of customer service problems | Workable options are options that balance the needs of the customer and the organisation.Resolution process is the process carried out to solve the customer service problem, which may require some form of negotiation and compromise.Organisational policies and procedures which relate to:* Roles and responsibilities showing limits of authority
* Service offer
* Handling of customer issues.

Legal requirements:* Sale of Goods Act (Sale and Supply of Goods to Consumers Regulations)
* Trade Descriptions Act
* Data Protection Act
* Equality Act.

Ethical requirements:* Organisational principles
* Values
* Fairness.
 |
| 2.2 Identify workable options for resolving problems within organisational guidelines 2.3 Use the most appropriate method of communication for dealing with customers  |
| 2.4 Agree with customers the option that best meets their needs and those of the organisation  |
| 2.5 Keep customers informed of progress  |
| 2.6 Fulfil promises made to customers during the resolution process  |
| 2.7 Share customer feedback with others to improve the resolution of customer service problem |
| Evidence may be supplied by:* Observation, witness testimony, customer records\*, professional discussion, questioning, reflective account, service offer\*, documentation\*, legal and ethical requirements and organisational policies and procedures\*
 |
| 3. Be able to manage unresolved customer service problems  | 3.1 Explain to customers the reasons why problems cannot be resolved  | Sources of help |
| 3.2 Refer customers to other sources of help if their problems cannot be resolved  | Internal – colleagues, management |
| Evidence may be supplied by:* Observation, witness testimony, customer records\*, professional discussion, questioning, reflective account, service offer\*, documentation\*, legal and ethical requirements and organisational policies and procedures\*
 |

\*Internal/organisational documentation need not be held in the candidate’s portfolio but held in the workplace with reference made to where it can be found and its relevance to the criteria.

*Note - While the candidate can provide a copy of the organisational policies and of the organisational ethical policy/requirements (or refer to them), this on its own is not sufficient. The candidate will require to demonstrate their application and be able to discuss them, showing understanding of how they are applied. This also applies to legal requirement.*

**M&L 11 Manage team performance**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the management of team performance  | 1.1 Explain the use of benchmarks in managing performance | **Benchmarking** is the process of taking performance metrics from the team and comparing the results with those of other teams or with industry best practice. ‘Gaps’ or problems with performance can be identified and performance improvements achieved through investigating causes and identifying the best solutions. Targets for performance improvement can be set and plans implemented to achieve those targets. |
|  |  | *In this criterion the learner is required to explain the use of benchmarking in managing performance. The explanation should include examples of performance measures that can used as part of this process.*  |
|  | 1.2 Explain a range of quality management techniques to manage team performance | There are three basic principles that form the basis of a **total quality** **management system*** Focus on the customer
* Understanding the process
* All employees committed to quality and excellence.

Techniques designed to manage quality are based on these three principles;**Focus on the customer.*** Customers’ (internal and external) needs and expectations are identified
* Performance standards are set that reflect those needs and expectations

**Understand the process*** The process of producing the product or service the customer requires is understood and there is a commitment to continuously improve that process

**All employees are committed to excellence and quality*** Employees are involved and committed to a culture of quality
* Communication and team work is effective
* Skills are developed

The organisation’s quality management system will set this out in detail and may also be externally accredited.There are a large number of techniques that can be used to manage quality. A few examples include * Performance measures and standards.
* Benchmarking
* Process analysis and re-engineering
* Continuous improvement
* Employee involvement
* Variation Risk Management
* Six Sigma approaches
* etc
 |
|  |  | *In this criterion the learner is required explain a range of quality management techniques and how they could be used in team performance management.*  |
| 1.3 Describe constraints on the ability to amend priorities and plans | The team leader’s ability to manage and improve team performance will be limited by his or her own authority and ability to influence others. There may be restrictions in terms of organisational policy; there may be financial, resource, or time constraints, or team members themselves may be reluctant to participate and to accept change. |
| *In this criterion the learner is required to describe two or more constraints that could limit his or her ability to amend priorities and plan.* |
| 2. Be able to allocate and assure quality of work | 2.1 Identify the strengths, competences and expertise of team members | The following factors all affect team performance:* Clarity of team objectives
* How work is allocated
* Team dynamics – cohesion, working relationships, conflict handling
* Ability and willingness of team to self –manage
* Quality of leadership
* Level of skills
* Systems and resources available.

The team leader’s understanding of these factors forms a vital part of managing to assure quality. The team leader must be able to identify the competences and skills required of the job and identify the strengths, competences and expertise of team members in terms of those requirements. He or she should also be aware of team members’ experience, interest and motivation.Such judgments should be objective, fair and based on specific evidence. They may be incorporated into a team skills matrix or the individual’s appraisal. |
| *In this criterion the learner is required to provide evidence of identifying the strengths, competences and expertise of team members.* |
| 2.2 Allocate work on the basis of the strengths, competences and expertise of team members | Work allocation should be fair and equal and should take into consideration a number of factors:* Experience and ability
* Motivation and interest
* Availability

It is also important to consider what skills need to be developed and to allow opportunities for this. Balancing interesting and boring jobs is important for motivation.When allocating work the team leader needs to provide clear instructions and specific performance requirements, including timescales. |
| *In this criterion the learner is required to provide evidence that work has been correctly and appropriately allocated 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 | Monitoring performance of the team against performance measures and standards should highlight any areas where team members’ performance does not meet output and standards. |
| *In this criterion the learner is required to provide evidence of identifying areas for improvement in team members’ performance outputs and standards.* |
| 2.4 Amend priorities and plans to take into account changing circumstances | On the basis of areas for improvement identified in 2.3. the team leader may need to take corrective action, including amending priorities and plans. Alternative approaches may be required to the system or process being used through changing:* Task method
* Work allocation
* Timescales
* Access and use of equipment or supplies
* Training
 |
| *In this criterion the learner needs to provide evidence of how plans and priorities have been amended to take into account changing circumstances.* |
| 2.5 Recommend changes to systems and processes to improve quality of work | As a result of identifying the need for improvement, the team leader should involve the team in applying a simple improvement technique to:* Identify the nature of the problem
* Gather information into the causes and solutions to the problem
* Decide on the most suitable course of action
* Plan and implement the solution
* Decide how to monitor the outcome to ensure that the problem has been solved

If outside the team leader’s authority to change, these recommendations should be made to the appropriate senior manager. |
| *In this criterion the learners needs to provide evidence of making recommendations for changes in systems and processes as identified in 2.3 and 2.4 to improve the quality of work.* |
| 3. Be able to manage communications within the team | 3.1 Explain to team members the lines of communication and authority levels | Communication plays a key role in effective team performance management in:* Gaining commitment through the communication of the organisation’s vision and strategy
* Gaining commitment through communication of the teams objectives, targets and performance requirements
* Enabling empowerment and involvement in performance improvement
* Enabling more effective team working through greater cohesiveness and exchange of ideas amongst team members
* Enabling coaching and mentoring to improve team skills
* Improving motivation
* Providing a stronger sense of leadership

Organisations will have defined lines of communication with roles, responsibilities and authority levels. This is usually represented in diagrammatic form. |
| *In this criterion the learner is required to explain the team’s lines of communication and authority levels.* |
| 3.2 Communicate individual and team objectives, responsibilities and priorities | Effective communication of individual and team objectives, responsibilities and priorities should show the use of effective communication techniques by communicating requirements:* At the right time
* Clearly and specifically
* In language that can be understood by the receiver.

Feedback should be sought to ensure that the communication has been understood. Communication may be in writing and/or through team or individual briefing, depending on situation and complexity, and objectives should be SMART. |
| *In this criterion the learner is required to provide evidence of having correctly and appropriately communicated individual and team objectives, responsibilities and priorities.* |
| 3.3 Use communication methods that are appropriate to the topic, audience and timescales | There are a number of written and verbal/spoken techniques that can be used. Non-verbal, visual material may also help to clarify the message.The technique to be used will depend on locations, complexity of information, normal company practice and the need for feedback. |
| *In this criterion the learner is required provide evidence of how the communication methods they have used in 3.2 are appropriate to the topic, audience and timescales* |
| 3.4 Provide support to team members when they need it | As part of the managing team performance, the team leader is required to provide support to team members in achieving objectives and performance standards. This could take the form of supporting team members to develop skills or to adapt to changes. This is often achieved through coaching or mentoring. |
| *In this criterion the learner is required to provide evidence of providing correct and appropriate support to at least two team members.* |
| 3.5 Agree with team members a process for providing feedback on work progress and any issues arising | The team leader needs to provide feedback to team members on work progress and other issues. Feedback from team members to the team leader is also required. This process could include the use of written performance data and/or spoken feedback on a one to one, or one full team basis. Feedback given should be objective and based on factual information. Feedback on performance on a regular basis is appreciated by all team members- especially positive feedback - so they know where they stand.  |
| *In this criterion the learner is required to provide evidence that he or she has agreed with team members a correct and appropriate process for providing feedback on work progress and any issues arising.* |
|  | 3.6 Review the effectiveness of team communications and make improvements | In order to improve performance, the team leader should review the effectiveness of team communications. Opinions of team members and line manager could be useful in doing this.The review should be structured around the criteria for good team communications including:* Team members receive all organisational information in line with organisational policy
* Individual and team objectives, responsibilities and work plans are communicated clearly to the team and at the correct time
* Communication principles are followed in the presentation of information and appropriate communication techniques are used.
* Feedback on work progress is sought and given following good practice guidelines
* Communication is used to support team members by answering queries, addressing issues of team dynamics and providing coaching and mentoring support as required
 |
| *In this criterion the learner is required to provide evidence of completing a review of the effectiveness of team communications and making improvements.* |

**M&L 10 Promote equality, diversity and inclusion in the workplace**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the organisational aspectsof equality, diversity and inclusion inthe workplace | 1.1 Explain the difference between equality, diversity and inclusion | Equality is a quality of being the same in value or status among all people. In order to achieve equality, people must be fair and respect differences in their values and status. Equality in Employment is regulated by a combination of UK Laws and UK regulations leading to the Equal Opportunities and Discrimination (Equality Act 2010).The act contains a number of key concepts now known as ‘protected characteristics’:* Age
* Disability
* Gender reassignment
* Marriage and civil partnership
* Pregnancy and maternity
* Race
* Religion of belief
* Sex
* Sexual orientation

The act and more recent amendments and provisions, sets out to eliminate unlawful discrimination against harassment and victimisation of these groups of people, and to advance equality among them. Diversity that we can all celebrate and embrace cannot be achieved without achieving equality first. Diversity is a state of having differences, whether it is age, condition, race, religion or belief, and sexual orientation. The Equality Act 2010 aims to promote diversity by fostering good relations between different groups of people. Valuing diversity is a bigger issue than just avoiding discrimination, even though that is very important. Inclusion is the practice of someone/groups of people being accepted for whom they are and changes made accordingly. It is often about removing the things that we cannot see, such as attitudes and prejudice. These obstacles are sometimes called ‘barriers’ an example would be when a person with a visual impairment struggles to read the text in the company newsletter. By making the information available using a larger font size (a large print facility) the member of staff can access the same information as his or her colleagues.  |
|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *Explained the difference between the three areas of equality, diversity and inclusion*
 |
|  | 1.2 Explain the impact of equality, diversity and inclusion across aspects of organisational policy | The ‘organisational policy’ is a way of describing a set of standards that every member of staff must adhere to.’ Impact’ describes the outcomes or results of implementing the standards on the ways individuals are treated and how equality, diversity and inclusion issues are approached in the organisation.  |
|  |  | *In this criterion the learner is required to provide evidence that he or she has explained the impact of equality, diversity and inclusion across two or more aspects of organisational policy* |
|  | 1.3 Explain the potential consequences of breaches of equality legislation | ‘Consequences’ are the effects of breaching or breaking the law that is described in the protected characteristics within the Equality Act. Direct discrimination means treating someone less favourably for a reason to do with one or more of the protected characteristics e.g. refusing to allow a person on to a building site just because she is a woman.Indirect discrimination occurs when an employer places an unnecessary condition or requirement on a job to prevent certain members of the community applying.  |
| *In this criterion the learner is required to provide evidence that he or she has explained at least two consequences of breaching equality legislation, using work related examples*   |
| 1.4 Describe nominated responsibilities within an organisation for equality, diversity and inclusion | Nominated responsibilities are the specific areas that the employer has a legal duty to undertake. It is considered good practice on moral and ethical grounds to build on the legal requirements in order to develop codes of practice which extend above and beyond legal duties. Examples of good practice include more flexible working arrangements and the choice of full and part-time working.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Described the nominated responsibilities within an organisation for equality, diversity and inclusion*
 |
| 2. Understand the personal aspects ofequality, diversity and inclusion in theworkplace | 2.1 Explain the different forms ofdiscrimination and harassment | Discrimination means treating one person less favourably than another person who has similar skills and qualifications. Four types of discrimination are recognised by the law:* Direct discrimination
* Indirect discrimination
* Harassment
* Victimisation

Harassment takes place when a person suffers behaviour that affects their dignity because of their sex, marital status, gender reassignment, race, disability, sexual orientation, religion of belief. It is the feelings of the person who is offended by the unwanted attention that count.  |
| *In this criterion the learner is required to provide evidence that he or she has explained the different forms of discrimination and harassment* |
| 2.2 Describe the characteristics ofbehaviour that supports equality,diversity and inclusion in the workplace | The ‘characteristics of behaviour’ is one way of describing actions or personality traits that can be observed by others. There is a legal obligation within the organisation to examine who is likely to be discriminated against and what could and should be done to eliminate it. It is important where necessary to change behaviours and organisational culture in order to establish good practice.  |
| *In this criterion the learner is required to provide evidence that he or she has described at least two actions, in each of the three cases, of observable behaviours in others that show that equality, diversity and inclusion issues are being supported.*  |
| 2.3 Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace | Organisations expect high standards of behaviour from employees, and all employees need to be aware how their behaviour can affect others. Discriminatory behaviour is not acceptable, and all employees should treat others with courtesy, respect and consideration.  |
| *In this criterion the learner is required to explain why it is important to display behaviour that supports equality, diversity and inclusion in the workplace*  |
| 3. Be able to support equality, diversityand inclusion in the workplace | 3.1 Ensure colleagues are aware of their responsibilities for equality, diversityand inclusion in the workplace | ‘Colleagues’ are other persons that you work with who are also employed by the same organisation. ‘Awareness’ could be described as not only knowing facts, but in using the information in such a way that it is applied in a beneficial way to every aspect of the work, including influencing others to follow good practice and creating a harmonious culture.  |
| *In this criterion the learner is required to provide evidence that he or she has ensured 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 | There are many early warning signs in an organisation where issues and potentially harmful situations relating to equality, diversity and inclusion might arise. Causes may include a lack of, or inadequate training, and outdated policies which are no longer in line with new legislation.  |
| *In this criterion the learner is required to describe how he or she has:* * *Identified two or more issues which could potentially cause problems in the workplace in relation to equality, diversity and inclusion*
 |
| 3.3 Adhere to organisational policies and procedures, and legal and ethical requirements when supporting equality,diversity and inclusion in the workplace | ‘Adhere’ is a word used to describe the following of policies and procedures, not only to the actual wording as a matter of compliance, but also in the ‘spirit’ of the information, so that it is embedded in thoughts, words and actions of employees. These actions can be observed by all employees, third party suppliers, partnerships and customers. These behaviours are sometimes described as the ‘hearts and minds’ of the organisation. Legal requirements are enforceable by law and are to be considered as mandatory. Ethical requirements relate to moral judgments and are usually documented as part of the company values statements in larger organisations.  |
| *In this criterion the learner is required to:* * *Select two policies and related procedures relevant to supporting equality, diversity and inclusion in the workplace*
* *Briefly describe the key purpose of each policy*
* *Identify how each policy has been followed and adhered to using a separate work place situation for each*
* *Identify how legal and ethical requirements have been adhered to in the work place situations*
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**M&L 12 Manage individuals’ performance**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the management ofunderperformance in the workplace | 1.1 Explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance | Performance management is a holistic process of bringing together many activities that collectively contribute to the effective management of individuals. The process covers the broader issues of the organisation and long term goals. Performance appraisal is part of performance management; it is operational, uses data and information, and relates to individuals. In the case of underperformance, it can, in certain circumstances, involve specific policies on discipline and grievance. It is usually within the role of the line manager to deal with issues relating to the individual.Underperformance means that agreed targets and objectives, or behaviour and attitudes are below the standards required by the organisation. Examples could include poor timekeeping, lack of respect of others or failure to carry out instructions which could have serious implications. Disciplinary and grievance policies and procedures are frameworks providing clear information for dealing with difficulties which may arise as part of the working relationship from either the employer’s or employee’s perspective. The policies let employees know what is expected of them and provide courses of action (steps) to follow with key contacts. It is very important to follow the stages carefully and to keep good records; these might include minutes of meetings, emails, attendance notes, notes of telephone calls, letters etc. However, it is important to remember that underperformance should not necessarily be addressed by redress to discipline or grievance procedures in the first instance as underperformance may be caused by other issues, such as:* a mismatch between an employee's capabilities and the job they are required to undertake, in which case recourse to the organisation’s capability procedure may be more appropriate
* personal or family issues
* feedback on their performance
* Workplace bullying
* etc.
 |
|  |  | *In this criterion the learner is required to explain how typical organisational policies and procedures on discipline, grievance work to deal with underperformance.*  |
|  | 1.2 Explain how to identify causes of underperformance | Formal and informal feedback provides the line manager with information from systems, processes individuals and teams which can be used to show gaps between what you have planned or could have achieved and actual achievement. ‘Gaps’ below what is expected can be called indicators of underperformance. In order to identify causes of underperformance:* Feedback from the individual in the form of words, behaviour or attitude may give an early indication of performance gaps
* Feedback from others, including the team, other departments and customers may also be of a formal or informal nature
* An increased number of customer complaints, for example, are a significant indicator
* Informal meetings provide an ongoing method of feeding back and ascertaining impact assessment, where individuals can discuss how their attitude and standard of work affects outcomes and standards
* Formal appraisal/ performance review meetings where data and information is brought by both parties to review progress
 |
|  |  | *In this criterion the learner is required to explain how two methods work to identify causes of underperformance.* |
|  | 1.3 Explain the purpose of making individuals aware of their underperformance clearly but sensitively | Clear lines of communication are very important when working with others and early indicators based on evidence, enable parties to agree and make changes accordingly. As good use of interpersonal skills is essential when working with others, it is very important to be sensitive to the needs of others as messages can be interpreted differently from the sender to the receiver and levels of co-operation and motivation can be affected.  |
| *In this criterion the learner is required to explain the purpose of making individuals aware of their underperformance clearly but sensitively*  |
| 1.4 Explain how to address issues that hamper individuals’ performance | Wherever possible one -to -one meetings should be undertaken in a quiet and confidential setting without interruptions from mobile phones or visitors. Feedback should be two way and both speaking and listening are important for both parties. Events, observed behaviours and actions should be described rather than judged.  |
| *In this criterion the learner is required to explain how to address issues that hamper individuals’ performance* |
|  | 1.5 Explain how to agree a course of action to address underperformance | Individuals are encouraged to come to their own conclusions about what has been going wrong (ownership), with a clear understanding of how to move forwards and take corrective action. There is a need to agree individual responsibilities and set new targets, and it is advisable for both parties to have a written record of the new outcomes with agreed timescales and opportunities for review.  |
| *In this criterion the learner is required to 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 | Objectives are targets to be implemented or completed, or standards of performance to be achieved and maintained. These objectives or courses of action need to be going in the same direction that the organisation has decided to go. Objectives provide focus and clear direction, and should be SMART:• Specific: Clear, unambiguous, straightforward, understandable• Measurable: Related to quantified or qualitative performance measures• Achievable: With known resources• Realistic: Linked to business needs• Time-bound: Building-in completion date and review dates |
| *In this criterion the learner is required to provide evidence that he or she has agreed SMART objectives that align to organisational objectives with two or more team members* |
| 2.2 Delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs | ‘Delegation’ means that you are able to trust someone with appropriate levels of expertise, competence, skill, knowledge and development needs to undertake specific tasks or duties on your behalf. However, individuals still require support and resources to be able to complete set tasks. |
| *In this criterion the learner is required to provide evidence that he or she has:** *Delegated responsibility for specific tasks to two or more individuals*
* *Identified the basis for delegation in terms of the expertise, competence, skills, knowledge and development needs of each individual*
* *Identified the support and resources the individuals will need*
 |
| 2.3 Apply motivation techniques to maintain morale | ‘Motivation’ is a word used to describe an inner drive to behave or act in a certain manner. There are many theories, and most describe a goal or reason to do something that will produce a desired result. Individuals have their own ‘intrinsic’ or inner motivation, and ‘extrinsic’ motivation comes from others. Line managers often encourage and inspire others to maintain or improve morale. ‘Morale’ describes the mood and feelings of goodwill which inspire others to maintain or increase their outputs and contribute to harmonious working relationships. Techniques to maintain morale include daily conversations with individuals, organising team events, sharing collective performance data, celebrating achievement and rewarding effort.  |
| *In this criterion the learner is required to:** *Provide evidence that he or she has applied two motivation techniques*
* *Described what happened as a result of using the two techniques and the effects on morale*
 |
|  | 2.4 Provide information, resources and ongoingmentoring to help individualsmeet their targets, objectives and quality standards | ‘Mentoring’ is a relationship between an experienced person and less experienced person for the purpose of helping the one with less experience. This help can be in various forms and good examples are in the provision of information and resources to help the person complete their tasks. The help is provided in a non- threatening way, in a manner that the recipient will appreciate and value and will empower them to move forward with confidence towards what they want to achieve.  |
| *In this criterion the learner is required to provide evidence that he or she has provided information, resources and ongoing mentoring to help two or more individuals meet their targets, objectives and quality standards.* |
| 2.5 Monitor individuals’ progress towards objectives in accordance with agreed plans |  ‘Monitoring‘is the process of checking progress on an ongoing basis in order that there can be an early indication of when the product, process or service is not meeting or not likely to meet pre-agreed standards of quality and performance. This system of regular checks can save on wasted, time, effort, resources and employee energy and motivation levels. In order to check for negative outcomes, plans should be agreed in advance of actions being undertaken.  |
| *In this criterion the learner is required to provide evidence of how he or she has monitored two or more individuals’ progress towards objectives in accordance with agreed plans* |
| 2.6 Recognise individuals’ achievement of targets and quality standards | When individuals meet or exceed the expected standards or targets, ‘recognition’ provides a way of thanking or rewarding all parties. Rewards can be financially linked in the form of bonuses or performance related pay, but more commonly other forms of ‘recognition’ may include, time off in lieu, thanking and publicising individual and team efforts in data displayed in work areas or in company newsletters. Feedback and compliments from customers and the recording of achievements in information used for individual performance monitoring and review.  |
| *In this criterion the learner is required to provide evidence that he or she has appropriately recognised two or more individuals’ achievement of targets and quality standards* |
| 2.7 Adhere to organisational policies and procedures, and legal and ethicalrequirements when managingindividuals’ performance in theworkplace | ‘Adhered’ means followed closely, in this case the rules and guidance provided by policies and procedures as produced by the organisation and circulated to members of staff. As individuals we also have to make judgments, not only about legal implications i.e. obeying the law, but also using our values to make ethical judgments when managing individual levels of performance. When there is a positive working relationship, levels of trust can build and shared values are conveyed.  |
| *In this criterion the learner is required to provide evidence on how he or she has adhered to organisational policies and procedures, and legal and ethical**requirements when managing two or more individuals’ performance in the workplace* |

**M&L 14 Chair and lead meetings**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1.Be able to prepare and lead meetings | 1.1 Identify the type, purpose, objectives, and background to a meeting | A meeting is a gathering of two or more people that has been convened for a common goal or purpose. Meetings may occur face –to- face or virtually, using communication technology such as a telephone conference call, a Skype conference call or a videoconference\*. Meetings may be formal or informal, as ‘one off’ events, as part of a series e.g. short project, or as a regular planned event.The purpose or aim of the meeting should be communicated to everyone in advance, with clear objectives, i.e. outcomes expected, and further detail about the subject or focus of the meeting so that everyone present feels that they are included in the process. \*Remember to take time zones into account if applicable. |
|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *Identified a meeting and explained the type, purpose and objectives.*
* *Briefly described the context e.g. NHS staff, private sector small engineering company, for the meeting and why the meeting is taking place.*
 |
|  | 1.2 Identify those individuals expected, and those required to attend a meeting | In most companies it is usual in formal meeting arrangements to include the line manager in the circulation list and /or representatives from other departments, partly for an information overview and partly in case they wish to attend, alongside those who are required to attend as part of their job role.  |
|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *Identified those people who are required to attend and their designated job roles*
* *Listed any other members of staff that would be on circulation list for meeting invites, explaining why they would also be included*
 |
|  | 1.3 Prepare for any formal procedures that apply to a meeting | In advance of a formal meeting, there are number of formal arrangements or ‘protocols’ to be observed, for example:* Ensuring that you have the authority (or delegated) to convene a meeting and have been given responsibility to chair the meeting and follow up on action points or establish new ones at the meeting
* Ensuring that you have a good understanding of why the meeting is taking place and the role of the chair, minute taker\* (or note taker) and the purpose of an agenda
* Appreciating that an agenda follows a set of rules, starting with welcoming attendees, apologies for absence and the approval of the minutes from the last meeting after any matters arising have been addressed. In some organisations there may be a specific proforma that is used for all meetings and if this is the case it should be used
* Numbered agenda items with named responsibility indicated should also be included (with suggested time allowance for each)
* The date of the next meeting should be listed as a final item (avoiding Any Other Business (A.O.B.) as any items should be forwarded to the chair in advance of the meeting to be listed as agenda item)

\*In formal situations the secretary for the meeting would take responsibility for the distribution of the agenda and accompanying papers and take notes at the meeting.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Prepared for a formal meeting by describing the purpose of the meeting, the role of the chair, and the reasons for having agenda items and a minute taker.*
 |
| 1.4 Describe ways of minimising likely problems in a meeting | Good preparation in advance of the meeting helps to reduce the possibility of problems. Arrangements are made by the chair or organiser of the meeting including:* Where possible, the checking of electronic diaries for participant availability
* Confirming a date, start time ,estimated end time and venue with participants ( for off -site arrangements, a map, contact information and parking or travel arrangements are also required)
* Booking a venue with due regard to any special requirements that participants may have e.g. special access or dietary arrangements when refreshments are involved.
* Checking on confirmed attendance or reasons for apologies.
 |
| *In this criterion the learner is required to provide evidence that he or she has:** *Provided suitable arrangements in advance of the meeting, which have taken any participant special requirements, where required, into consideration*
* *Suggested any further actions that could also be taken to ensure a smooth running meeting e.g. spare copies of the agenda or anticipating interruptions from noise, devices or other employees*
 |
|  | 1.5 Take action to ensure that meeting documentation is prepared correctly and distributed to the agreed people within the agreed timescale  | Circulating\* an agenda meeting in advance of the meeting giving others time to prepare is good practice.Updated information about actions points will be required at the meeting and individuals will need to know when they will be asked to speak and what information they will need to bring to address those action points. Other accompanying relevant information, e.g. an article, report or spreadsheet to be discussed in the meeting, should also be circulated in advance. \*This may be using electronic means. |
| *In this criterion the learner is required to provide evidence that he or she has:**•Prepared and circulated an agenda within agreed timescales with any accompanying documentation, for a meeting involving at least three people, in addition to the cha*ir. |
| 2. Be able to chair and lead meetings  | 2.1 Follow business conventions in the conduct of a meeting | The conduct of meeting will vary from organisation to organisation, however, in general:* Start on time and welcome everyone to the meeting
* Explain any practical arrangements such as comfort breaks or arrangements
* Introduce anyone to the group who is new or does not know everyone.
* State the purpose of the meeting, the expected end time and desired outcome(s).
* Confirm who is taking notes and begin by listing apologies for absence
* Look at the minutes/notes from the last meeting checking for accuracy and respond to any matters arising (in some organisations this stage is omitted, however, checking for the completing of action points is essential)
* Proceed through the agenda items, noting any action points
* Ensure that individuals have a chance to contribute without interruption
* Agree the date of the next meeting (if required)
* End on time and thank everyone for attending.
 |
| *In this criterion the learner is required to provide evidence that he or she has:* * *Conducted a meeting in line with business conventions by briefly describing what happened at each stage of the meeting*
* *Obtained feedback from a meeting participant that the business conventions had been followed*
 |
| 2.2 Facilitate meetings so that everyone is involved and the optimum possible consensus is achieved | In order to adopt an inclusive approach to meetings, there are many considerations and a few examples are listed below:* Introduce everyone
* Limit time for contributions
* Invite others to speak so that everyone can contribute, particularly on contentious issues, invite other viewpoints
* Encourage equal contributions by asking questions and responding
* Put alternative viewpoints to stimulate discussion
* Paraphrase and gain consensus along the way trying to resolve any contentious issues
* Recap to ensure common understanding of what has been covered and what needs to be done next
 |
| *In this criterion the learner is required to provide evidence that he or she has facilitated meetings so that everyone is involved and the optimum possible consensus is achieved* |
| 2.3 Manage the agenda within thetimescale of the meeting | * It can be helpful to add an indication of time available on the agenda items listed with the most import items to be discussed at the start of the meeting.
* It could also be assumed that any reports circulated beforehand do not need to be read out and should be very briefly summarised.
* Start and end on time and expect apologies for unavoidable lateness from latecomers.
* Gain consensus that everyone arrives at the beginning of each meeting
* Avoid distractions of non- agenda items ask people to be brief and focus on the key messages.
* Note actions that require further discussion
* Start on time and end on time (meetings timed to end at lunchtime or at the end of the day are less likely to run over time!)
 |
| *In this criterion the learner is required to provide evidence that he or she has:** *Managed a meeting with at least four people in attendance, including the chairperson, with a defined start and end time, ensuring that all agenda items have been covered including planned action points and named responsibilities.*
 |
|  | 2.4 Summarise the agreed actions, allocated responsibilities, timescalesand any future arrangements | It is helpful to summarise the key outcomes from discussion topics in order that each member understands what has been agreed, who is responsible and the resources/ timescales. More specifically what process will need to be instigated or individual tasks undertaken, together with a clear appreciation of the actual evidence required that the work has been commenced or completed (depending on the nature of the task). Named responsibilities are important in order to gain ownership of outcomes. |
| *In this criterion the learner is required to provide evidence that he or she has accurately summarised the agreed actions, allocated responsibilities, timescales and any future responsibilities at the end of a meeting*  |
| 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 andtimescale | It is seen as good practice to produce and circulate meeting notes/or minutes as soon as possible after the meeting to enable the attendees to have as much time as possible to undertake the agreed actions. These should be brief, accurate and proof read to ensure accuracy. Formats can vary, should be inclusive in nature, e.g. large print facilities use and the avoidance of jargon, and wherever possible the ‘house style’ of the organisation should be used. Abbreviations should not be used unless the words are written in full first or a glossary of terms is included. Avoid using texting or slang language.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Produced and circulated minutes/ notes of the meeting within 3 working days of the meeting taking place.*
* *Suggested two alternative formats for minutes/notes of the meeting, providing examples in each case and describing in case an example of how these how these could be used.*
 |
| 3.2 Take action to ensure that post-meeting actions are completed | Gaining informal feedback from individuals after the meeting is useful in order to improve levels of meeting efficiency and effectiveness. Specific monitoring arrangements can be put in place and these could include using: * Informal face- to face or telephone conversations
* e-mail checks
* Interactive spreadsheets
* ‘Traffic- light’ status indicators as a coding system for good or bad performance – usually known as ‘R.A.G rating’. For example the letters R, A and G are used- Red would mean inadequate, Amber would mean reasonable and Green would mean ideal.

This system is often used in manufacturing or production where the lights can be seen from different parts of the factory or as a colour coding system in tables and spreadsheets in an office environment. The initials RAG are also added to the background colour to enable those with colour blindness to read the system.  |
| *In this criterion the learner is required to provide evidence that he or she has:* * *Explained the actions that have been taken to ensure that post- meeting actions are completed,*
* *Provided one example of an allocated action point, showing the monitoring actions that have been taken and the outcome(s) achieved.*
 |
| 3.3 Evaluate the effectiveness of a meetingand identify points for futureimprovement | Effectiveness can be seen as an outcome of the quality of the conduct and content of the meeting and the actions that have happened as a result of the meeting. Informal feedback can be taken verbally or more formally at the end of each meeting by individually completing a short questionnaire providing opportunities for future improvement.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Evaluated a meeting using informal or formal feedback and collated the information.*
* *Suggested at least two realistic improvements that could be made in future meetings.*
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**M&L 16 Encourage innovation**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. 1. Be able to identify opportunities for innovation | 1.1 Analyse the advantages anddisadvantages of techniques used to generate ideas | The main techniques for generating ideas are:* Staff suggestions either individually or as part of ‘away days’ for the team
* Cause and effect diagram (sometimes called Ishikawa or fishbone) as a technique for opening up thinking in problem solving process
* Kaizen ( incremental innovation) where any member of staff can suggest improvements,
* Brainstorming (or thought showering) used in conjunction with a cause and effect tool. Every member of the group can put forward their own ideas in a non- judgmental way.
* Force field analysis- by assessing the forces that prevent making the change, plans can be developed to overcome them
* Pareto analysis can be used to analyse the ideas from the brainstorming session- It is used to find that 80% of the effect is attributed to 20% of the cause (hence the nickname of the 80/20 rule)
* Process flowcharting- recording pictorially what actually happens in a process as an aid for discussion to see if a proposed change is viable.

Advantages and disadvantages of each technique will depend upon the nature (e.g. public or private) type (e.g. production, service) and size (e.g. small business, large international, public funded) of business. |
|  |  | *In this criterion the learner is required to provide evidence that he or she has:** *Selected two different techniques for generating ideas and analysed the advantages and disadvantages of each*
 |
|  | 1.2 Explain how innovation benefits an organisation | Innovation generally refers to changing or creating more effective processes, products and ideas, and can increase the likelihood of a business succeeding. This has a knock-on effect on markets and customers, bringing economic growth.  |
|  |  | *In this criterion the learner is required to explain how innovation works in order to benefit an organisation* |
|  | 1.3 Explain the constraints on their own ability to make changes | Innovation differs from invention in that innovation refers to the use of a better idea or method. However, the ability to bring about changes is dependent on many factors such as:* Level of responsibility and authority
* Resources available (including human)
* Level of understanding of the impact of change on another area, process or product
* Level of complexity of the change
* Timescales, sometimes it takes time for an idea to ‘grow’ and have impact
* Receptiveness of the organisation to new thinking i.e. is there an innovation culture?
 |
| *In this criterion the learner is required to explain two or more constraints on their own ability to make changes* |
| 1.4 Agree with stakeholders terms of reference and criteria for evaluating potential innovation and improvement | A ‘stakeholder’ can be defined as anyone with a specific interest in the product or service; this usually includes the staff in your own area and other departments, suppliers, customers, sales and marketing teams. The ‘terms of reference’ in this case, are the pre-agreed order of priorities that are to be used when evaluating whether a potential innovation and improvement is to take place. For example, will a new target market be reached or will the product generate higher returns or reduce the number of customer complaints? |
| *In this criterion the learner is required to provide evidence that he or she has agreed terms of reference with stakeholders and criteria for evaluating potential innovation and improvement* |
|  | 1.5 Engage team members in finding opportunities to innovate and suggest improvements | Innovations are more likely to come from teams, and probably arise from a set of circumstances that bring multiple experiences and information gathering into one place to help solve a problem. Creating a ‘safe’ environment where ideas can be expressed and evaluated in a non- judgmental way is vital to the process, together with a culture which can follow through new ideas by making resources available, responding to customer needs and external factors which can change the nature of the business.  |
| *In this criterion the learner is required to provide evidence that he or she has correctly and appropriately engaged team members in finding opportunities to innovate and suggest improvements* |
|  | 1.6 Monitor performance, products and/or services and developments in areas thatmay benefit from innovation | Monitoring performance, products and services depends on collecting, collating and interpreting the results of data and information in order to be able to agree on the standards required. Following on, once standards have been agreed, subsequent data collected can then be judged to be above, on or below the required standard (sometimes called the benchmark) and adjustments can be made to increase outputs or improve levels of service and/or quality of products.  |
| *In this criterion the learner is required to provide evidence that he or she has monitored 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 | When information is collected and used for performance monitoring, there needs to be confidence in the fact that it is taken from trusted sources, is reliable in terms of method of collection, is recently obtained and is relevant to the product or service. The term ‘valid’ is taken to mean factual or based on truth; this might also mean legally and ethically sound. |
| *In this criterion the learner is required to provide evidence that he or she has analysed valid information to identify two or more opportunities for innovation and improvement*  |
| 2. Be able to generate and test ideas forinnovation and improvement3. Be able to implement innovative ideas and improvements | 2.1 Generate ideas for innovation or improvement that meet the agreedcriteria | Depending on the size, type and culture of the organisation, ideas can be generated informally, such as in a team meeting with open discussion, a brainstorming exercise, usually as part of time out of the working day or more formally using more structured ‘tools and techniques’. Examples include Kaizen and force field analysis.  |
| *In this criterion the learner is required to provide evidence that he or he has :** *Identified the criteria (i.e. the brief) used for the selection of potential ideas for innovation or improvement*
* *Generated two separate ideas demonstrating innovation or improvement on products, processes or service delivery that meet the agreed criteria*
 |
| 2.2 Test selected ideas that meet viability criteria | Testing for ‘viability’ means looking at the existing business or proposed ideas to determine whether there is a ‘fit’ with the organisation in terms of the nature and type of the business. How would the innovation or improvement affect the customer, perhaps by adding value to the service or product? |
| *In this criterion the learner is required to provide evidence that he or he has :** *Tested two selected ideas and gathered information that would support the claim that the ideas were viable options*
 |
| 2.3 Evaluate the fitness for purpose and value of the selected ideas | Evaluating fitness for purpose could be considered as the next stage of the testing for fitness of purpose and value. ‘Value’ may mean more than just financial value and could be interpreted as other non- financial benefits. It is possible to determine how realistic the ideas are in practical terms by asking the question - Would this really work, given the ethical, financial and other resource implications as an innovation or improvement? |
| *In this criterion the learner is required to provide evidence that he or she has:** *Evaluated the fitness for purpose and value of the selected ideas by giving reasons for choice which include benefits to the organisation and the customer*
 |
| 2.4 Assess potential innovations and improvements against the agreed evaluation criteria | A frequently used method of testing to see if an idea is capable of working under favourable conditions i.e. financial, time limitations and other resource implications is the ‘Decision Matrix’. Essential and desirable criteria are identified and each proposal or options is evaluated against these criteria.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Listed the ideas (options) to be tested explaining the resource implications (including cost)*
* *Used a decision making tool correctly in order to select an option and explained the reasons for selecting the best option*
 |
| 3.1 Explain the risks of implementing innovative ideas and improvements | Risks can be defined as chances of success, as well as risks of failure, however, risks are usually focused on any potential adverse effects. Bringing in new ideas, systems and products can sometimes have unplanned consequences because there will always be some risk involved; the aim is to avoid or minimize the risk wherever possible.  |
| *In this criterion the learner is required to provide evidence that he or she has:** *Identified the main risks involved with the implementation of innovative ideas and improvements*
* *Described the main actions taken to minimize or eliminate the risks to all parties*
 |
| 3.2 Justify conclusions of efficiency and value with evidence | ‘Efficiency’ refers to the good use or management of resources i.e. money, time, materials, effort, usually with a view to using less of each. ‘Value’ refers to the reduction in the waste of time, effort and materials for the same or improved quality from the customer’s point of view.  |
| *In this criterion the learner is required to provide evidence that he or she has used evidence to justify any conclusions drawn as to the efficiency and value of an identified innovative idea and improvement.* |
| 3.3 Prepare costings and schedules of work that will enable efficientimplementation | Once ideas for innovation and improvement have been selected and justified, they require implementation and this usually involves others. Each member will need to know the order of work, timescales involved, the human and physical resources available, and cost allocations.  |
| *In this criterion the learner is required to provide evidence that he or she has prepared correct and appropriate costings and schedules of work that will enable the efficient implementation of an identified innovative idea and improvement* |
| 3.4 Design processes that support efficient implementation | Knowing who is responsible for each stage for managing the process and outcomes is required at the implementation stage. By producing a flowchart or process mapping chart that identifies each stage of implementation there is a method that can be used as a discussion aide and a monitoring aide. These aspects are important for successful outcomes to be achieved.  |
| *In this criterion the learner is required to provide evidence that he or she has designed two or more processes that support efficient implementation of an identified innovative idea and improvement* |

**M&L 17 Manage conflict within a team**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the principles of conflict management | 1.1 Evaluate the suitability of different methods of conflict management in different situations | People with different needs and different goals will come into conflict. Effective conflict resolution can make the difference between positive and negative outcomes. Conflict management is the process of limiting the negative aspects of conflict while increasing the positive aspects of conflict. The aim being to enhance learning and group outcomes, in particular by enhancing performance. Different styles of conflict resolution are useful in different situations. The Thomas-Kilmann Conflict Mode Instrument (TKI) helps you to identify which style you tend towards when conflict arises:* **Competitive**- used in positions of power or rank and although useful in emergency situations can leave people feeling upset or resentful when used in less urgent situations.
* **Collaborative**- used to meet the needs of all people involved; acknowledging that everyone’s views are of equal importance and the situation is too important for trade- offs.
* **Compromising**- used when trying to find a solution that partially suits everyone, this can be useful when the cost of the conflict is higher is higher than the cost of losing ground.
* **Accommodating**-used when there is a willingness to meet the needs of others at the expense of the person’s own needs. This method can be useful when ‘keeping the peace’ is more valuable than winning.
* **Avoiding**- used when difficult decisions can be delegated, when the controversy is trivial or when someone else is in a better position to solve the problem, e.g. escalating the problem upwards. Using this style can also be seen as a weakness when issues are evaded to avoid upsetting others

Rahim in 2001, has suggested that conflict management has three strands; the negative behaviour of individuals that needs to be reduced, together with an increase in organisational learning about different conflict- handling styles. In addition a third strand is in acknowledging that other types of conflicts can have positive effects on individual and group performance, when related to tasks, policies and performance issues.  |
|  |  | *In this criterion the learner is required to evaluate the suitability of two or more different methods of conflict management in two or more different situations* |
|  | 1.2 Describe the personal skills needed to deal with conflict between other people | Most people have a preferred conflict resolution style but use different styles depending on the situation. Key personal skills include:* Learning how to respect individual differences
* Being able to ‘see’ both sides of a situation by asking questions
* Using active listening skills
* Being calm under pressure
* Being assertive without being aggressive
* Ability to use interpersonal skills of restating , paraphrasing and summarising, to help to clarify a situation for all parties
 |
|  |  | *In this criterion the learner is required to describe the personal skills needed to deal with conflict between other people* |
|  | 1.3 Analyse the potential consequences of unresolved conflict within a team  | When conflicts are unresolved they can impact on individuals and teams, and some results of unresolved conflict in the workplace include:* Stress and frustration
* Employee turnover
* Increased client complaints
* Absenteeism
* Grievances
* Low morale and/or motivation
* Bullying

An overall loss of productivity could stem from any of the above, which in turn will affect other parts of the organisation and job security. |
| *In this criterion the learner is required to analyse two or more potential consequences of unresolved conflict within a team* |
| 1.4 Explain the role of external arbitration and conciliation in conflict resolution | When conflicts cannot be settled within the organisation another more impartial route may be selected for the resolution of disputes outside of courts. ‘External arbitration’ means using a neutral ‘third party’ to hear a dispute between parties. The hearing is informal, the parties mutually select the arbitrator who sets the terms and conditions and settles the dispute. The outcomes of arbitration are final and binding to both parties. ‘Conciliation’ is usually used where a complaint about employments rights is going to be made or has been made to an employment tribunal. Acas offers a free, independent and a confidential conciliation service.  |
| *In this criterion the learner is required to 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 | Good two -way communication is important, and the writers Liebenau and Backhouse (1990) highlighted the ‘sender to receiver’ process, with the stages of coding, channel and decoding included, before the receiver provides feedback to the sender. Using the correct language and words (coding) is critical to the process along with the use of the correct channel, e.g. face to face, email, telephone. Managers working in the global market also need to be aware of cultural differences, including the use of silence, personal space, greeting methods and gestures. When individuals within teams are clear about their particular role, level of responsibility and objectives (measurable tasks and expected outcomes) it is helpful for the whole team. Standards of behaviour also need to be defined and reinforced regularly and good role models are essential here in order to establish leading by example principles.  |
| *In this criterion the learner is required to provide evidence that he or she has communicated to team members, using at least two different channels (modes) which are appropriate to message and audience, information about roles and responsibilities, objectives and expected standards of behaviour* |
| 2.2 Explain to team members the constraints under which other colleagues work | Being able to ‘see’ situations from other peoples’ perspectives can be an indication of emotional intelligence in both the leader and team member. This might take the form of sensitivity to personal circumstances, equalities issues, and recognition that there are constraints or limitations for each person in terms of level of training, knowledge and resources available. This could apply to variable workloads and the amount of time available to complete tasks. Conflicts can arise when there are misunderstandings or disagreements about the use of resources and the outputs required.  |
| *In this criterion the learner is required to 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 | A system is composed of interrelated parts that work together in processes. An example could be a workflow plan (system) or order of work in the production of a product, where the actions of individuals or teams (processes) change or add to the developing product in some way. In a given work context (situation) and lines of reporting/ accountability (structures) there can be misunderstandings about what is required by all parties. By reviewing the systems, processes, situations and structures involved in the workflow and using feedback from others it is possible to make improvements and reduce or eliminate sources of conflict.  |
| *In this criterion the learner is required to provide evidence that he or she has reviewed 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 | Conflict may be defined as the internal or external discord that occurs as a result of differences in ideas, values or beliefs of two or more people.Conflict management is important in order to:* + Maintain morale
	+ Maintain performance standards
	+ Minimise absenteeism
	+ Promote a safe working environment
	+ Maintain group cohesion
	+ etc.

Depending upon the severity and level of conflict, conflict may be resolved or reduced informally, but in some cases it may be necessary to use the organisation’s formal procedures. .  |
| *In this criterion the learner is required to identify how he or she has taken correct and appropriate action, within the limits of their own authority, to mimimise the potential for conflict* |
| 2.5 Explain how team members’ personalities and cultural backgrounds may give rise to conflict | In addition to individual needs and cultural backgrounds which require specific consideration to ensure that the most favorable conditions for work are provided, individual personalities can also have characteristics which can have a negative effect on others which may give rise to conflict. This is particularly evident when those with dominant or negative traits are allowed to influence others.  |
| *In this criterion the learner is required to 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 | There are situations where the level of conflict is not only unacceptable but potentially harmful and may even result in litigation. The ability to anticipate a situation ideally before it actually happens or to take action in its early stages by reporting to a supervisor or line manager is essential. Most organisations have a grievance and disciplinary policy and these should be followed rigorously. The ability to recognise that any emerging issues should be escalated upwards is critical. Extreme examples could be taken from any breach of equality of opportunity, contravention of health and safety issues, bullying or harassment issues.  |
|  |
| *In this criterion the learner is required to provide evidence that he or she has aassessed the seriousness of conflict and its potential impact* |
| 3.2 Treat everyone involved with impartiality and sensitivity | ‘Impartiality’ means showing a lack of bias or being objective in your decision making outcomes. ‘Sensitivity’ implies that empathy and understanding will be demonstrated.  |
| *In this criterion the learner is required to provide evidence that he or she has treated everyone involved in a conflict situation with impartiality and sensitivity* |
| 3.3 Decide a course of action that offers optimum benefits | ‘Optimum’ means the best possible in the given situation (given human and physical resource limitations) and in terms of ‘benefits’ this will be balanced out for the organisation, team and individual members. The implication is that a level of compromise will need to be reached, as there may well not be a ‘perfect’ solution, rather as a ‘best possible’ solution in the circumstances.  |
| *In this criterion the learner is required to provide evidence that he or she has decided on a course of action that offers optimum benefits.* |
| 3.4 Explain the importance of engaging team members’ support for the agreed actions | Not all decisions are easy to take and may not reach the ideal situations for individual members. By explaining the reasons for a decision and the potential benefits and by motivating the team, it can be possible to engage their support. Adopting a fair and consistent approach to decision making is a way of gaining support, even for unpopular decisions that sometimes have to be taken.  |
| *In this criterion the learner is required to 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 | The way that information is communicated to others is important in order that the method (mode) and words selected are in line with the mode used and organisational policy.  |
| *In this criterion the learner is required to provide evidence that he or she has ccommunicated correctly and appropriately 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 | The organisationalpolicy describes the approach to be taken, which includes issue or issues that are to be addressed in order to fulfil legal and ethical requirements of conflict resolution. The accompanying procedure for each policy explains the stages that must be followed including the documentary evidence required.  |
| *In this criterion the learner is required to provide evidence that he or he has adhered to organisational policies and procedures, legal and ethical requirements when dealing with conflict within a team* |

**M&L 18 Procure products and/or services**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Be able to identify procurement requirements | 1.1 Explain current and likely future procurement requirements  | The importance of identifying what products and/or services need to be procured and under what conditions in order for the organisation to continue to operate efficiently  |
|  |  | *In this criterion the learner is required to provide an explanation of both current and likely future procurement requirements*  |
|  | 1.2 Decide whether the purchase of products and/or services offers the organisation best value  | The importance of establishing clear criteria to enable an effective and fair evaluation of the products or services being considered to determine if they offer the best value option for the organisation. Criteria that could be used to evaluate the purchases could include:* Quality
* Risk
* Costs
* Timeliness
* Reliability
* Sustainability
* Value for money
 |
|  |  | *In this criterion the learner is required to provide evidence that he or she has undertaken an evaluation of the products and services to be purchased to determine if they offer the best value for the organisation* |
|  | 1.3 Evaluate ethical and sustainability considerations relating to procurement  | Ethical and sustainability considerations in procurement can include:* Procurement of fair trade products
* Use of ethical sourcing practices
* Use of suppliers who promote fair employment practices
* Use of less environmentally damaging products
 |
| *In this criterion the learner is required to provide evidence that they have evaluated both the ethical* ***and*** *sustainability considerations when procuring products or services* |
| 1.4 Justify the decision to buy products and/or services with evidence of an analysis of risk, costs and benefits  | There should be a clear rationale to support any decision to buy products and services and a number of factors should be considered, these include:* The range of possible options considered
* The value of the costs, benefits and risks of each of the options
* Assessment of the merits of each option
 |
| *In this criterion the learner is required to provide evidence that shows that an analysis of the options considered has been undertaken in order to justify and arrive at the best solution with facts fully supporting the final decision* |
| 2. Be able to select suppliers  | 2.1 Explain the factors to be taken into account in selecting suppliers  | Examples of the factors to be taken into account when selecting suppliers include:* Ethical and sustainable procurement
* Availability
* Competitive and fixed price tendering
* Pre-qualification questionnaires for suppliers
* Use of already approved suppliers
 |
| *In this criterion the learner is required to explain two or more factors that are taken into account in the selection of suppliers* |
| 2.2 Explain organisational procurement policies, procedures and standards  | Organisational policies, procedures and standards relating to procurement will vary depending on the type and nature of the organisation.Examples include:* Organisation’s procurement policy
* Budgetary controls and financial instructions
* Requisitioning and order placing procedures
* Payment terms for suppliers
* Management of contracts
* Levels of authority to agree contracts
* Tendering processes
 |
| *In this criterion the learner is required to provide evidence that they have explained organisational procurement policies and procedures and standards in relation to procurement* |
| 2.3 Explain the effect of supplier choice on the supply chain | The supply chain can be affected by the decision of whether to opt for a single supplier or to have a number of suppliers that can be used to provide the products and/or services required. For example if you have a single source supplier you may receive higher quality, reduced administrative costs, and may benefit from economies of scale, however, goods might be more expensive as no competition and there may be risk of potential shortage of products.  |
| *In this criterion the learner is required to explain the effects of supplier choice on their supply chain* |
|  | 2.4 Use appropriate media to publicise procurement requirements | Depending on the value and type of the procurement there are a large number of different media available to publicise procurement requirements. These can include:* Advertising in newspapers or trade journals
* Briefing meetings
* Invitations to tender
 |
| *In this criterion the learner needs to demonstrate that they have used the most appropriate media to publicise their particular procurement requirements* |
|  | 2.5 Confirm the capability and track record of suppliers and their products and/or services | When procuring products and/or services it is important to have confirmation that the preferred supplier will be able to meet the procurement requirements. Ways of checking that they can comply include:* Gaining references
* Requesting quotations, proposals or information
* Visits to supplier
* Visits to other organisations using the supplier
 |
| *In this criterion the learner needs to demonstrate that they have confirmed the capability and track record of suppliers and their products and/or services* |
|  | 2.6 Select suppliers that meet the procurement specification  | The procurement specification provides a clear description of what products and/or services are to be purchased.If there is a clear specification available then suppliers can be evaluated against these requirements in order to select the most appropriate to meet the procurement need. |
| *In this criterion the learner needs to demonstrate that they have selected the most appropriate supplier(s) for the procurement requirement by using a detailed specification of the product and/or service required*. |
| 3. Be able to buy products and/or services  | 3.1 Explain the action to be taken in the event of problems arising  | The action taken when problems arrive with the purchase of products or services will be dependent on the nature of the problem and the terms and conditions of the contract.Examples of actions taken include:* Investigation into issue
* Formal complaint
* Giving notice on the contract
* Invoking contract penalties
 |
| *In this criterion the learner is required to provide an explanation of the actions they have taken, or would take, when dealing with problems in the procurement of products or services* |
| 3.2 Agree contract terms that are mutually acceptable within their own scope of authority  | Contract terms are the obligations and details of the agreement made between both parties in order for the products and/or services to be purchased. Scope of authority is the responsibility given to an individual in order to take decisions and exercise control in their own areas. The contract terms will differ depending on the nature of the product and/or service being purchased, but examples include:* Parties involved in the contract
* Quality and quantity of products/services
* Timescales, costs and price reviews
* Key performance indicators
* Variations to the terms and conditions of the contract
* Consequences if either party fails to comply with the contract
 |
| *In this criterion the learner is required to provide evidence of an agreement of contract terms for the purchase of products and/or services within their scope of authority* |
| 3.3 Record agreements made, stating the specification, contract terms and any post-contract requirements  | The importance of keeping full records of any procurement agreements made.Examples of records of agreements may include:* Detailed specification of the product and/or services to be delivered
* Key performance indicators
* Communication channels
* Terms and conditions of the contract
* Contract review dates
* Internal audits or quality assurance reviews
* Exit arrangements
 |
| *In this criterion the learner is required to provide evidence of two or more agreements made of the procurement of products and/or services including the specification and contract terms and post contract requirements* |
| 3.4 Adhere to organisational policies and procedures, legal and ethical requirements  | Organisational policies and procedures will vary depending on the type and nature of the organisation, however, it is important and necessary to comply with all relevant organisational procedures and legal and ethical requirements when procuring products or services.Examples include:* Procurement policy
* Budgetary controls
* Contracted out provision
* Requisitioning and order placing procedures
* Payment terms
* Management of contracts
* Levels of authority
* Bribery act
* Public contracts regulations
 |
| *In this criterion the learner is required to provide evidence of compliance with relevant organisational and legal and ethical requirements during the procurement of products and/or services* |

**M&L 21 Collaborate with other departments**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand how to collaborate with other departments  | 1.1 Explain the need for collaborating with other departments | Collaboration generally refers to individuals or organisations working together to address problems and deliver outcomes that are not easily or effectively achieved by working alone. It is important to understand what collaboration is and when it is best used. |
|  |  | *In this criterion the learner is required to explain the need for collaboration with at least two other departments* |
|  | 1.2 Explain the nature of the interaction between their own team and other departments | It is important to understand how the team that the learner is working in interacts with other departments, either within or outside of their organisation. The ways in which they act with each other will have an impact on the success of any current or future collaboration. |
|  |  | *In this criterion the learner is required to explain the nature of the interaction that they have within their own team and at least two other departments*  |
|  | 1.3 Explain the features of effective collaboration | In order for collaboration between departments to work effectively, a number of features must be in place, these include:* Mutual respect and trust between all parties
* Compatible mission and values
* Open and frequent communication
* Clear decision making processes
* Clearly defined roles
* Negotiated shared goals
* Appropriate resource allocation
 |
| *In this criterion the learner is required to explain two or more features of effective collaboration* |
| 1.4 Explain the potential implications of ineffective collaboration with other departments  | If collaboration is ineffective, departments can fail to achieve their objectives or work effectively.Examples include:* Important information not being shared in a timely manner
* Resources not being shared, or shared inappropriately
* Tensions between departments and individuals
* Unequal involvement of members leading to resentment
 |
| *In this criterion the learner is required to explain two or more 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 | Knowledge management improves the performance of departments or organisations by ensuring that information is correctly captured and shared with relevant parties to help in effective decision making. When collaborating with other departments and/or organisations it is important to ensure that thought has been given to how appropriate information will be captured, shared and understood by all relevant parties.   |
| *In this criterion the learner is required to explain two or more 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 | It is important to understand that there are both advantages and disadvantages when collaborating with other departments.Advantages include :* Reduction of duplication and overlap
* Accessing limited resources
* Expanding opportunities
* Increasing efficiency and effectiveness
* New or improved services
* Financial savings and better use of existing resources
* Knowledge, good practice and information sharing
* Better co-ordination of organisations' activities

Disadvantages include:* Outcomes do not justify the time and resources invested
* Loss of flexibility in working practices
* Complexity in decision-making and loss of autonomy
* Diverting energy and resources away from departmental priorities
* Damage to or dilution of brand and reputation
* Waste of resources if collaboration is unsuccessful
* Stakeholder confusion
 |
| *In this criterion the learner is required to provide an analysis of the advantages and disadvantages of collaborating with other departments*  |
| 2.2 Identify with which departments collaborative relationships should be built | It is important to be able to identify where collaboration with other departments would be beneficial. Considerations could be given to:* The benefits that both parties would achieve by the collaboration
* The compatibility of the missions and values between the departments
* The cost savings, if any, to be had
* The added value to the department’s work
* The skills and abilities within the team
 |
| *In this criterion the learner is required to provide evidence that they have identified two or more departments with which collaborative relationships should be built.* |
| 2.3 Identify the scope for and limitations of possible collaboration  | In order to be able to identify if collaboration with another department is going to be beneficial, there needs to be clarity around what is trying to be achieved. This can be achieved by having:* Set goals and objectives for the collaboration
* Clarity on the roles and skills required to achieve the objectives
* Awareness of limitations of resources such as time
* Availability of skilled team members
* Budget allocation
* Availability of any equipment needed
* Clarity of the risks associated with the collaboration
 |
| *In this criterion the learner is required to identify the scope for* ***and*** *the limitations of any possible collaboration.*  |
| 3.1 Be able to collaborate with other departments  | 3.1 Agree Service Level Agreements (SLAs), objectives and priorities of collaborative arrangements  | It is useful to get agreements on objectives, priorities and outcomes when collaborating with other departments so all parties are clear about the arrangements. Information to be agreed includes:* Collaboration objectives and outcomes
* Assignment of responsibility for all key tasks
* Allocation of resources
* Time scales working to
* Frequency of meetings
 |
| *In this criterion the learner is required to provide evidence of agreements of objectives and priorities and service level agreements of collaborative arrangements.* |
| 3.2 Work with other departments in a way that contributes to the achievement of organisational objectives | It is important to demonstrate how working with other departments has contributed to the achievement of their objectives.Examples of types of evidence that would show this include:* Team meeting notes
* Emails
* Briefings
* Presentation slides
* Project updates
* Progress reports
 |
| *In this criterion the learner is required to provide evidence that they have worked with other departments contributing to the achievement of organisational objectives.*  |

**M&L 23 Participate in a project**

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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand how to manage a project  | 1.1 Explain the features of a project business case  | A project is temporary in that it has a defined beginning and end in time, and therefore defined scope and resources. It is unique in that it is not a routine operation, but a specific set of operations designed to accomplish a singular goal.The features of the business case for the project will detail the fundamental characteristics of the project including the background to and the objectives of the project. |
|  |  | *In this criterion the learner is required to provide a full and detailed explanation of the features of a project business case.* |
|  | 1.2 Explain the stages of a project lifecycle  | There are a number of steps involved in the lifecycle of any project and the key stages include:* Project definition
* Project planning
* Project implementation
* Project completion
* Project evaluation
 |
|  |  | *In this criterion the learner is required to provide a full explanation of each stage of the lifecycle of a project.* |
|  | 1.3 Explain the roles of people involved in a project | The roles of people involved within a project will vary depending on the nature and scope of the project. There are two types of members:**Core members** will be with the project from beginning to end and normally have a broad range of skills which will be applicable throughout the project.**Non-core members** may also be brought in where specific skills are needed for a short period or to carry out a particular task.Examples of roles include:* Project sponsor
* Project manager
* Team members
* Customer representatives
* Stakeholders
 |
| *In this criterion the learner is required to provide a detailed explanation of the roles of people involved within a project.* |
| 1.4 Explain the uses of project-related information  | There are a wide variety of sources of information available to be gathered and analysed when working on a project. It is important to ensure that any information gathered and used is accurate and relevant to the project requirements. |
| *In this criterion the learner is required to provide an explanation of the use of two or more pieces of information related to a project.* |
|  | 1.5 Explain the advantages and limitations of different project monitoring techniques  | The monitoring of projects is very important in ensuring that the project is delivered on time and within scope and budget. In order for this to be successful, the monitoring techniques should be incorporated in the early planning stages of the project.There are a wide variety of project management monitoring techniques available for use and the technique chosen will depend on the nature and size of the project.Examples include:* Gantt charts
* Critical path analysis
* Milestone slip charts
* Progress reports
 |
| *In this criterion the learner is required to provide an explanation of both the advantages and limitations of two or more project monitoring techniques.* |
|  | 1.6 Analyse the interrelationship of project scope, schedule, finance, risk, quality and resources | It is important and necessary to understand how related and interdependent activities of a project can affect its success.If you change any one of the variables of scope, time, costs, quality and risk then some of the others will have to change also. For example, if you want to deliver the project in less time, either the costs will rise or the quality will be reduced and the scope will need to be altered. |
| *In this criterion the learner is required to examine in detail the interrelationship of the project scope, the project schedule, the finance, the risk, the quality and the resources of the project.* *In order to meet this criterion all interrelationships listed must be covered in the response.* |
| 2. Be able to support the delivery of a project  | 2.1 Fulfill their role in accordance with a project plan  | Every role within a project team is important to its success, so it is necessary that individuals are clear on their project roles and responsibilities and ensure that any work undertaken as part of this is delivered within scope, on time and within budget. |
| *In this criterion the learner is required to state what their role within the project was or is and provide evidence that demonstrates how they have fulfilled this role.* |
| 2.2 Collect project-related information in accordance with project plans  | The type and amount of information available as outputs of project planning are varied and will depend on the nature and scope of the project being delivered.Examples of information to be collected are:* Time management records: that track and record time spent on tasks against the project plan
* Cost management records: that identify and record costs against the project budget
* Quality management records: that review the quality of the deliverables and management processes
* Change management: that review and implement requests for changes to the project
* Risk management records: that assess the level of project risk and actions taken to minimize it
* Communications management records: that keep stakeholders informed of project progress, risks and issues
 |
| *In this criterion the learner is required to provide evidence of information that they have collected in line with the project plan requirements.*  |
| 2.3 Use appropriate tools to analyse project information  | It is important and necessary to be aware of the range of basic project analysis tools available to monitor, control and review project progress and to be able to select the most appropriate tool for the situation.Examples of some tools used for analysis include:* Value analysis
* Project Evaluation Review Techniques (PERT)
* Critical path analysis
* Risk analysis
 |
| *In this criterion the learner is required to provide evidence of two or more tools they have used to analyse project information and demonstrate how these were the most appropriate tools for the analysis.* |
|  | 2.4 Report on information analysis in the agreed format and timescale | The format used to report on the analysis of information will vary between organisations and on the type and complexity of the project being undertakenExamples of formats include:* Written reports
* Presentations
* Team briefings
* Briefing papers
* Progress papers
 |
| *In this criterion the learner is required to provide evidence of the format used to report the analysis of the required information and to demonstrate that they have actioned this within the agreed timescale for the project.* |
|  | 2.5 Draw issues, anomalies and potential problems to the attention of project managers | It is important to know how and when to report potential problems, issues or anomalies in the project to the project manager.  |
| *In this criterion the learner is required to provide evidence that two or more issues and anomalies and potential problems are reported to the project manager.* |
| 2.6 Adhere to organisational policies and procedures, legal and ethical requirements in supporting the delivery of a project | Organisational policies and procedures will vary depending on the type and nature of the organisation, however, it is important and necessary to comply with all relevant organisational procedures and legal and ethical requirements in supporting the delivery of a project.Examples include:* Budgetary controls
* Confidentiality agreements
* Requisitioning and order placing procedures
* Levels of authority
* Employment of contractors
 |
| *In this criterion the learner is required to provide evidence of where during their involvement within the project they have adhered to organisational policies and procedures and legal and ethical requirements* |

B&A 42 Negotiate in a business environment

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the principles underpinning negotiation
 | Describe the requirements of a negotiation strategy | Strategy* Plan
* Tactic
* Approach
 |
| Explain the use of different negotiation techniques | Techniques* The Persuasion Tools Model
* Win-Win
* Lewicki & Hiam
 |
| Explain how research on the other party can be used in negotiations |  |
| Explain how cultural differences might affect negotiations. |  |
| Evidence may be supplied by* Report, professional discussion and questioning
 |
| 1. Be able to prepare for business negotiations
 | 1. Identify the:
* Purpose
* Scope
* Objectives of the negotiation
 |  |
| 2.2 Explain the scope of their own authority for negotiating  |  |
| 2.3 Prepare a negotiating strategy |  |
| * 1. Prepare fall-back stances and compromises that align with the negotiating strategy and priorities
 | Fall-back stances e.g. a last ditch compromise for example |
| * 1. Assess the likely objectives and negotiation stances of the other party
 |  |
| * 1. Research the strengths and weaknesses of the other party
 |  |
| Evidence may be supplied by* Report, product, professional discussion and questioning
 |
| 1. Be able to carry out business negotiations
 | 1. Carry out negotiations within responsibility limits in a way that optimises opportunities
 |  |
| 1. Adapt the conduct of the negotiation in accordance with changing circumstances
 |
| 3.3 Maintain accurate records of:* Negotiations
* Outcomes
* Agreements made
 |  |
| 3.4 Adhere to:* Organisational policies and procedures
* Legal and ethical requirements

When carrying out business negotiations |  |
| Evidence may be supplied by* Report, product, professional discussion, questioning and witness testimony
 |

**B&A 43 Develop a presentation**

|  |  |  |
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| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand how to develop a presentation
 | Explain best practice in developing presentations | Best practice* Appropriate size font
* Use of colour as appropriate
* Use of charts appropriately
* Choosing the right method for the occasion (eg handout to present to a meeting rather than a 35 slide presentation which says the same)
 |
| Explain who needs to be consulted on the development of a presentation |  |
| Explain the factors to be taken into account in developing a presentation | Factors* Specific aims and objectives
* Research topic
* Include key points
* Use colour appropriately
* Product relevant handouts
* Five ‘P’s – Planning and Preparation Prevent Poor Performance
 |
| Analyse the advantages and limitations of different communication media | Communication media* Meetings
* E-mail
* Conference calls
* Reports
* Presentations
 |
| Evidence may be supplied by* report, professional discussion and questioning
 |
| 1. Be able to develop a presentation
 | 1. Identify the:
* Purpose
* Content
* Style
* Timing
* Audience for a presentation
 |  |
| 2.2 Select a communication media  that is appropriate to the:* Nature of the presentation
* Message
* Audience
 | Communication media* Slide presentation
* Flip chart with handouts
* Handouts only
 |
| 2.3 Tailor a presentation to fit the time scale and audience’s needs |  |
| * 1. Prepare a presentation that is:
* Logically structured
* Summarises the content
* Addresses the brief
 |  |
|  | * 1. Take action to ensure that a presentation adhered to organisational guidelines and policies
 |  |
|  | * 1. Develop materials that support the content of a presentation
 | Materials* Handouts
* Activities
* Data specific eg financial standing in the market
 |
| Evidence may be supplied by* Product, report, professional discussion and questioning
 |

**B&A 44 Deliver a presentation**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the principles underpinning the delivery of presentations.
 | Analyse the advantages and limitations of different methods of, and media for, making presentations | Methods of, and media for, making presentations* Oral
* Slides
* Handouts
* Cue cards
* Whiteboard
* Flipchart
 |
| Explain how the type and size of the audience affects the delivery of a presentation | Audience:* Medium – between 10 and 25
* Large – more than 25
 |
| Explain the factors to be taken into account in developing contingency plans when delivering presentations | Contingency:* Something that may happen
* Something set aside for unforeseen emergency
 |
| Explain voice projection and timing techniques when delivering presentations | Techniques: The ‘Goldilocks principle’ – deliver the presentation to suit the audience, if the material and timing is right the topic will be understood |
| Explain the factors to be taken into account in responding to questions from an audience. | Factors:* That test your expertise
* That demonstrates the questioner’s expertise
* That aims to correct an assertion you have made
* That seeks justification
* That comes too early
* You can’t answer
 |
| Explain different methods for evaluating the effectiveness of a presentation. | Methods:* Question & answer
* Feedback questionnaire
* Follow up e-mail
 |
| Evidence may be supplied by* Report, professional discussion and questioning
 |
| 1. Be able to prepare to deliver a presentation
 | * 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. |  |
| Evidence may be supplied by* Observation, product, witness testimony, professional discussion and questioning
 |
| 1. Be able to deliver a presentation
 | 1. Speak clearly and confidently, using language that is appropriate for the topic and the audience
 |  |
| 1. Vary their voice:
* Tone
* Pace
* Volume

appropriately when delivering a presentation |
| 1. Use body language in a way that reinforces messages
 |  |
| * 1. Use equipment and resources effectively when delivery a presentation
 |  |
| * 1. Deliver a presentation within the agreed timeframe
 |  |
| * 1. Respond to questions in a way that meets the audience’s needs
 |  |
| * 1. Evaluate the effectiveness of a presentation
 |  |
| **Evidence may be supplied by*** Observation, product, witness testimony, professional discussion and questioning
 |

**CS 31 Resolve customers’ complaints**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Assessment Criteria** | **Guidelines and range****The candidate provides evidence that they understand:** |
| 1. Understand the monitoring and resolution of customers’ complaints  | * 1. Assess the suitability of a

range of monitoring techniques for customers’ complaints  | Monitoring techniques* Customer feedback
* Customer records
* Sales
* Returns
 |
| * 1. Explain how to identify those

complaints that should prompt a review of the service offer and service delivery  | Service offerThis details what an organisation will do for a customer, what level of customer service will be on offer and the limit of what will be offered. It also ensures consistency in the service offered.Service deliveryThis is about getting the goods or services to the customer in the optimum or agreed timescale e.g. from the number of people who can be waiting in a queue at the till before assistance must be requested to the length of time callers should be waiting before answered or keeping to an agreed product delivery time. |
| * 1. Explain negotiating techniques

used to resolve customers’ complaints  | Negotiating techniques* Know what has to be achieved
* Prepare for any discussion
* Be confident
* Share information
* Listen
* Be ready for compromise
* Close with confirmation
 |
| * 1. Explain conflict management

techniques used in dealing with upset customers  | Conflict management techniques* Listen
* Be assertive – not aggressive
* Remain calm
* Show understanding and be prepared to seek a solution
* Consider a compromise
* Recognize when it is not working and when to involve others.
 |
| * 1. Explain organisational

procedures for dealing with customer complaints  |  |
| * 1. Explain when to escalate

customers’ complaints  |  |
| * 1. Explain the cost and

regulatory implications of admitting liability on the basis of a customer complaint  |  |
| * 1. Explain the advantages and

limitations of offering compensation or replacement products and/or services  |  |
| Evidence may be supplied by:* Professional discussion
* Reflective account
* Questioning
* Organisational policies and procedures
* Conflict management techniques
* Service offer
* Refund policy
* Knowledge base content\*
 |
| 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  | Personal responsibility Here you will be required to show you have taken responsibility for each of the complaints you have dealt with. You are not required to have resolved them all yourself but to take responsibility by e.g. escalating the issue, keeping the customer informed of progress and following up with the customer to ensure the complaint has been resolved. Resolved does not mean the customers’ complaints have all been upheld but that the customer has been satisfied the complaints process has been carried out. |
| 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  |  |
| 2.7 Agree solutions with customers that address the complaint and which are within the limits of their own authority  |  |
| 2.8 Record the outcome of the handling of complaints for future reference  |  |
| 2.9 Adhere to organisational policies and procedures, legal and ethical requirements when dealing with customers’ complaints  | Organisational policies and procedures which relate to:* Roles and responsibilities showing limits of authority
* Service offer
* Handling of customer issues.

Legal requirements:* Sale of Goods Act (Sale and Supply of Goods to Consumers Regulations)
* Trade Descriptions Act
* Data Protection Act.

Ethical requirements* Organisational principles
* Values
* Fairness.
 |
| Evidence may be supplied by:* Observation
* Witness testimony
* Customer records\*
* Professional discussion
* Questioning
* Reflective account
* Organisational policies and procedures\*
* Knowledge base content\*
* Service offer\*
* Refund policy\*
 |

 \*Internal/organisational documentation need not be held in the candidate’s portfolio but held in the workplace with reference made to where it can be found and its relevance to the criteria.