



Qualification
Guidance

Active IQ Level 3 Diploma in Principles of Management and Business

Qualification
Accreditation Number:
610/4267/5
Version AIQ006674

Active iQ

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Introduction

The Active IQ Level 3 Diploma in Principles of Management and Business is at level 3 on the Regulated Qualifications Framework (RQF).

Guided learning hours:	261	Total qualification time:	405
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Entry requirements:

- There are no specific entry requirements.
- There is an element of communication (discussing, presenting, reading and writing) involved and learners should have basic skills in communication pitched at level 2.

Qualification outline

Target learners:

- Learners aged 16+.
- Learners who are aspiring to become managers.
- Learners who hold some supervisory responsibilities who are looking to progress into more senior management roles.

Purpose

This qualification aims to provide learners with a knowledge and understanding of management. During the qualification, learners will cover:

- The principles of effective decision making.
- Leadership styles and models.
- The role and processes of management.
- Performance measurement.
- Equality, diversity and inclusion in the workplace.
- Business innovation and growth.
- Budgeting and finance.
- How to lead a team.
- Managing emotions and behaviours.
- Project management.
- Professional development in colleagues.

Progression

This qualification provides progression to:

- Apprenticeships in Management.

Occupational competence statements for tutoring, assessing and internally verifying

This section outlines the requirements for tutoring, assessing and internally verifying Active IQ qualifications.

Required criteria

All tutors, assessors and internal verifiers must:

- Possess a discipline-specific qualification equivalent to the qualification being taught.
- Have the relevant industry experience.
- Demonstrate active involvement in a process of industry-relevant continuing professional development during the last two years (this may be discipline/context-specific or relevant to tutoring assessing or quality assurance).

Tutors

Tutors must hold, or be working towards, a teaching qualification.

The following are acceptable:

- Level 3 Award in Education and Training.
- Level 4 Certificate in Education and Training.
- Level 5 Diploma in Education and Training.
- Certificate in Education.

Assessors

Assessors must hold, or be working towards, any of the following:

- Level 3 Award in Understanding the Principles and Practices of Assessment.
- Level 3 Award in Assessing Vocationally Related Achievement.
- Level 3 Award in Assessing Competence in the Work Environment.
- Level 3 Certificate in Assessing Vocational Achievement.
- A1 (previously D32, D33).

Internal verifiers

Internal verifiers must hold, or be working towards, any of the following:

- Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice.
- Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice.
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice.
- V1 (previously D34).

All new assessors and quality assurance staff must be given a clear action plan for achieving the appropriate qualification(s) which should be countersigned by an appropriately qualified individual until the qualification(s) are achieved.

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Qualification structure

Learners must complete the eight mandatory units.

Unit	Unit accreditation number	Level	GLH	TQT
1. Principles of leadership and management	L/618/3464	3	50	80
2. Understanding equality, diversity and inclusion in the workplace	F/618/3459	3	10	20
3. Principles of business	T/650/8881	3	30	60
4. Principles of people management	Y/650/8882	3	45	70
5. Understanding how to lead a team	A/650/8883	3	30	45
6. Recruitment, and development of colleagues	A/618/3458	3	42	50
7. Understand how to manage a project	A/618/3461	3	18	30
8. Understanding budgeting and finance	J/618/3463	3	36	50

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand the principles of effective decision making	1.1 Explain the importance of defining the objectives, scope and success criteria of the decisions to be taken 1.2 Assess the importance of analysing the potential impact of decision making 1.3 Explain the importance of obtaining sufficient valid information to enable effective decision making 1.4 Explain the importance of aligning decisions with business objectives, values and policies 1.5 Explain how to validate information used in the decision-making process 1.6 Explain how to address issues that hamper the achievement of targets and quality standards
2. Understand leadership styles and models	2.1 Explain the difference in the influence of managers and leaders on their teams 2.2 Evaluate the suitability and impact of different leadership styles in different contexts 2.3 Analyse theories and models of motivation and their application in the workplace
3. Understand the role, functions and processes of management	3.1 Analyse a manager's responsibilities for planning, coordinating and controlling work 3.2 Explain how managers ensure that team objectives are met 3.3 Explain how a manager's role contributes to the achievement of an organisation's vision, mission and objectives 3.4 Analyse theories and models of management 3.5 Explain how the application of management theories guide a manager's actions 3.6 Explain the operational constraints imposed by budgets

Learning outcomes The learner will:	Assessment criteria The learner can:
4. Understand performance measurement	4.1 Explain the relationship between business objectives and performance measures 4.2 Explain the features of a performance measurement system 4.3 Explain how to set key performance indicators (KPIs) 4.4 Explain the tools, processes and timetable for monitoring and reporting on business performance 4.5 Explain the use of management accounts and management information systems in performance management 4.6 Explain the distinction between outcomes and outputs
Assessment	Worksheet

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand equality, diversity and inclusion in the workplace	1.1 Explain equality, diversity and inclusion 1.2 Explain the importance of equality, diversity and inclusion across aspects of organisational policy 1.3 Explain the potential consequences of breaches of equality legislation
2. Understand the personal aspects of equality, diversity and inclusion in the workplace	2.1 Describe own responsibilities for equality, diversity and inclusion in the workplace 2.2 Explain the different forms of discrimination and harassment 2.3 Describe the characteristics of behaviour that supports equality, diversity and inclusion in the workplace 2.4 Explain the importance of displaying behaviour that supports equality, diversity and inclusion in the workplace
3. Understand how to support equality, diversity and inclusion in the workplace	3.1 Explain how to ensure colleagues are aware of their responsibilities for maintaining equality, diversity and inclusion in the workplace 3.2 Explain how potential issues relating to equality, diversity and inclusion in the workplace can be identified
Assessment	Worksheet

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

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand the principles of workforce management	1.1 Explain the relationship between Human Resources (HR) functions and other business functions 1.2 Explain the purpose and process of workforce planning 1.3 Explain how employment law affects an organisation's HR and business policies and practices 1.4 Evaluate the implications for an organisation of utilising different types of employment contracts 1.5 Evaluate the implications for an individual of different types of employment contracts
2. Understand equality of opportunity, diversity and inclusion	2.1 Explain an organisation's responsibilities and liabilities under equality legislation 2.2 Explain the benefits that effective equality of opportunity, diversity and inclusion policies bring to individuals and organisations 2.3 Explain the language and behaviour that support commitments to equality of opportunity, diversity and inclusion 2.4 Explain how to measure diversity within an organisation
3. Understand team building and dynamics	3.1 Explain the difference between a group and a team 3.2 Outline the characteristics of an effective team 3.3 Explain the techniques of building a team 3.4 Explain techniques to motivate team members 3.5 Explain the importance of communicating targets and objectives to a team 3.6 Examine theories of team development 3.7 Explain common causes of conflict within a team 3.8 Explain techniques to manage conflict within a team
4. Understand how to collaborate with other departments	4.1 Explain the need for collaborating with other departments 4.2 Explain the nature of the interaction between their own team and other departments 4.3 Explain the features of effective collaboration 4.4 Explain the potential implications of ineffective collaboration with other departments 4.5 Explain the factors relating to knowledge management that should be considered when collaborating with other departments

Learning outcomes The learner will:	Assessment criteria The learner can:
5. Understand performance management	5.1 Identify the characteristics of an effective performance management system 5.2 Explain the uses of specific, measurable, achievable, realistic and time-bound (SMART) objectives and priorities 5.3 Describe best practice in conducting appraisals 5.4 Explain the factors to be taken into account when managing people's wellbeing and performance 5.5 Explain the importance of following disciplinary and grievance processes
6. Understand training and development	6.1 Explain the benefits of employee development 6.2 Explain the advantages and limitations of different types of training and development methods 6.3 Explain the role of targets, objectives and feedback in employee development 6.4 Explain how personal development plans support the training and development of individuals 6.5 Explain how to make use of planned and unplanned learning opportunities to meet individuals' preferred learning styles 6.6 Explain how to support individuals' learning and development
7. Understand reward and recognition	7.1 Describe the components of 'total reward' 7.2 Analyse the relationship between motivation and reward 7.3 Explain different types of pay structures 7.4 Explain the risks involved in the management of reward schemes
Assessment	Worksheet

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand the team leadership role	1.1 Explain the importance of team leadership 1.2 Summarise the responsibilities of a team leader in an organisation 1.3 Describe different styles of leadership and how they can be applied in different situations
2. Understand the role of emotions and behaviours when leading a team	2.1 Explain why it is important for a team leader to be aware of own emotions and the effect that own emotions can have on team members 2.2 Explain why it is important for a team leader to be aware of the emotions of team members and how to respond to these 2.3 Describe how to manage own emotions to achieve a positive outcome when leading a team 2.4 Explain how to manage conflict within a team to achieve best results
3. Understand the value of diversity within a team	3.1 Explain the importance of taking account of different skill sets and characteristics in a team 3.2 Describe the different types of skills and characteristics that members of a team may have 3.3 Describe how to make best use of different skill sets and characteristics in a team
4. Understand the role of communication when leading a team	4.1 Explain the importance of effective two-way communication when leading a team 4.2 Describe situations in which effective two-way communication is particularly important 4.3 Explain how to use a range of communication techniques when leading a team
5. Understand the role of motivating others when leading a team	5.1 Explain the importance of motivating others when leading a team 5.2 Describe a range of factors that motivate team members 5.3 Explain how to select different ways of motivating others according to the situation and the individuals involved 5.4 Explain what is meant by 'empowerment' and how empowering team members can contribute to team performance 5.5 Describe how to maintain the motivation of team members when the team has experienced setbacks

Learning outcomes	Assessment criteria
The learner will:	The learner can:
6. Understand how to provide team members with a sense of direction and common purpose	6.1 Explain the importance of team members having a sense of direction and common purpose 6.2 Explain how to give team members a sense of direction and common purpose 6.3 Describe situations in which a team leader should take direction from a team member
Assessment	Worksheet

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand the recruitment process	1.1 Explain the different stages in the recruitment and selection process 1.2 Describe the purpose and structure of a job description and person specification 1.3 Describe different recruitment and selection methods 1.4 Evaluate the advantages and disadvantages of a range of recruitment and selection methods 1.5 Describe how to judge whether applicants meet the stated requirements of the vacancy 1.6 Identify appropriate legislation and relevant codes of practice when recruiting and selecting people
2. Understand how to facilitate professional development of colleagues	2.1 Explain the induction process and its importance to the new team member 2.2 Describe how to identify learning needs and skills gaps within your team 2.3 Describe how to prepare a written learning and development plan 2.4 Explain the importance of regularly reviewing and updating written learning and development plans
3. Understand how to implement a performance appraisal as part of employee career development	3.1 Explain the importance of performance appraisals 3.2 Describe the main aims of a performance appraisal 3.3 Describe a range of methods used to assess performance 3.4 Describe how to take account of equality legislation and relevant codes of practice when implementing a performance appraisal
Assessment	Worksheet

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Understand how to manage a project	1.1 Explain the features of a project business case 1.2 Explain the stages of a project lifecycle 1.3 Explain the roles of people involved in a project 1.4 Explain the uses of project-related information 1.5 Explain the advantages and limitations of different project monitoring techniques 1.6 Describe the interrelationship of project scope, schedule, finance, risk, quality and resources
2. Understand how to support the delivery of a project	2.1 Describe methods of collecting project-related information in accordance with project plans 2.2 Describe appropriate tools to analyse project information 2.3 Explain how to report on information analysis 2.4 Explain how to report issues, anomalies and potential problems
Assessment	Worksheet

Learning outcomes The learner will:	Assessment criteria The learner can:
1. Know the principles of financial management	1.1 Describe the financial regulations relating to the following: <ul style="list-style-type: none"> • financial reporting • payment of salaries and wages • dealing with income • record keeping • audits
2. Understand how to set budget	2.1 Describe the purpose of an annual budget 2.2 Explain the purpose of income and expenditure budgeting 2.3 Define gross profit 2.4 Define net profit 2.5 Give examples of typical business costs included in a budget 2.6 Explain the difference between direct and indirect costs 2.7 Interpret income and expenditure statements against budgeted forecast 2.8 Describe the purpose of a balance sheet and profit and loss account 2.9 Explain the difference between a budget and a profit and loss account 2.10 Describe the purpose of Key Performance Indicators (KPIs) 2.11 Give examples of Key Performance Indicators that can be linked to a budget 2.12 Give examples of how to forecast income and expenditure in order to set budgets
3. Be able to create an income and expenditure budget with Key Performance Indicators	3.1 Provide a breakdown of forecasted income for a business activity or department 3.2 Provide a breakdown of forecasted expenditure for business activity or department 3.3 Create an income and expenditure budget with Key Performance Indicators for a business activity or Department
Assessment	Worksheet Task

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