



AMSPAR

# **4419-605 Developing or Improving Services in a Primary Care or Health Environment**

**Level 5 Certificate/Diploma in Primary Care and Health Management  
(4419-06)**

## **Assessment guide for the Business Case and Business Plan**

Instructions for assessors and candidates

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<b>Version and date</b>	<b>Change detail</b>	<b>Section</b>
2.0 June 2017	Deleted references to 4419-05 Amended City & Guilds email address	Throughout document

## About AMSPAR

AMSPAR is The Association of Medical Secretaries, Practice Managers, Administrators and Receptionists. It was established in 1964 with the aim of creating and promoting appropriate qualifications, initially for those working as medical secretaries and subsequently for medical receptionists, administrators and practice managers.

AMSPAR works with City & Guilds, the UK's leading vocational awarding body, to provide a range of nationally recognised qualifications suitable for delivery as either full or part time study programmes.

## AMSPAR website

<b>Website</b>	<b>Address</b>	<b>Purpose and content</b>
AMSPAR main website	<a href="http://www.amspar.com">www.amspar.com</a>	This is the main website for finding out about qualifications offered by AMSPAR, accessing membership information and the discussion forum

## Contacting AMSPAR by email

Please do not send urgent or confidential information to AMSPAR by email

<b>email</b>	<b>Query types</b>
<a href="mailto:info@amspar.com">info@amspar.com</a>	General enquiries

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The City & Guilds/AMSPAR Level 5 Certificate and Diploma in Primary Care and Health Management are designed specifically for existing and aspiring managers working or who wish to work in a Primary Care or health or social care environment. These qualifications allow candidates to learn and develop the skills required for employment and/or career progression in general practice and related organisations. With the Certificate they will gain the essential knowledge and understanding required to ensure the efficient delivery of patient and community services as well as develop key transferable skills in communication, resource and financial management. The Diploma offers candidates the opportunity to broaden their understanding of management theory and techniques and apply these to meet the challenges of initiating and implementing change and quality improvement.

These qualifications are Vocationally Related Qualifications (VRQs) and are accredited as part of the Qualifications and Credit Framework (QCF).

This Assessment guide should be read in conjunction with the 4419-06 Qualification Handbook which contains full details of centre and candidate requirements, unit content and additional information. These are available as free downloads from [www.cityandguilds.com](http://www.cityandguilds.com)

## Centre and qualification approval

New centres must apply for centre and qualification approval.

Existing City & Guilds centres will need to get specific qualification approval to run these qualifications. See fast-track arrangements in the qualification handbook.

Full details of the process for both centre and qualification approval are given in *Providing City & Guilds qualifications – a guide to centre and qualification (scheme) approval* which is available on the City & Guilds website |[www.cityandguilds.com](http://www.cityandguilds.com)

City & Guilds reserves the right to suspend an approved centre, or withdraw approval from an approved centre to conduct a particular City & Guilds qualification or qualifications, for reasons of debt, malpractice, or for any reason that may be detrimental to the maintenance of authentic, reliable and valid qualifications, or that may prejudice the name of City & Guilds.

### Claiming certification

Candidates must be registered at the beginning of their course. Centres should submit registrations via the *Walled Garden*, under the appropriate qualification number 4419-06.

There is no grading of the overall qualification.

To claim a full qualification certificate under **4419-06** the grading units **916/917** must be used.

- For the **Certificate** in Primary Care and Health Management enter **4419-916** followed by **P**
- For the **Diploma** in Primary Care and Health Management enter **4419-917** followed by **P**

Details on all procedures can be found on City & Guilds' website |[www.cityandguilds.com](http://www.cityandguilds.com)

### Data protection and security

The centre should have available a copy of the Data Protection Act and bring its contents to the attention of candidates.

Centres should themselves ensure that the Business Case and Business plan produced by candidates is kept secure and that it is the candidate's own work.

Centres **must** produce a written strategy outlining their procedures for ensuring the above takes place.

## Keeping records

Centres must hold candidate records as required for regulatory compliance purposes. The records must include:

- candidate name
- date of birth
- particular assessment requirements
- organisation
- assessor(s) name
- quality assurance co-ordinator/programme co-ordinator's name
- date of registration
- candidate enrolment number
- qualification title and level
- progress records, including unit accreditation and qualification completion dates.

Centres must also hold assessment records for three years as required for regulatory compliance purposes include:

- name of the candidate
- units/components assessed, types of evidence submitted, assessment methods used
- names of each assessor involved with the units/components
- dates on which the assessments took place
- assessment locations
- assessment decisions made
- assessment plans, review and feedback records, assessment judgements.

For more detailed information on keeping records please refer to the City & Guilds website.

## Authenticity

Refer to the centre's policy on assessment and quality assurance on ensuring the authenticity of the candidate's work. Further guidance may be sourced from [www.ofqual.gov.uk](http://www.ofqual.gov.uk)

## Quality assurance

This qualification is a Vocationally Related Qualifications (VRQs) and does not imply occupational competence. Centres are required to establish a system of internal verification/scheme co-ordination. This means that the work of assessors involved in the qualification must be monitored by a quality assurance co-ordinator, to ensure that assessors are applying the standards consistently throughout assessment activities.

There will normally be one external verification activity per centre, per year.

Candidates' work may also be subject to external verification, which may be by a visit or by post.

If a candidate's work is selected for external verification, samples of work must be available to the appointed Qualification Consultant.



A Qualification Consultant will visit the centre/learning provider and their role includes the following:

- ensuring that quality assurance co-ordinators are undertaking their duties satisfactorily
- monitoring internal quality assurance systems and sampling assessment activities, methods and records
- acting as a source of advice and support
- promoting best practice
- providing prompt, accurate and constructive feedback to all relevant parties on the operation of centre's/learning provider's assessment systems.

### **Guidance for trainers and learning providers on delivering the qualification**

Trainers/learning providers should be technically competent in the areas for which they are delivering training and should also have credible experience of providing training. This will be looked for at the approval stage and will be monitored by the external verification process.

Assessors should have recent relevant experience in the specific area they will be assessing.

Assessors need to have a greater level of experience and understanding than those they are assessing.

While the A/V units are valued as a qualification they are **not** currently a requirement for assessors of these qualifications.

### **Policy on managing cases of suspected malpractice**

The policy on 'Managing cases of suspected malpractice by centres and candidates' can be found on the City & Guilds website.

# Introducing the Business Case and the Business Plan

## Development brief

Effective change management is critical to organised healthcare services provision. In the current climate of political change and reform to healthcare services, there is a need to be proactive in meeting patient and stakeholder needs. Managers must demonstrate they are able to develop or improve services to meet the strategic aims of their organisation.

The development brief is therefore to submit a Business Case and a detailed Business Plan to improve or develop new healthcare services for the candidate's organisation.

The Business Case and Business Plan will enable the candidate to demonstrate they are able to meet the four learning outcomes of the unit 4419-605 entitled Developing or improving services in a Primary Care or health environment.

The **four** learning outcomes are:

1. Know how to develop a business case to improve or develop new healthcare services which meet the strategic aims of an organisation.
2. Understand how to plan to improve or develop new healthcare services.
3. Understand how to evaluate the effectiveness of change management principles in improving or developing new healthcare services.
4. Understand how to establish and evaluate quality assurance systems to monitor, measure and report on the impact of new or improved healthcare services.

# Centre instructions

The following notes for guidance are to assist centres to support the candidates to prepare a Business Case and Business Plan in readiness for external assessment for Unit 4419-605.

## 1. Location for the Business Case and Business Plan

- 1.1 The Business Case and Business Plan may be completed at a location at the discretion of the candidate and tutor.
- 1.2 The importance of safe working practices, the demands of the appropriate national and local Health and Safety legislation, associated regulations and Codes of Practice associated with the particular industry, must always be stressed. Candidates have responsibilities for maintaining the safety of others as well as themselves. Anyone behaving in an unsafe manner must be stopped and suitable warnings given. A candidate should not be allowed to continue working on a Business Case and Business Plan if they have contravened these requirements. This may seem rather strict but, apart from the potentially unpleasant consequences, each candidate must acquire the habits required for the workplace.

## 2. Equipment and resources required for the Business Case and Business Plan

- 2.1 Access to word processing and printer facilities is required to allow candidates to produce work more efficiently.
- 2.2 Centres should ensure that candidates fully understand the requirements of the unit 4419-605 which is published in the Qualification Handbook for centres.
- 2.3 Centres should ensure that candidates read this guide in its entirety before commencing the Business Case and Business Plan. The requirements for this unit differ from the requirements of all other units in this qualification, which are assessed through centre marked assignments. The Business Case and Business Plan are externally assessed by City & Guilds.
- 2.4 Centres should ensure that candidates read the marking and grading criteria so that they know what is required to attain a Pass/Merit/Distinction overall grade, as well as for each of the assessment criteria.

## 3. Evidence and recording

- 3.1 The Business Case and Business Plan must be presented in **one** document in the format outlined by City & Guilds.
- 3.2 Failure to use the format outlined will result in City & Guilds returning the work unmarked.
- 3.3 Centres should ensure that the Business Case and Business Plan title page contains the following information:
  - centre number
  - candidate name
  - candidate City & Guilds registration number
  - the title of the Business Case and Business Plan
  - the date of the submission
  - word count.
- 3.4 Centres should ensure that candidates organise their information clearly and coherently with accurate spelling and grammar.

- 3.5 The Business Case and Business Plan must be submitted in the **'third person'**.
- 3.6 Candidates should take care to preserve confidentiality.
- 3.7 Centres should instruct candidates to reference sources within the text and submit a bibliography using the Harvard referencing system.
- 3.8 Candidates should attach appendices appropriate to the Business Case and Business Plan. Candidates should consider the merits of inserting a quotation with reference to its source rather than inserting a large document as an appendix.

#### 4. Word count

The recommended word count for the Business Case is 2000 words (**maximum** is 3000 words).

The recommended word count for the Business Plan is 4000 words (**maximum** is 6000 words).

The word count excludes the title page, contents pages, bibliography and appendices.

#### 5. Submission arrangements for external assessment by City & Guilds

5.1 The Business Case and Business Plan may be submitted as a:

- An electronic copy which should be between 1Mb to a maximum of 5Mb. If the electronic copy exceeds this size it will **not** be accepted.

**Or**

- Bound and typed version (3 copies: City & Guilds, Centre Copy and a personal copy)

5.2 The Business Case and Business Plan should be forwarded to City & Guilds as **one** document in order to meet one of the annual submission deadlines given below. Centres **must** submit the candidates work **no later** than the end of:

- March
- June
- September
- December

**Note:** Business cases submitted after these dates will be held over until the next marking window.

#### 6. Forms that need to be submitted with the Business Case and Business Plan

- **Electronic S Form** must be completed with candidate details and enclosed with the Business Case and Business Plan (an example of the S Form is in Appendix 1).
- **Form 4419-06 DPCHM/0A1 (Business Case Approval Form)** (see Appendix 1).
- **Form 4419-06 DPCHM/BP1 (Submission Form - Business Case and Business Plan)** (see Appendix 1).

The above forms should be sent **directly** to [TEAM5ADMIN@cityandguilds.com](mailto:TEAM5ADMIN@cityandguilds.com) or posted to:  
**Assessment Team 5, City & Guilds, 1 Giltspur Street, London EC1A 9DD**

#### 7. Business Case and Business Plan appeals

Should a candidate fail their Business Case and Business Plan, feedback is provided via City & Guilds through a Feedback Form completed by the marker. If the centre/candidate disagree with the decision made by City & Guilds, the centre/candidate can appeal against this decision. The policy on *Reviews, appeals and complaints against assessments* can be found on the City & Guilds website [www.cityandguilds.com](http://www.cityandguilds.com)

## 8. Learning Outcomes

The learning outcomes and assessment criteria for unit 4419-605 Developing or Improving Services in a Primary Care or health environment are listed in the table below.

The table shows how the Business Case and Business Plan cover the learning outcomes and assessment criteria.

Learning outcome	Assessment criteria (AC)	Evidence
1. Know how to develop a business case to improve or develop new healthcare services which meet the strategic aims of an organisation.	1.1 Identify an opportunity to improve or develop new healthcare services explaining the rationale for this choice in the context or organisational aims.	Business Case
	1.2 Quantify an opportunity to improve or develop new healthcare services.	
	1.3 Develop a Business Case to pursue the opportunity.	
2. Understand how to plan to improve or develop new healthcare services.	2.1 Develop a detailed implementation plan for the improvement or development of new healthcare services.	Business Plan
	2.2 Assess areas of potential risk and recommend contingency plans.	
3. Understand how to evaluate the effectiveness of change management principles in improving or developing new healthcare services.	3.1 Critically review the challenges faced in managing a substantial or controversial change programme.	Business Plan
	3.2 Evaluate how to overcome these challenges by reference to established change management theory.	
4. Understand how to establish and evaluate quality assurance systems to monitor, measure and report on the impact of new or improved healthcare services.	4.1 Establish a strategy to monitor measure and report on the impact of new or improved healthcare services.	Business Plan
	4.2 Explain the rationale of proposed quality assurance methods.	

# The four stages of approval of the Business Case by the Centre Panel

There are four stages for a Business Case to be developed into a Business Plan.

## Stage 1

### Presentation of the Business Case to the Centre Panel

Candidates will be required to submit the documented Business Case ahead of the presentation for review by panel members. The panel should consist of the course tutor and at least one other person who is conversant with the requirements of the Level 5 Certificate / Diploma in Primary Care and Health Management.

The candidate will give an oral presentation of their proposed Business Case to the Centre Panel for approval.

The presentation will need to demonstrate to the Centre Panel how the Business Case meets the assessment criteria for learning outcome 1, listed below:

Learning outcome	Assessment criteria (AC)
1. Know how to develop a business case to improve or develop new healthcare services which meet the strategic aims of an organisation.	1.1 Identify and opportunity to improve or develop new healthcare services explaining the rationale for this choice in the context or organisational aims.
	1.2 Quantify an opportunity to improve or develop new healthcare services.
	1.3 Develop a Business Case to pursue the opportunity.

### Note: Distant Learning

Centres can only admit oral presentations from within a 'live environment' using visual teleconference facilities where candidates are able to respond to the centre panel.

## Stage 2

### Review of the proposal by the Centre Panel

The role of the Centre Panel is to ensure the candidates Business Case is suitable for developing into a Business Plan. The Centre Panel will review the proposal, evaluate whether it has been coherently thought through and is able to meet the assessment criteria (AC 1.1, 1.2, 1.3).

The Centre Panel will assess if the opportunity to develop or improve a healthcare service is robust enough to enable the candidate to go on to meet the following assessment criteria for the Business Plan.

Learning outcome	Assessment criteria (AC)
2. Understand how to plan to improve or develop new healthcare services.	2.1 Develop a detailed implementation plan for the improvement or development of new healthcare services.
	2.2 Assess areas of potential risk and recommend contingency plans.
3. Understand how to evaluate the effectiveness of change management principles in improving or developing new healthcare services.	3.1 Critically review the challenges faced in managing a substantial or controversial change programme.
	3.2 Evaluate how to overcome these challenges by reference to established change management theory.
4. Understand how to establish and evaluate quality assurance systems to monitor, measure and report on the impact of new or improved healthcare services.	4.1 Establish a strategy to monitor measure and report on the impact of new or improved healthcare services.
	4.2 Explain the rationale of proposed quality assurance methods.

The Centre Panel may seek clarification through questions to be answered by the candidate. Questions may be centre devised but may include the following:

- What activities will likely feature in the detailed implementation plan for the improvement or development of healthcare service? (AC 2.1)
- What are the potential risks involved with implementing the proposal/change and can you identify any contingency plans for the organisation? (AC 2.2)
- What do you believe will be the challenges in managing the improvement or development of healthcare services proposed? (AC 3.1)
- What are the change management theories you may adopt to overcome challenges faced when implementing change? (AC 3.2)
- What strategies are you considering to monitor, measure and report on the impact of the change that your opportunity may bring? Explain the reasons for your selection. (AC 4.1, 4.2)

## Stage 3

### Approval decision by the Centre Panel

Following the candidate's presentation of their Business Case, the Centre Panel will make a decision to determine whether to:

- a) Approve the Business Case – the candidate is able to commence the Business Plan.
- b) Grant approval subject to revision - the Centre Panel believe the opportunity is suitable for the candidate to pursue the Business Plan, however subject to revision. In this case constructive feedback should be provided to support the candidate to revise the proposed Business case. The candidate should then submit a revised Business Case to the course tutor. A second oral presentation is not mandatory, but this decision is left to the centre's discretion. Once the revised Business Case has been approved by the course tutor/panel, the candidate can commence the Business Plan.
- c) Reject the Business Case - the Centre Panel does not believe the opportunity is suitable for the candidate to pursue the Business Plan. The Centre Panel will instruct the candidate to submit a new Business Case for approval. The new Business Case must be presented to the Centre Panel via oral presentation. Once the new Business Case has been approved by the course tutor/panel, the candidate can commence the Business Plan.

## Stage 4

### Documenting approval of the Business Case

Once the Business Case is approved the Centre Panel will complete Form 4419-06 DPCHM/0A1 (Business Case Approval Form).

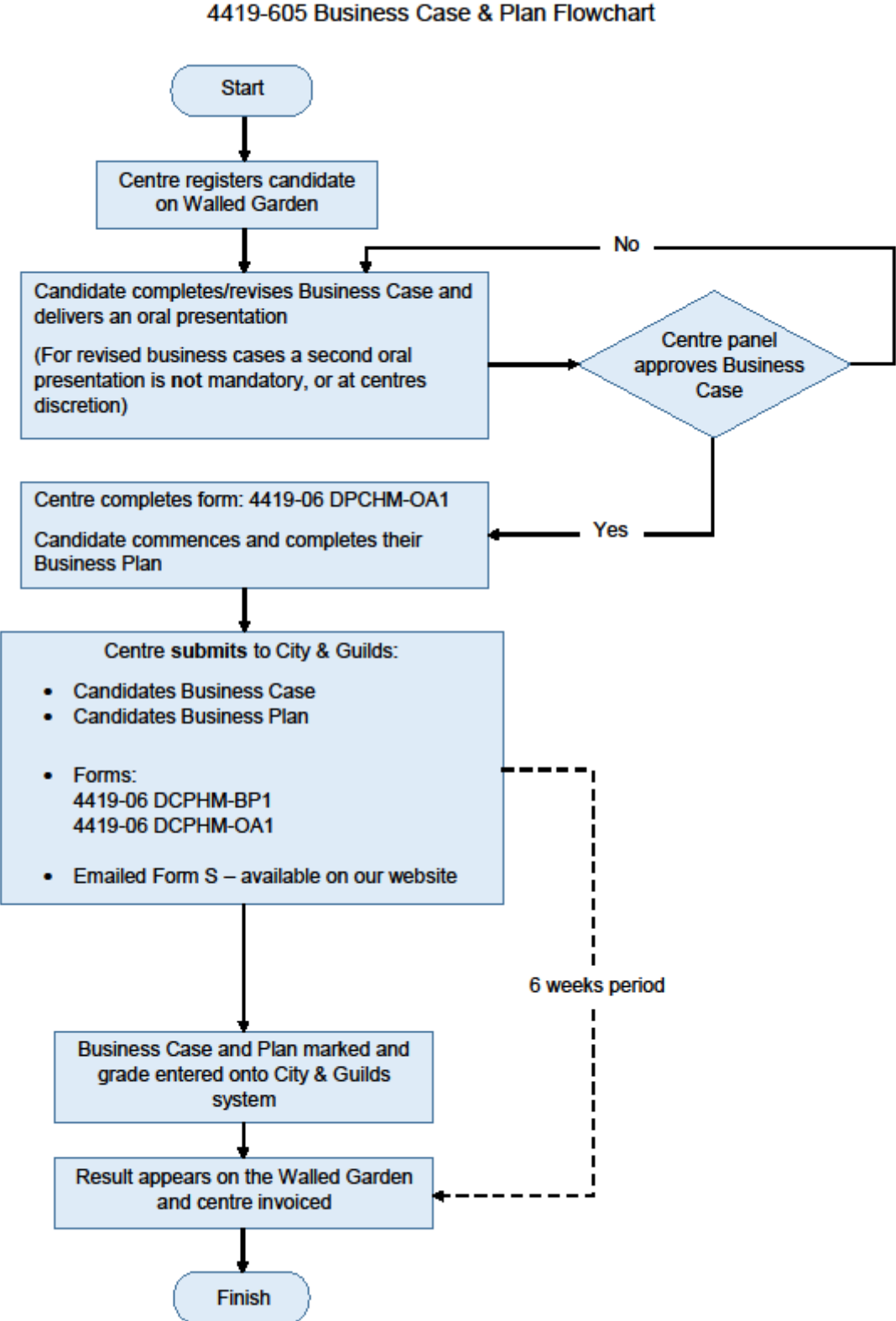
This form will be submitted to City & Guilds together with the candidate's completed Business Plan as well as Form 4419-06 DPCHM/BP1 (Submission Form - Business Case and Business Plan) and S Form.

**Note:** The approved Business Case will be subject to grading by a City & Guilds examiner in awarding the final grade for the overall Business Plan. City & Guilds examiners reserve the right **not** to uphold the decision of the panel where the opportunity to develop or improve services in a Primary Care or Health environment is deemed unsuitable.



# 4419-605 Business Case and Plan Flowchart

Below provides an overview of the process for the Business Case and Business Plan.



## Candidate instructions

Candidates are advised to read all the following instructions carefully before starting any work on the Business Case and Business Plan. If candidates are unsure of any aspect of completing the Business Case and Business Plan, candidates should seek assistance from the assessor/tutor at the centre where they are registered to ensure the process is fully understood.

The requirements for this unit differ from the requirements of all other units in this qualification, which are assessed through assignments instead. The Business Case and Business Plan are externally assessed by City & Guilds.

### Steps to follow

In order to meet the requirements for this unit, the steps below will need to be followed:

1. Candidates should identify an opportunity to develop or improve a healthcare service. This should ideally be through consultation with your line manager/employer or links to any health care environment.

Candidates will prepare a Business Case for pursuing the opportunity that has been identified based on the requirements of assessment criteria (AC 1.1, 1.2 and 1.3)

**Note:** The recommended word count for the Business Case is 2000 words (**maximum** is 3000 words).

2. Candidates will present the Business Case to the Centre Panel and be questioned by the Centre Panel to assess whether the opportunity is robust enough to pursue.
3. The Centre Panel will decide whether to:
  - a) approve the Business Case
  - b) approve the Business Case subject to recommendations
  - c) reject the Business Case
4. Once the Business Case is approved, the centre will complete **Form 4419-06 DPCHM-0A1 (Business Case Approval Form)**
5. With approval granted, candidates will be ready to begin the assessment requirements of the unit candidates will prepare the Business Case and Business Plan using the format stated by City & Guilds in this guidance.

**Note:** The recommended word count for the Business Case is 2000 words (**maximum** is 3000 words).

The recommended word count for the Business Plan is 4000 words (**maximum** is 6000 words). The word count excludes the title page, contents pages, bibliography and appendices.

6. The Business Case and Business Plan must be submitted in the 'third person'.
7. Candidates must structure their work clearly, coherently with accurate spelling, punctuation and grammar with a consistent style of headings.
8. Candidates should take care to preserve confidentiality.
9. Candidates will ensure the Business Case and Business Plan fully meets all the learning outcomes and assessment criteria for this unit, which are stated in the Qualification Handbook and in the 'Centre instructions' within this guidance document.
10. Candidates will submit the completed Business Case and Business Plan to their centre, who will then submit it to City & Guilds for external assessment.
11. Candidates should review the 'Assessment mark sheet and grading criteria' in this document, so that it is clear what is required to attain a Pass/Merit/Distinction overall grade for the unit.

The Business Case and Business Plan will be marked by an examiner at City & Guilds and the grade will be issued to the centre who will then inform the candidate.

## Centre and candidate guidance

The guidance that follows provides candidates and centres with detailed information to ensure the requirements of the Business Case and Business Plan are fully understood. The guidance is broken down into **two** parts:

**Part One:** Identifying an opportunity to develop into a Business Case and Business Plan

**Part Two:** The Business Case and Business Plan format and guidance notes

### **Part One: Identifying an opportunity to develop into a Business Case and Business Plan**

#### **1a) General guidance on selecting an opportunity to develop into a Business Case and Business Plan**

The Business Case and Business Plan needs to focus on an opportunity to develop or improve services in a Primary Care or health environment. Choosing the right topic is essential. The Business Case sets the scene for the Business Plan, it provides background and reasoned argument as to why an opportunity should be pursued. It needs to be persuasive, well thought through and convincing.

The Level 5 Certificate and Diploma are management qualifications, therefore it is essential that the topic chosen to develop into a Business Case and Business Plan should focus on management and **not** operational or technical matters. The topic must be robust, significant, diagnostic and problem solving, embracing the key areas of management concern. This may include the development of new services, or improving services which require the management of activities, resources, people and information.

#### **1b) Examples of suitable Business Case and Business Plan**

**Note:** This list is **not** exhaustive, it is provided to guide the candidate to make a decision regarding the type of opportunity that may be pursued. This may include:

- a development to improve access to patient services
- a development to improve patient services
- an investigation to maximise income through the development of opportunities from any government white papers or government initiatives
- an investigation to maximise the income of the practice by looking at measures to reduce costs whilst maintaining the quality of the services
- an investigation to identify the opportunity to address a significant staffing issue.

#### **1c) Unsuitable topics to develop into a Business Case and Business Plan**

The following topics are examples of what may be deemed as unsuitable for development into a Business Case and Business Plan.

**Note:** This list is **not** exhaustive.

Unsuitable topics may include:

- procurement exercises on non-service related items such as the purchase of new phone systems or photo-copying equipment proposals which do **not** require investigation, such as mandatory changes that have to be introduced into the Primary Care or health environment as part of the organisation's contractual or legal obligation
- feasibility studies to test whether it is worth continuing to offer a service which was developed by the organisation
- any opportunity which **cannot** be researched or does **not** require research to be undertaken.

## Part Two: The Business Case and Business Plan

The following guidance is for candidates to understand what they should feature in each section. Candidates must refer to the 'Assessment mark sheet and grading criteria' on page 20 of this document.

### Format

Candidates are required to follow the format and headings supplied below. The headings may be customised to refer to the name of the opportunity to be pursued. Each page of the Business Case and Business Plan **must** have a page number with the exception of the title page.

### **Business Case and Business Plan Format**

#### **Front Cover**

The front cover should include the title of the opportunity to develop or improve healthcare services and the candidate's details (centre number, candidate name, candidate City & Guilds registration number, the title of the Business Case and Business Plan, the date of the submission, word count).

#### **Table of Contents**

The table of contents should be a list of the sections and headings with appropriate page numbers.

#### **Acknowledgements**

The acknowledgements should include the names and titles of those whose assistance and co-operation contributed to the compilation of the Business Case and Business Plan.

#### **Executive Summary**

The executive summary should be sufficiently detailed to provide the reader with an overview of the opportunity. It should summarise the key stages, findings and recommendations that have been developed. It should be concise, persuasive and should convey the scope and scale of the plan.

**Note:** it is recommended that candidates write the executive summary once they have completed the Business Plan.

#### **Section One: The Business Case to develop the opportunity**

Section one should meet all the requirements of assessment criteria.

(AC 1.1, 1.2, 1.3)

- **Introduction**

The introduction should set the scene and provide background to the chosen opportunity. The opportunity needs to be linked to organisational aims which can be indicated through strategic aims and objectives, vision and mission statements or practice philosophy.

The information given in the introduction should be sufficient rather than exhaustive.

- **Rationale for the chosen opportunity** (AC 1.1)

The rationale for the chosen opportunity should be backed by reasoned argument, research and references. The rationale should demonstrate the candidate's involvement throughout the process of investigation.

The rationale should:

- contain an analysis of any current problems and issues which the opportunity aims to address
- be detailed and explain how the opportunity relates to organisational, Political, Economic, Social Technological, Legal, Environmental contexts (PESTLE)
- describe the methodology (selection of detailed evidence given to quantify the opportunity)
- cost and benefits of the chosen opportunity

Any mention of external resources utilised within the research needs to be appropriately referenced.

When using any management tool for analysis it is important to summarise the results for the reader and not simply rely on a table.

- **Business Case recommendations** (AC 1.1, 1.2)

This should provide a firm conclusion based on the research and evidence presented in the rationale for the chosen opportunity. The recommendations should be based on the conclusions and these should be concise, coherent and convincing. There should be a clear decision to take forward to the Business Plan. (AC 1.1, 1.2, 1.3)

## **Section Two: The Business Plan**

Section two should meet all the requirements of assessment criteria

(AC 2.1, 2.2, 3.1, 3.2, 4.1, 4.2)

- **Assessment of areas of risk and contingency planning**

This should include an exploration of the identified and potential risks associated with the selected recommendation(s). The risks should consider reference to financial, human resource, organisational and other specific risks. Contingency plans should be devised to manage, control and monitor identified risks effectively. The contingency plans need to be detailed, sufficient, realistic and credible

### **Managing the development** (AC 2.2)

This should comprise a critical review of the challenges that may be faced in managing the new initiative including how these changes impact on the team and stakeholders. (The following might be considered; reasons for resistance to change, ethical and legal considerations where relevant, benefits of engaging the team in the decision making process, effective consultation). (AC 3.1)

It should also include an evaluation as to how the challenges identified in managing this specific programme of change will be overcome using established change management theory. Models and methods for leading change should be included and applied.

- **Implementation plan** (AC 3.2)

The implementation plan should contain clear SMART objectives to detail how the opportunity will be implemented. It needs to address key areas of responsibility and time-scales. The plan needs to be methodical, systematic, demonstrating the ability to project manage and coordinate activities and groups of people.

- **Strategy to monitor, measure and report on the opportunity** (AC 2.1)

This should establish a strategy to monitor, measure and report on the success of the Business Plan. The strategy should involve a range of quality assurance methods. Examples may include questioning, observation, surveys, source records, pilot studies, sampling, progress meetings and checkpoints, exception reports etc. (AC 4.1)

The rationale must be given for the quality assurance measures proposed within the strategy. The reasons may include why:

- the measures are reliable
- information is valid, accurate and timely
- it reflects organisational aims
- the strategy allows a proactive approach

(AC 4.2)

- **Bibliography**

Harvard referencing must be used.

\*Please see at the end of this page for guidance.

- **Appendices**

Appendices must be added at the end of the business plan to present relevant supplementary information. The appendices should **only** be included if they are appropriate to the Business Case and the Business Plan.

The appendices should:

- include evidence eg published data, questionnaire, tabled information (detailed implementation plans, SWOT table, Gantt charts etc), existing policy statement which is referred to in the main body of the text
- cross reference accurately to the main body of text.

It is **not** appropriate to insert a large document into the appendix for example complete articles, full reports, journals, brochures etc.

## \*Bibliography

When submitting the Business Plan, the table below is a useful starting point.

Type of resource	Format	Bibliography/Referencing example	In text sample
Website	Author of website FAMILY/SURNAME, Initials or WEBSITE name if no author is available. (Year – in brackets) <i>Title of website in italics or underlined</i> if website is part of a series. [Online in square brackets] Available from: URL. [Accessed: followed by date in square brackets].	BBC NEWS. (2008) <i>Factory gloom worst since 1980</i> . [Online] Available from: <a href="http://news.bbc.uk/1/hi/business/7681569.stm">http://news.bbc.uk/1/hi/business/7681569.stm</a> . [Accessed: 19 <sup>th</sup> June 2012]	... as reported by the BBC (2008) “Quotation” (BBC, 2008)
Book (1 author)	FAMILY/SURNAME, Initials. (Publication year in brackets) <i>Book title – italicised or underlined</i> . Series title and volume if applicable. Edition – if not the first. Place of publication: publisher.	NEVILLE, C. (2010) <i>The Complete Guide to Referencing and Avoiding Plagiarism</i> . 2 <sup>nd</sup> Ed. Maidenhead: Open University Press.	Neville (2010) argues that... “Quotation” (Neville, 2010, p.76)

## 4419-605 Assessment mark sheet and grading criteria

(Business Case and Business Plan: this assessment is marked externally and is **for assessors' and candidates' information only**)

<b>Outcome/Assessment Criteria</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>	<b>Mark</b>
	The candidate has <b>not</b> met the assessment criteria:	The candidate has met the assessment criteria:	The candidate has achieved everything at pass grade <b>plus</b> :	The candidate has achieved everything at pass and merit grade <b>plus</b> :	Pass (1 mark) Merit (2 marks) Distinction (3 marks)
<b>1.1</b> Identify an opportunity to improve or develop new healthcare services explaining the rationale for this choice in the context of organisational aims.	The opportunity is weak or unrealistic, the rationale is poor and few or no links have been established between the opportunity and the organisational goals.	An opportunity to improve or develop new healthcare services has been identified. The rationale for the choice has been given and links are made to organisational aims.	The opportunity is detailed and highly developed The rationale is comprehensive, a convincing argument has been given to develop the opportunity and there is a clear relationship between the opportunity and organisational aims.	The rationale is highly persuasive and it is supported by a broad range of evidence.	For examiner's use only
<b>1.2</b> Quantify an opportunity to improve or develop new healthcare services.	The opportunity has not been quantified adequately.	The opportunity to improve or develop new healthcare services has been quantified adequately.	A range of detailed evidence has been given to quantify the opportunity. The findings are realistic and measurable.	Methodology used for quantifying the opportunity is robust and/or uses an extensive evidence base. Conclusions drawn are fully developed.	For examiner's use only

<b>Outcome/Assessment Criteria</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>	<b>Mark</b>
	The candidate has <b>not</b> met the assessment criteria:	The candidate has met the assessment criteria:	The candidate has achieved everything at pass grade <b>plus</b> :	The candidate has achieved everything at pass and merit grade <b>plus</b> :	Pass (1 mark) Merit (2 marks) Distinction (3 marks)
<b>2.1</b> Develop a detailed implementation plan for the improvement or development of new healthcare services.	The implementation plan lacks detail and would not facilitate the opportunity's success.	A credible detailed implementation plan for the improvement or development of new healthcare services has been developed.	The implementation plan is thorough, it is highly developed, there are clear objectives set with responsibility for outcomes and evidence of methodical planning.	The implementation of the plan is systematic, demonstrating a fully developed understanding of how services should be implemented.	For examiner's use only
<b>2.2</b> Assess areas of potential risk and recommend contingency plans.	The assessment of potential risk lacks depth, contingency planning is inadequate.	Areas of potential risk have been assessed and contingency plans to minimise risk have been recommended.	The assessment of risk is thorough, coherent, and realistic. Contingency planning is detailed relating to changes in resource costs.	The assessment of risk has been fully developed. Contingency planning is fully developed and shows extensive thought has been given to making the opportunity a success.	For examiner's use only



<b>Outcome/Assessment Criteria</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>	<b>Mark</b>
	The candidate has <b>not</b> met the assessment criteria:	The candidate has met the assessment criteria:	The candidate has achieved everything at pass grade <b>plus</b> :	The candidate has achieved everything at pass and merit grade <b>plus</b> :	Pass (1 mark) Merit (2 marks) Distinction (3 marks)
<b>3.1</b> Critically review the challenges faced in managing a substantial or controversial change programme.	A critical review of the challenges faced in managing a change programme lacks detail and coherence.	The challenges faced in managing a substantial or controversial change programme have been critically reviewed.	The critical review of challenges faced is detailed, thorough and convincing.	The critical review is accomplished. It is systematic and shows an extensive understanding of challenges faced when introducing change.	For examiner's use only
<b>3.2</b> Evaluate how to overcome these challenges by reference to established change management theory.	The evaluation is poor, the reference to change management theory lacks substance.	An evaluation of how challenges may be overcome has been made with reference to established change management theory.	The evaluation is detailed, there is coherence between managing challenges and theory.	The application of theory has been fully developed.	For examiner's use only
<b>4.1</b> Establish a strategy to monitor, measure and report on the impact of new or improved healthcare services.	The strategy lacks credibility or is weak. It does not monitor, measure or report on the impact of services.	A relevant strategy to monitor, measure and report on the impact of new or improved healthcare services has been established.	The strategy is detailed, highly relevant and methodical to measure the impact of services.	The strategy is extensive; it uses a broad range of techniques to monitor and measure services and is innovative.	For examiner's use only
<b>4.2</b> Explain the rationale of proposed quality assurance methods.	The rationale is weak.	The rationale of proposed quality assurance methods has been explained.	The rationale is coherent and comprehensive. It explicitly relates to the Primary Care / health setting.	The rationale of proposed measures is extremely convincing. There is a fully developed link with the Primary Care / health setting.	For examiner's use only

**Appendix 1    Forms (Business Case and Business Plan)**



<b>Diploma in Primary Care and Health Management - Business Case Approval Form</b>	
<b>Candidate name:</b>	<b>Date of presentation:</b>
<b>City &amp; Guilds Candidate ENR No.</b>	
<b>Centre name:</b>	<b>Centre no.</b>
<b>Venue</b>	
<b>Business Case Title</b>	
<b>For centre use:</b> Describe how the Business Case meets the following assessment criteria:	
<b>AC</b>	<b>Description</b>
1.1	
1.2	
1.3	
<b>Centres may find the following questions useful at the Business Case presentation:</b>	
<b>Q No.</b>	<b>Question</b>
Q1	What activities will likely feature in the detailed implementation plan for the improvement or development of healthcare service?
Q2	What are the potential risks involved with implementing the proposal/change and can you identify any contingency plans for the organisation?
Q3	What do you believe will be the challenges in managing the improvement or development of healthcare services proposed?

Q4	What are the change management theories you may adopt to overcome challenges faced when implementing change?
Q5	What strategies are you considering to monitor, measure and report on the impact of the change that your opportunity may bring? Explain the reasons for your selection.
Comments:	
<b>Business Case approved</b> Candidate is able to commence the Business Plan.	
<b>Business Case approved subject to revision</b> The Centre Panel believe the opportunity is suitable for the candidate to pursue the Business Plan, subject to revision. (Please provide revision comments in the section below.)	
<b>Business Case rejected</b> The Centre Panel does not believe the opportunity is suitable for the candidate to pursue the Business Plan. (Please provide revision comments in the section below.)	
<b>Revision comments:</b>	
<b>Course co-ordinator / Tutor name:</b>	<b>Date:</b>
<b>Course co-ordinator / Tutor signature:</b>	

This form should be used at the oral presentation and submitted to City & Guilds with the final Business Case and Business Plan. A copy of this form is to be retained by the centre and must be made available for the Qualification Consultant, where necessary.

**Please return to:**

**Assessment Team 5**, City & Guilds, 1 Giltspur Street, London EC1A 9DD



AMSPAR

**Submission Form – Business Case and Business Plan      Ref: 4419-06 DPCHM-BP1**

<b>Diploma in Primary Care and Health Management Business Case and Business Plan (BP) Submission Form</b>			
<b>Centre name</b>		<b>Centre Number</b>	
<b>Candidate name:</b>		<b>City &amp; Guilds Candidate ENR No.</b>	
<b>Business Plan title</b>			
<b>Date</b>			
<b>Declaration</b>			
<b>I confirm that all work submitted is my own</b>			Date:
Candidate signature: .....			
<b>I confirm that this report is the authentic work of the registered candidate named above.</b>			
Course co-ordinator/Tutor name: .....			
Course co-ordinator/Tutor signature: .....			Date:

**Please return to:**

**Assessment Team 5**, City & Guilds, 1 Giltspur Street, London EC1A 9DD



AMSPAR

**Checklist – Submitting the Business Plan to City & Guilds** (For centre use only)

**Ref: 4419-06 DPCHM-BP2**

<b>Diploma in Primary Care and Health Management Business - Business Plan (BP) Checklist</b>	
<b>Sections</b>	<b>Tick ✓</b>
Front Cover	
Table of Contents	
Acknowledgements	
Executive Summary	
<b>Section One: The Business Case to develop the opportunity</b>	
Introduction	
Rationale for the chosen opportunity	
Business Case recommendations	
<b>Section Two: The Business Plan</b>	
Assessment of areas of risk and contingency planning	
Managing the development	
Implementation plan	
Strategy to monitor, measure and report on the opportunity	
Bibliography	
Appendices	
Course Coordinator/Tutor name:	Date:

# Electronic S Form (Unit 605) must be submitted electronically

S Form sample

Note: Centres should not enter candidate grades when completing S Forms



## Form S - registration, results and dated entry submission

Please return completed forms as follows:  
 For UK and Head Office administered centres, Email: [sform\\_submission@cityandguilds.com](mailto:sform_submission@cityandguilds.com)  
 For International branch administered centres, please email to your local branch email address.

Please use each cell where available

Centre number 7 4 6 3 2 1				Sub 	Centre name City Centre				Phone number 020 8543 0000			Centre contact name Jacob Knight						
Award number 4 4 1 9 0 6				Award title Level 5 Diploma in Primary Care and Health Management				Syllabus code 			Purchase order reference number 							
Tick one of these boxes		Named registration <input type="checkbox"/>		Results <input checked="" type="checkbox"/>		Dated examination <input type="checkbox"/>		Blocked registration <input type="checkbox"/>		Number of registrations needed 								
Enrolment number if known				The candidate name is not necessary if enrolment number given				Sex	Date of birth			Ethnic code	Requirement	Funding code	Duplicate			
A	B	C	1	2	3	4	Marc Brown				M	08	06	77				<input type="checkbox"/>
6	0	5																<input type="checkbox"/>
J	H	M	4	3	2	1	Allison Wenlock				F	17	02	88				<input type="checkbox"/>
6	0	5																<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>
							Candidate name											<input type="checkbox"/>

EXAMPLE

I confirm that the above candidates are entered in line with City & Guilds regulations  
 Your signature: J Knight Page 1 of 1 Date 13 06 17 Counter signature (if needed)  

If you have any questions about how to fill in this form, please phone Customer Support on +44 (0)844 543 0000. Version 1.3 (20120130)

## Guidance notes for using the Electronic S Form

**Important** – Please use the Walled Garden to submit registrations for the 4419-605 unit.

Since 4419-605 is the only unit which is externally marked, the centre must complete the Electronic S Form and submit that directly to [TEAM5ADMIN@cityandguilds.com](mailto:TEAM5ADMIN@cityandguilds.com) accompanied with the Business Case/Business Plan and the relevant forms.

### For submitting S Form with the Business Case and Business Plan:

Tick 'Results' box for results submission – although you do not know the result, you must complete the other fields – the external marker will insert the grade.

### Complete mandatory fields

- Centre number
- Sub (sub centre code) if applicable
- Centre name
- Centre Telephone number
- Centre Contact - Examination secretary's name/ Centre Co-ordinator
- Qualification number and title
- Insert tick in Results box **only**
- Enter an enrolment number if known for each candidate
- Enter the Candidate names
- Enter the gender of candidate (M or F)
- Enter the Date of Birth for each candidate
- Under the Enrolment number please insert the relevant 3 digit unit number. Candidates registered under 4419-06 should use unit number **605**.
- Signature (your name, as per Centre Contact above, and date).

**Important:** Complete **all** mandatory fields to avoid a delay in your request.

### Index

#### Centre/sub centre (\*compulsory field)

Enter the six figure centre number and any sub centre (SC) letter allocated. Write the centre name in block capitals as confirmation of the number.

#### Qualification number (\*compulsory field)

Enter the full six-digit number, 441906. For the latest qualification numbers, refer to your City & Guilds Catalogue.

#### Award title

Enter the full title of the award, Level 5 Diploma in Primary Care and Health Management.

#### Centre contact

This is usually the name of the Centre Co-ordinator or Examinations Secretary and should be the person signing this form.

#### Telephone number

Enter your full telephone number (including dialling code) so you can be contacted if required.



**Purchase order reference number**

If you want a purchase order number quoted back to you on Walled Garden (eg Order confirmations) and Invoices then please fill in this box.

**Results submission** (\*Compulsory for Results submission)

Tick this box if you are sending us candidates' results for processing and certification, otherwise leave blank.

**Enrolment number** (\*Compulsory if available)

This number has three letters and four digits, for example, DBS2345, and you must quote it if you know it. If the candidate is still waiting for this number, please leave this section blank.

Please ensure the enrolment number you enter is correct, otherwise the order may be rejected.

**Candidate name** (\*Compulsory only when candidates don't have an Enrolment No.)

You only need to fill in this section if the candidate is still waiting for their enrolment number. There is space for 30 letters and longer names should be abbreviated. Do not include the candidate's title, for example, Mr, Mrs, Dr and so on. Please ensure the name you type is correct as this is the name that will appear on the certificate, so please insert in the order required, ie for International candidates family name may appear first.

**Sex** (\*compulsory field)

Specify whether the candidate is Male (M) or Female (F). Please ensure the gender you enter is correct otherwise it will generate a new Enrolment Number (ENR) or reject the entry.

**Date of birth** (\*compulsory field)

Enter using DDMMYY format, for example, 5 July 1975 will be written as 050775. Please ensure the date of birth you enter is correct otherwise it will generate a new Enrolment number (ENR) or reject the entry.

**Ethnic Code**

If known, please insert the two alpha characters.

**Requirement**

Particular requirement codes are available in our document called Access to Assessment for candidates with Particular Requirements. Please insert relevant code (two alpha characters), if applicable.

**Duplicate**

Ticking this box will duplicate the components as per the candidate in the row above, to save you time. Use this when you have candidates sitting the same components (assessments).

**Component (Assessment) number** (\*Compulsory fields for dated examinations, results submission and for some registrations)

Some schemes need component numbers to be registered. Please check your City & Guilds Catalogue. For results submission, enter the components needed.

**Signature**

The person who types their name here should be the contact person at the centre who is referred to in the Centre Contact Section.

**Counter Signature**

A counter signature may be necessary for certain qualifications or if an Internal Quality Assurer or Qualification Consultant is carrying out a quality assurance check.

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