

# CMI LEVEL 5 MANAGEMENT AND LEADERSHIP

(RQF) Syllabus | August 2019 | Version 6



FEATURING NEW OPERATIONS/DEPARTMENTAL MANAGER APPRENTICESHIP PATHWAY

# CONTENTS

- 4 Qualification Objective
- 4 Titles & Reference Numbers
- 5 Key Dates
- 5 Progression Opportunities
- 5 Entry & Recruitment Requirements
- 6 Qualification Requirements and Rules of Combination
- 11 Apprenticeship Pathway
- 12 Qualification Delivery
- 12 Accessibility of CMI Qualifications
- 12 Recognition of Prior Learning
- 13 Assessment & Verification
- 13 Learner Authenticity
- 14 Assessment Grading
- 14 Suggested Assessment Methodologies
- 14 Word Count & Appendices
- 16 External Marking
- 16 Appeals against Assessment Decisions
- 17 CMI Membership
- 17 Chartered Manager
- 17 Study Resources
- 19 Unit Structures
- 19 Unit Summaries
- 25 Unit Specifications
- 121 Annex 1 – Definitions
- 123 Annex 2 – Revisions to Document
- 124 Annex 3 – Summary of Updates to Units

# UNITS

## Unit Specifications

- 25** 501 Principles of Management and Leadership in an Organisational Context
- 29** 502 Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success
- 34** 503 Principles of Managing and Leading Individuals and Teams to Achieve Success
- 38** 504 Managing Performance
- 41** 505 Forming Successful Teams
- 45** 506 Managing Equality, Diversity and Inclusion
- 49** 507 Principles of Delivering Coaching and Mentoring
- 53** 508 Principles of Developing a Skilled and Talented Workforce
- 56** 509 Managing Stakeholder Relationships
- 59** 510 Managing Conflict
- 62** 511 Principles of Recruiting, Selecting and Retaining Talent
- 66** 512 Workforce Planning
- 68** 513 Managing Projects to Achieve Results
- 72** 514 Managing Change
- 76** 515 Creating and Delivering Operational Plans
- 80** 516 Planning, Procuring and Managing Resources
- 84** 517 Principles of Innovation
- 87** 518 Managing Risk
- 90** 519 Managing Quality and Continuous Improvement
- 94** 520 Managing Finance
- 97** 521 Using Data and Information for Decision Making
- 100** 522 Managing the Customer Experience
- 104** 523 Principles of Marketing Products and Services
- 107** 524 Conducting a Management Project
- 110** 525 Using Reflective Practice to Inform Personal and Professional Development
- 113** 526 Principles of Leadership Practice
- 116** 608 Strategic Corporate Social Responsibility and Sustainability

# INTRODUCTION

## About the Qualifications

### » QUALIFICATION OBJECTIVE

These qualifications are aimed at practising or aspiring managers and leaders who are typically accountable to a senior manager or business owner. The primary role of a practising or aspiring manager and leader is to lead and manage individuals and teams to deliver aims and objectives in line with organisational strategy.

Role and responsibilities may also include but are not limited to developing teams and individuals, creating operational plans, planning and managing projects, managing change, managing finance, resources and identifying new approaches to business activities, managing quality and continuous improvement as well as managing the human resources function.

The qualifications have been designed for practising or aspiring managers in roles such as:

- Operations Manager
- Divisional Manager
- Departmental Manager
- Regional Manager
- Specialist Manager

Extensive research has been undertaken to ensure that these qualifications reflect tasks and activities of managers in the aforementioned roles in the workplace. Sources of information include, but are not limited to:

- 1 Comparability to national management qualifications
- 2 21<sup>st</sup> Century Leaders Paper
- 3 A review of the roles and responsibilities of managers sourced from a range of UK companies
- 4 Analysis of Apprenticeship Standard for Operations/Departmental Manager ST0385/01
- 5 Stakeholder consultation

### » TITLES AND REFERENCE NUMBERS

The titles given below are the titles as they will appear on the qualification when awarded to the Learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of submission, which confirms that this is a regulated qualification on the RQF and on the Register. The CMI code is the code which should be used when registering Learners with CMI.

Therefore all CMI Centres must use the full qualification title as per below when advertising or making reference to the qualifications.

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
5A30	CMI Level 5 Award in Management and Leadership	603/2390/5
5C30	CMI Level 5 Certificate in Management and Leadership	603/2391/7

5D30	CMI Level 5 Diploma in Management and Leadership	603/2392/9
5XD30	CMI Level 5 Extended Diploma in Management and Leadership	603/4966/9

## » KEY DATES

These qualifications are regulated from 1<sup>st</sup> July 2017 and the operational start date in CMI Centres is 1<sup>st</sup> October 2017. The qualification review date is 31<sup>st</sup> August 2022.

## » PROGRESSION OPPORTUNITIES

Upon successful completion of their qualification, learners are able to progress to further learning within the suite of Level 5 Qualifications in Management and Leadership - i.e. completing an Award and topping-up to Certificate or Diploma.

Learners may also wish to further their ongoing personal and professional development by accessing other CMI qualifications, such as the CMI Level 6 Qualifications in Management and Leadership with the goal of becoming a Chartered Manager.

Learners who are aspiring to a management role may progress to the job roles such as:

- Operations Manager
- Divisional Manager
- Departmental Manager
- Regional Manager
- Specialist Manager

## » ENTRY & RECRUITMENT

These qualifications can be offered to Learners from age 18. CMI does not specify entry requirements for these qualifications, but Centres are required to ensure that Learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment.

CMI Centres must ensure Learners are recruited with integrity onto appropriate qualifications that will:

- meet their needs
- enable and facilitate learning and achievement
- enable progression

In order to achieve this, the CMI Centre will need to:

- provide relevant programme information, guidance and advice, to enable informed Learner choice
- publish entry and selection criteria
- demonstrate that Learners are recruited with integrity
- carry out comprehensive Learner induction that:
  1. addresses programme and organisational requirements
  2. explains Learner facilities
  3. identifies Learners' development needs
  4. develops an Individual Learning Plan

The qualification is offered in the medium of the English Language.

# QUALIFICATION STRUCTURE

## Qualification Requirements and Rules of Combination

The qualification structure and organisation of units for these qualifications have been informed by CMI 21<sup>st</sup> Century Leaders<sup>1</sup>, and has two key themes:

- Foundations for Excellence
- Developing Capabilities, Delivering Results, Driving Best Practice

The qualification structure has been designed to support Learners to select combinations of units to address own development needs and interests. The units developed for each theme will also enable organisations to tailor the CMI Award/Certificate/Diploma to address specific organisational development needs.

### Theme: Foundations for Excellence

One unit has been developed for this theme. These units focus on the foundations for management and leadership practice.

Theme: Foundations for Excellence	
501	Principles of Management and Leadership in an Organisational Context
526	Principles of Leadership Practices

### Theme: Developing Capabilities, Delivering Results, Driving Best Practice

This theme is split into 3 topic areas:

- **Topic 1: Interpersonal Excellence – Managing People and Developing Relationships**  
Managing people on a day to day basis is the focus of this topic.

Theme: Developing Capabilities, Delivering Results, Driving Best Practice	
Interpersonal Excellence – Managing People and Developing Relationships	
502	Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success
503	Principles of Managing and Leading Individuals and Teams To Achieve Success
504	Managing Performance
505	Forming Successful Teams

#### 1. Topic 2: Organisational Performance – Delivering Results

1. This section focuses on the skills, knowledge and competencies which are required by managers in a variety of roles.

<sup>1</sup> 21<sup>st</sup> Century Leaders, June 2014 [http://www.managers.org.uk/~media/Files/PDF/21st\\_Century\\_Leaders\\_June2014.pdf](http://www.managers.org.uk/~media/Files/PDF/21st_Century_Leaders_June2014.pdf)

**Theme: Developing Capabilities, Delivering Results, Driving Best Practice**

**Organisational Performance – Delivering Results (Day to Day Activities)**

506	Managing Equality, Diversity and Inclusion
507	Principles of Delivering Coaching and Mentoring
508	Principles of Delivering a Skilled and Talented Workforce
509	Managing Stakeholder Relationships
510	Managing Conflict
511	Principles of Recruiting, Selecting and Retaining Talent
512	Workforce Planning
513	Managing Projects to Achieve Results
514	Managing Change
515	Creating and Delivering Operational Plans
516	Planning, Procuring and Managing Resources
517	Principles of Innovation
518	Managing Risk
519	Managing Quality and Continuous Improvement
520	Managing Finance
521	Using Data and Information for Decision Making
522	Managing the Customer Experience
523	Principles of Marketing Products and Services
524	Conducting a Management Project
608	Strategic Corporate Responsibility and Sustainability

**2. Topic 3: Personal Effectiveness – Managing Self**

The final topic focuses on the learners own management skills.

**Theme: Developing Capabilities, Delivering Results, Driving Best Practice**

**Personal Effectiveness – Managing Self**

525	Using Reflective Practice to Inform Personal and Professional Development
-----	---

There are minimum requirements to achieve each qualification within this suite. The minimum requirements are based on the boundaries outlined in Ofqual's Guidance to the General Conditions of Recognition, namely Condition E2.

### **Barred unit combinations**

There are a number of barred unit combinations:

*CMI 502 – 'Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success' cannot be selected with the following units:*

- *CMI 503 - Principles of Managing and Leading Individuals and Teams to Achieve Success*
- *CMI 505 - Forming Successful Teams*
- *CMI 511 - Principles of Recruiting, Selecting and Retaining Talent*
- *CMI 526 – Principles of Leadership Practice*

*Please note:*

- *CMI 502 is a hybrid of CMI 503*
- *CMI 502 was developed primarily for the apprenticeship pathway to cover the content stipulated in the Apprenticeship Standard for Operations/Departmental Manager ST0385/01*
- *CMI 502 may be selected by all learners on programme*

*CMI 526 – 'Principles of Leadership Practice' cannot be selected with the following units:*

- *CMI 501 – Principles of Management and Leadership in an Organisational Contexts*
- *CMI 502 – Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success*

### **CMI Level 5 Award in Management and Leadership**

Learners must complete at least one unit to a minimum of **40** TUT hours to achieve this qualification. There is a barred combination of units – learners taking 502 cannot select 503, 505 or 511, and learners taking 526 cannot select 501 or 502. Learners cannot select Unit 608 as part of this qualification.

### **CMI Level 5 Certificate in Management and Leadership**

Learners must complete any combination of units to a minimum of **121** TUT hours to achieve this qualification. There is a barred combination of units – learners taking 502 cannot select 503, 505 or 511, and learners taking 526 cannot select 501 or 502. Learners cannot select Unit 608 as part of this qualification.

### **CMI Level 5 Diploma in Management and Leadership**

Learners must complete a combination to a minimum of **370** TUT hours to achieve this qualification. There is a barred combination of units – learners taking 502 cannot select 503, 505 or 511, and learners taking 526 cannot select 501 or 502.

### **CMI Level 5 Extended Diploma in Management and Leadership**

Learners must complete a combination to a minimum of **540** TUT hours to achieve this qualification. There is a barred combination of units – learners taking 502 cannot select 503, 505 or 511, and learners taking 526 cannot select 501 or 502.



Unit No	Unit Title	GLH	TUT
<b>Theme: Foundations for Excellence</b>			
501	Principles of Management and Leadership in an Organisational Context	25	62
526	Principles of Leadership Practice	30	78
<b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b>			
<b>Interpersonal Excellence – Managing People and Developing Relationships</b>			
502	Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success	27	60
503	Principles of Managing and Leading Individuals and Teams to Achieve Success	25	50
504	Managing Performance	25	50
505	Forming Successful Teams	17	38
<b>Organisational Performance – Delivering Results (Day to Day Activities)</b>			
506	Managing Equality, Diversity and Inclusion	19	41
507	Principles of Delivering Coaching and Mentoring	19	48
508	Principles of Developing a Skilled and Talented Workforce	16	40
509	Managing Stakeholder Relationships	18	40
510	Managing Conflict	17	41
511	Principles of Recruiting, Selecting and Retaining Talent	21	46
512	Workforce Planning	16	38
513	Managing Projects to Achieve Results	24	51
514	Managing Change	19	43
515	Creating and Delivering Operational Plans	22	52
516	Planning, Procuring and Managing Resources	24	55
517	Principles of Innovation	23	46
518	Managing Risk	23	53
519	Managing Quality and Continuous Improvement	22	56
520	Managing Finance	22	56

521	Using Data and Information for Decision Making	26	50
522	Managing the Customer Experience	22	49
523	Principles of Marketing Products and Services	23	55
524	Conducting a Management Project	30	96
608*	Strategic Corporate Responsibility and Sustainability	20	60
<b>Personal Effectiveness – Managing Self</b>			
525	Using Reflective Practice to Inform Personal and Professional Development	16	44

*\*Unit 608 may only be selected as part of the Level 5 Diploma or Extended Diploma*

# APPRENTICESHIP PATHWAY

## Operations/Departmental Manager Apprenticeship Standard Support Information

The pathway has been designed for practising or aspiring managers who are enrolled on the Operations/Departmental Manager Apprenticeship. This pathway has eight units which have been mapped to meet the requirements of the Apprenticeship Standard (ST0385/01).

To meet all the requirements of the Level 5 Diploma in Management and Leadership, learners must achieve all eight units (501, 502, 509, 513, 514, 515, 520, and 525). The Total Qualification Time for this pathway is 405 hours.

Unit No	Unit Title	GLH	TUT
<b>Theme: Foundations for Excellence</b>			
501	Principles of Operational Leadership and Management in an Organisational Context	25	62
<b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b>			
<b>Interpersonal Excellence – Managing People and Developing Relationships</b>			
502	Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success	27	60
<b>Organisational Performance – Delivering Results (Day to Day Activities)</b>			
509	Managing Stakeholder Relationships	18	40
513	Managing Projects to Achieve Results	24	51
514	Managing Change	19	43
515	Creating and Delivering Operational Plans	22	52
520	Managing Finance	22	56
<b>Personal Effectiveness – Managing Self</b>			
525	Using Reflective Practice to Inform Personal and Professional Development	16	44

This pathway is not mandatory for the Apprenticeship, however it is recommended where the CMI Level 5 Diploma in Management and Leadership is part of an Operations/Departmental Manager Apprenticeship Programme.

# QUALIFICATION DELIVERY

## Information for Centres

CMI does not specify the mode of delivery for its qualifications at Level 5; therefore CMI Centres are free to deliver the Level 5 qualifications using any mode of delivery that meets the needs of their Learners. However, CMI Centres should consider the Learners' complete learning experience when designing the learning programmes.

CMI Centres must ensure that the chosen mode of delivery does not unlawfully or unfairly discriminate, whether direct or indirect, and that equality of opportunity is promoted. Where it is reasonable and practical to do so, it will take steps to address identified inequalities or barriers that may arise.

Please ensure that the content of the Centre Delivery plan is approved by the CMI Quality Manager.

For CMI requirements regarding Tutor/Deliverers of CMI qualifications please refer to the CMI Centre Handbook for more information.

### » ACCESSIBILITY OF CMI QUALIFICATIONS

There may be incidents where Learners may require special consideration and reasonable adjustments to the delivery and assessment of qualifications. In the event of this, Centres should notify their allocated Quality Manager and CMI.

For further information, please see the [CMI Reasonable Adjustments Procedure](#) and the [CMI Special Consideration Procedure](#).

### » RECOGNITION OF PRIOR LEARNING (RPL)

There may be occasions where Learners request Recognition of Prior Learning (RPL). This can be applied by Centres. For further guidance on RPL and exemptions can be found in [CMI RPL policy](#).

# ASSESSMENT & VERIFICATION

## Information for Centres and Learners

The criteria of the assessment of a CMI qualification will be to meet the assessment criteria detailed within each individual unit.

The primary interface with the Learner is the Assessor, whose job it is to assess the evidence presented by the Learner. The Assessor should provide an audit trail showing how the judgement of the Learner's overall achievement has been arrived at.

The CMI Centre's assessment plan, to be agreed with the Quality Manager, should include a matrix for each qualification showing how each unit is to be assessed against the relevant criteria and which specific piece or pieces of work will be identified in relation to each unit. It should also show how assessment is scheduled into the delivery programme.

In designing the individual tasks and activities, CMI Centres must ensure that:

1. the selected assessment task/activity is relevant to the content of the unit
2. there are clear instructions given to Learners as to what is expected
3. Learners are clearly told how long the assessment will take (if it is a timed activity), and what reference or other material they may use (if any) to complete it
4. the language used in the assessment is free from any bias
5. the language and technical terms used are at the appropriate level for the Learners

In addition to the specific assessment criteria in each unit, the Learner's work must be:

- accurate, current and authentic
- relevant in depth and breadth

and must also show the Learner's:

- clear grasp of concepts
- ability to link theory to practice, and
- ability to communicate clearly in the relevant discipline at the expected level for the qualification

## » LEARNER AUTHENTICITY

Learners are required to sign and date a Statement of Authenticity. The learner statement confirms the evidence submitted is all their own work and has not been completed by a third party. Additionally the learner statement confirms the evidence provided has been completed in accordance with CMI approved instructions.

Centres are required to complete a Centre Statement of Authenticity to confirm the learner is registered on a Chartered Management Institute (CMI) programme of study.

## » ASSESSMENT GRADING

The grading system for CMI qualifications is "Pass/Refer". The external moderation of Learners' work confirms that the required criteria for achievement have been met.

CMI Centres are, however, free to apply their own grade scales, but it must be understood that these are completely separate from the CMI qualification.

It is important to ensure consistency of assessment, and that demands made on Learners are comparable within and between CMI Centres. A number of assessment methods can be used.

For CMI requirements regarding Assessors and Internal Verifiers of CMI qualifications please refer to the CMI Centre Handbook for more information.

## » SUGGESTED ASSESSMENT METHODOLOGIES

CMI do not state the assessment method for its qualifications, instead supporting Centres in creating assessment plans to suit the needs of Learners and/or Employers. It is encouraged that a range of methods are used to ensure that all Learning Outcomes and Assessment Criteria are met, and to enhance Learners' development.

In some instances, as well as written work, use can be made of technology. It is important, however, to ensure sufficient traceability for assessment and verification

The following table presents an overview of the type of activities that patterns may be use to assess each unit. Further details are provided in the 'Recommendations for Assessment' section of each unit specification.

		Written account/ assignment	Report	Scenario/ Case Study	Guide	Work Based Evidence	Reflective Practice/Own Experience	Presentation	Management Project	Plan/ proposal	Budget and Management Commentary
501	Principles of Operational Management and Leadership in an Organisational Context	x		x		x	x				
502	Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success	x	x	x			x				
503	Principles of Managing and Leading Individuals and Teams to Achieve Success	x	x	x			x				
504	Managing Performance	x		x		x	x				
505	Forming Successful Teams	x	x	x			x				
506	Managing Equality, Diversity and Inclusion	x	x	x	x		x				
507	Principles of Delivering Coaching and Mentoring	x	x	x		x	x				
508	Principles of Developing a Skilled and Talented Workforce	x		x		x	x				
509	Managing Stakeholder Relationships	x	x	x		x	x				
510	Managing Conflict	x									
511	Principles of Recruiting, Selecting and Retaining Talent	x		x		x	x				
512	Workforce Planning	x		x		x	x				
513	Managing Projects to Achieve Results	x	x	x		x					
514	Managing Change	x	x	x			x				
515	Creating and Delivering Operational Plans	x	x	x		x	x			x	x
516	Planning, Procuring and Managing Resources	x	x	x		x	x				
517	Principles of Innovation	x	x	x		x	x				
518	Risk Management	x	x	x	x	x	x				

519	Planning and Development Quality and Continuous Improvement	x	x	x	x	x	x				
520	Managing Finance		x	x		x	x				x
521	Using Data and Information for Decision Making	x	x	x	x	x	x				
522	Managing the Customer Experience	x	x	x	x	x	x				
523	Principles of Marketing a Products and Services	x	x	x		x	x			x	
524	Conducting a Management Project		x						x	x	
525	Using Reflective Practice to Inform Personal and Professional Development		x	x			x				

Group assessment is not a recognised assessment method for this qualification. Learners must provide evidence they meet the requirements of each assessment activity on their own merit.

## » WORD COUNT AND APPENDICES

The written word, however generated and recorded, is still expected to form the majority of assessable work produced by Learners at Level 5. The guideline word count for units within this qualification are summarised below, and vary depending on size and content of the unit. There is a 10% allowance above/below these guidelines. For more information, please refer to the CMI Assessment Guidance Policy.

Unit No.	Unit Title	Guideline Word Count
501	Principles of Management and Leadership in an Organisational Context	3500-4000
502	Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success	3500-4000
503	Principles of Managing and Leading Individuals and Teams to Achieve Success	3500-4000
504	Managing Performance	3000-3500
505	Forming Successful Teams	3500-4000
506	Managing Equality, Diversity and Inclusion	3500-4000
507	Principles of Delivering Coaching and Mentoring	3500-4000
508	Principles of Developing a Skilled and Talented Workforce	3500-4000
509	Managing Stakeholder Relationships	2500-3000
510	Managing Conflict	2500-3000
511	Principles of Recruiting, Selecting and Retaining Talent	3500-4000
512	Workforce Planning	2500-3000
513	Managing Projects to Achieve Results	3500-4000
514	Managing Change	3500-4000
515	Creating and Delivering Operational Plans	2500-3000
516	Planning, Procuring and Managing Resources	4500-5000
517	Principles of Innovation	3500-4000
518	Risk Management	3500-4000
519	Planning and Development Quality and Continuous Improvement	4000-4500
520	Managing Finance	3000-3500
521	Using Data and Information for Decision Making	3500-4000
522	Managing the Customer Experience	3500-4000
523	Principles of Marketing a Products and Services	3500-4000
524	Conducting a Management Project	4500-5000
525	Using Reflective Practice to Inform Personal and Professional Development	2500-3000
526	Principles of Leadership Practice	3500-4000
608	Strategic Corporate Responsibility and Sustainability	3000-3500

Learner work should aim to minimise the amount of unnecessary attachments or appendices. Information that is essential to the Learners work in order to meet the learning outcomes and assessment criteria should be included within the main body of the report. However, CMI understands that from time to time a Learner may need to include

additional supporting information which enhances the overall work and it is recommended that it is kept to a minimum and does not over-exceed.

## » EXTERNAL MARKING

As part of our dedicated service, Chartered Management Institute (CMI) Awarding Body offers the opportunity for all Centres to have their Learner's assignments externally marked.

Some CMI Centres choose to send one assignment of the qualification to be externally marked, as it gives the Learner a CMI quality stamp, as it is marked and assessed by the Awarding Body.

This service provides CMI Centres with a simplistic, professional and cost effective way to get their CMI Learner's work marked and certificated within a six week period. Please refer to fee's guide for current pricing.

Learners' work can be submitted up to three times, in the event of referrals. If the assessment remains referred after three attempts, it will be escalated to the Quality Manager and further submissions will be invoiced at the current fee.

Further information on this service and the units for which is available appears on the CMI website.

## » APPEALS AGAINST ASSESSMENT DECISIONS

In the event that a Learner wishes to appeal against an assessment decision, they can do so by following outlined procedures.

Where an assessment decision has been made by a CMI Centre, Learners must follow the Centre's own Appeals Procedure in the first instance. If this procedure has been exhausted and remains unresolved, Learners may log a Stage 2 appeal with CMI.

Where an assessment decision has been made by CMI (via External Marking or Moderation) a Learner or a Centre may log a Stage 2 appeal with CMI.

For further information, please see CMI's Enquiry and Appeals Procedure.



# CMI SERVICES

## Supporting CMI Qualifications

### » CMI MEMBERSHIP

If an individual is not already in membership at the time of registering on a CMI qualification then your Learner will be provided with free Affiliate membership of the CMI through until the completion of their studies. For details of the benefits of membership please [click here](#). There may be the opportunity to upgrade during the Learner's studies dependant on successfully completing an assessment with CMI.

### » CHARTERED MANAGER

Chartered Managers are consistent high performers, committed to current best practice and ethical standards. A unique designation, exclusively awarded by the Chartered Management Institute, Chartered Manager embodies a professional approach to management through knowledge, competence, professional standards and commitment to continuing professional development (CPD).

To find out more about how to become a Chartered Manager please [click here](#).

### » STUDY RESOURCES

#### ManagementDirect

<http://members.md.cmi.org.uk>

It's fast, comprehensive and free to members

Management Direct is a complete online library of comprehensive and up-to-date material that addresses current management practice, supports studying and those looking to develop their skills.

- 220 Management Checklists and 60 Management Thinker profiles
- One page overviews of key Management Models
- Multimedia resources – 400 Leader Videos and e-learning modules
- CMI research and Professional Manager articles
- Authoritative definitions of management terms
- Over 11,000 articles and 600 ebooks to read online when you need them
- Learning Journey playlists for many units giving you easy access to resources specifically selected to support your studies
- Resources to develop your Study Skills, including factsheets on assignment writing, references and citations, learning styles, note taking and avoiding plagiarism.

All these resources are freely available to members from one source. Definitions give you a headline understanding of topic; Checklists and Models provide the essentials; and books and articles enable you to research further. Depending on your need you choose how far you want to go.

#### E-journals

For in depth research try our e-journals service

CMI has joined forces with EBSCO Information Services to offer member's access to Business Source: Corporate, a database providing direct access to articles on management and business from a range of academic journals and business magazines. Members also have access to country, company and industry reports from leading providers.

Access to Business Source Corporate is through ManagementDirect.

### **Online CPD**

CPD can take many forms, but the most important feature of any activity you undertake is that there are clear learning outcomes. In many cases these may enable you to have a direct impact at work. Our online CPD scheme enables you to record your learning objectives, the activities you have undertaken and encourages you to assess its impact in your role as a manager. It also allows you to print reports for your reviews, appraisals or interviews.

Access to CPD is through ManagementDirect.

# UNITS

## Structures and Specifications

The units within these qualifications are different to other qualifications, and so the following summarises some key features:

- TUT refers to Total Unit Time. TUT is set based on estimated time expected for the average learner to be taught the content via formal Guided Learning, additional informal learning and preparation and completion of assessment.
- GLH refer to Guided Learning Hours. GLH is the estimated contact time the average learner has with tutors, trainers or facilitators as part of the learning process, it includes formal learning including classes, training sessions, coaching, seminars, live webinar and telephone tutorials and e-learning which is supervised. It is important to note that this also includes assessing learner's achievements for competence based assessments.
- Key words highlight knowledge, skills and behaviours which will be developed
- Indicative content has been developed to support the learner to understand the aims of learning outcomes and assessment criteria. It can also be used by tutors to develop lesson plans and schemes of work. The indicative content uses two phrases:
  - **'May include but is not limited to'** – the indicative content is given as examples, which the learner may use or expand upon to complete an assessment
  - **'Refers to'** – the indicative content included must be covered by the learner to meet the requirements of assessment. This instruction applies to learners on the Apprenticeship pathway who are required to know or understand specific information stipulated in the Apprenticeship Standard for Operations/Departmental Manager ST0385/01
- Recommendations for Assessment which provides a range of suggested assessment activities for actual or aspiring managers and leaders
- Relationships to frameworks such as the Apprenticeship Standard and National Occupational Standards
- Suggested reading/web resource materials developed to compliment the unit content. The primary resource/research tool referred to is ManagementDirect

It is recommended that Learners have sight of each unit of study in preparation for assessment.

### » UNIT SUMMARIES

The below table summarises the Level 5 units:

Foundations for Excellence	
<b>501 Principles of Operational Leadership and Management in an Organisational Context</b>	Being equipped with the knowledge, skills and behaviours to manage and lead in a variety of organisational settings is essential if an individual and their organisation are to succeed. This unit has been designed for learners who want to develop or sharpen their professional edge and enhance personal effectiveness. Learners will evaluate the impact of an organisation's structure and governance on management and leadership. They will explore theoretical models, management and leadership styles and approaches designed to promote a culture of mutual trust, respect and support.
Developing capabilities, delivering results, driving best practice	

<b>Interpersonal Excellence - Managing People and Developing Relationships</b>	
<b>502 Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success</b>	The ability to lead individuals and teams to success is arguably the most important skill a manager can possess. This unit focuses on the essential management and leadership skills required to fulfil this challenging but rewarding role. The unit opens by focusing on the theoretical and practical approaches to developing, leading, and managing teams (remote or multi-disciplinary). The manager will look at techniques to assess current and future team capabilities, including the role of recruitment, selection and staff development which supports this. On successful completion of the unit, the manager will not only know the principles of managing individuals and teams, but they will understand approaches for supporting, motivating and inspiring teams and individuals to exceed expectations.
<b>503 Principles of Managing and Leading Individuals and Teams to Achieve Success</b>	When individuals and teams are managed well, organisations thrive and staff satisfaction increases. The aim of this unit is to equip managers with an in-depth understanding of the theoretical and practical approaches to leading and managing teams effectively. Managers will identify the techniques used to monitor and manage individual and team performance, assess current and future capabilities and adopt approaches to respond to these. On successful completion of the unit, managers will not only understand how to meet the challenge of leading individuals and teams, they will know how to support, motivate and inspire them to exceed expectations.
<b>504 Managing Performance</b>	Managing the performance of staff is essential to the smooth running of an organisation. This unit evaluates the reasons for managing performance and the approaches that can be used. It explores methods of rewarding the performance of individuals who exceed expectations, and analyses ways of managing under performance in a professional and supportive manner. This unit focuses on the way performance management, when used effectively, is able to impact on individual and organisational achievement.
<b>505 Forming Successful Teams</b>	Teams play a vital role in enabling organisations to achieve their goals. This unit focuses on the purpose and characteristics of successful teams. Learners' will review theoretical and practical approaches to team formation; and be able to analyse, and respond to challenges which occur when new teams are formed proactively.
<b>Organisational Performance – Delivering Results (day to day activity)</b>	
<b>506 Managing Equality, Diversity and Inclusion</b>	Effective management of equality and diversity not only benefits staff and stakeholders, it can positively impact on an organisation's achievement. This unit has been designed to enable the learner to analyse the requirements for managing, monitoring and reporting on equality, diversity and inclusion. It focuses on the skills required to lead by example and how to adapt leadership styles to support others to see the benefits of inclusive practice. On successful completion of the unit, learners will be armed with the knowledge required to develop and implement an Equality action plan, and monitor its outcomes to make continuous improvement.
<b>507 Principles of Delivering Coaching and Mentoring</b>	Coaching and mentoring are proven techniques used to enhance the skills, knowledge, talents and potential of individuals as part of an organisational learning and development strategy. This unit explores the principles and practices of coaching and mentoring, and the impact these techniques can have in the development of a high-performance culture.

<b>508 Principles of Developing a Skilled and Talented Workforce</b>	<p>Having a skilled and talented workforce is fundamental if an organisation is to succeed. As responsibility for individual and team development becomes increasingly devolved to managers, it is essential they have the knowledge, skills and capabilities to ensure development needs are successfully met. This unit has been designed to enable the learner to understand the role of the manager in workforce development, and the scope and purpose of development activities. They will also have opportunity to explore innovative approaches for delivering workforce development and how well chosen learning and development activities can contribute to a talent management strategy.</p>
<b>509 Managing Stakeholder Relationships</b>	<p>Good relationships, whether they are with customers, suppliers, partners or staff, are a key contributor to an organisation's success. To build stakeholder relationships that are long lasting and sustainable, they need to be planned and developed. This unit explores the types and purposes of stakeholder relationships and the skills required to overcome challenges and manage these effectively.</p>
<b>510 Managing Conflict</b>	<p>Managing conflict takes resilience. It requires the ability to evaluate complex information, make evidence based judgements and act professionally within the bounds of organisational and legal frameworks. This unit is designed to equip the learner with strategies to manage conflict with confidence, find creative solutions and make difficult decisions.</p>
<b>511 Principles of Recruiting, Selecting and Retaining Talent</b>	<p>Recruiting and selecting staff is a major challenge in a competitive market. Organisations are increasingly looking for innovative approaches to recruit individuals from the broadest talent pool. This unit has been designed to equip learners with an understanding of the factors which impact on recruitment. They will know how to develop plans and strategies for selecting staff, and identify approaches for retaining the best of the best.</p>
<b>512 Workforce Planning</b>	<p>All organisations need a workforce with skills and behaviours that will better enable them to meet their objectives. In competitive environments, having the right people in the right place and at the right time continues to be a challenge. The aim of this unit is to enable managers to understand the rationale for workforce planning and know how to develop a workforce plan to meet organisational objectives.</p>
<b>513 Managing Projects to Achieve Results</b>	<p>The ability to manage projects is a vital skill for all managers. This unit focuses on the knowledge and skills required to manage projects successfully and overcome problems and challenges. It requires the learner to evaluate the methods and tools for planning tasks and activities, as well as knowing how to implement and manage project activities, build stakeholder relationships, manage resources and risk, monitor progress and report on outcomes.</p>
<b>514 Managing Change</b>	<p>Change is inevitable if an organisation is to maintain competitiveness and currency of practice. This unit has been designed to enable the learner to evaluate types and reasons for change within organisations and be able to select and apply theoretical models for its management. The purpose is not only to enable learners to develop the skills to manage change and achieve set objectives, but to do so in a professional manner with open and honest communication throughout the entire process.</p>

<b>515 Creating and Delivering Operational Plans</b>	<p>The ability to translate organisational objectives into operational plans is an essential management skill. The unit opens with the importance of understanding the strategic direction of the organisation and how to contribute to the strategic planning process. It then focuses on the knowledge and skills required to create and deliver operational plans. This includes the need to set key performance indicators, monitor quality and outcomes against the plan, and know how to effectively report on findings.</p>
<b>516 Planning, Procuring and Managing Resources</b>	<p>Inadequate resourcing can impact on the ability to achieve objectives; whilst being over resourced has financial implications. This unit has been designed to enable managers to understand and respond to the challenge of managing and monitoring resources. Learners will understand the importance of effective and efficient resource use, identify and plan resource requirements and know how to procure resources in line with regulatory requirements.</p>
<b>517 Principles of Innovation</b>	<p>Innovation has the power to transform organisations, teams and individual performance. When a culture of innovation and entrepreneurship thrives, new ideas and initiatives flourish. This unit has been designed to enable learners to identify opportunities for innovation in the workplace (which may be in the form of new working practices, processes, new products or services), analyse the rationale for developing initiatives and know how to turn ideas into reality.</p>
<b>518 Managing Risk</b>	<p>Business outcomes are optimised when risks are identified and managed effectively. This unit has been designed to equip learners with an understanding of the scope and purpose of business risk management. This includes an evaluation of the types of business risks, the governance and approaches for managing these effectively, and how risk management can be implemented successfully within organisations.</p>
<b>519 Managing Quality and Continuous Improvement</b>	<p>Quality may be defined as excellence, capacity, grade, worth or meeting customer expectations. Whilst the definition of quality can easily be found in a dictionary it is much harder to develop and maintain. This unit looks at the challenge of developing quality within organisations. It focuses on embedding continuous improvement into working practices. On successful achievement of this unit learners will understand the scope and purpose of quality management, approaches, tools and techniques for managing quality and how to judge its success.</p>
<b>520 Managing Finance</b>	<p>Financial management skills are essential for all managers regardless of whether there is a dedicated finance team within an organisation. Financial acumen enhances decision making skills, which in turn supports management of projects, tasks and functional areas. This unit has been designed to enable learners to understand how financial systems within organisations operate. Learners will evaluate the sources of finance for organisations, and understand the principles for setting and managing budgets in line with regulatory and organisational guidelines. This unit has been designed to enhance the learner's confidence and credibility in financial management, which will translate into improved management skills.</p>

<b>521 Using Data and Information for Decision Making</b>	<p>The ability to analyse and manage data and information can lead to increased competitiveness, innovation, productivity and customer satisfaction. However, with data and information volumes increasing at unprecedented levels, the ability to interpret, use, and harness 'big data' can become an organisational challenge. The aim of this unit is to equip learners with an understanding of the purpose and practices of interpreting, managing and presenting business data and information to inform decision making.</p>
<b>522 Managing the Customer Experience</b>	<p>Delivering an exceptional customer experience is a challenge which requires skill, commitment, and an in-depth understanding of customer needs. The aim of the unit is to develop managers understanding of their role and responsibilities in managing the customer experience. Learners will develop an understanding of the key features of a customer service culture and the customer journey, which if managed effectively will impact on an organisations success.</p>
<b>523 Principles of Marketing Products and Services</b>	<p>Marketing products and services is an activity which can be applied to a myriad of different business contexts. From utilising technology to create new processes and support services to improve the customer experience through to developing or adapting products or services to meet changing needs, the principles of marketing remain the same. The aim of this unit is for the learner to understand the role of marketing to achieve organisational objectives. The learner will analyse the marketing environment, understand how to market a product or service and know how to judge the success of marketing outcomes.</p>
<b>524 Conducting a Management Project</b>	<p>Research into approaches to management and leadership can lead to dynamic results. Innovation, product development, performance improvement, change, customer service excellence, strategy and problem solving are just some of the results. Without research business can stagnate. The aim of the unit is for the learner to conduct management research which will have an impact on individual and/or organisational practice. It is expected that learners will plan and manage a genuine project in the workplace or an academic enquiry relevant to an identified business need or challenge.</p>
<b>608 Strategic Corporate Responsibility and Sustainability</b>	<p>Corporate Social Responsibility (CSR) and sustainability are topics keenly related to organisational accountability. Definitions and approaches taken to manage and lead CSR and sustainability vary according to the type and purpose of an organisation and its governance. Approaches typically include the development of aims and objectives, policy and strategy, with the intent to address the impact of an organisation's activity on society, the environment and a commitment to ethical and responsible conduct. The aim of this unit is to enable professional managers and leaders to understand CSR and sustainability in an organisational context. They will assess the enablers, constraints and barriers to its success, present a case for organisational engagement, identify approaches for its implementation and ultimately, identify strategies to gain ongoing stakeholder commitment.</p>

## Personal Effectiveness – Managing Self

### **525 Using Reflective Practice to Inform Personal and Professional Development**

Reflective practice is an essential management tool which supports the development of knowledge, skills and behaviours in the work place. By consciously analysing own performance, decision making, leadership and management skills (in different situational contexts); opportunities for on-going development can be identified. The aim of the unit is to equip learners with the understanding of the value of reflective practice, and how reflection can be used as the basis of a meaningful personal and professional development.



**Ofqual unit number** L/616/3165

**RQF level** 5

**Guided Learning Hours** 25

**Total unit time** 62

**Aims of unit** Being equipped with the knowledge, skills and behaviours to manage and lead in a variety of organisational settings is essential if an individual and their organisation are to succeed. This unit has been designed for learners who want to develop or sharpen their professional edge and enhance personal effectiveness. Learners will evaluate the impact of an organisations structure and governance on management and leadership. They will explore theoretical models, management and leadership styles and approaches designed to promote a culture of mutual trust, respect and support.

**Keywords** Knowledge, skills, behaviours, stakeholders, relationships, inclusivity, agility, organisational structure, culture, values.

#### Learning outcome 1

#### Understand factors which impact on an organisation's internal environment

#### Assessment criteria

- 1.1 Examine the **impact** of **legal status** on the governance of an organisation
- 1.2 Analyse the **purpose** of an organisation's mission and vision statements
- 1.3 Examine the impact of **organisational structures** on **management roles**
- 1.4 Discuss the impact of organisational values and ethics on management **decision making**

#### Indicative content

1.1 **Legal status** may include but are not limited to legal structures/frameworks (e.g. sole traders, partnerships, corporations (government owned or privately owned), cooperatives, registered charity, not for profit, public limited company).

**Impact** refers to type and purpose of business, ownership (e.g. shareholders, investors), processes for ensuring authority, decision making and accountability.

1.2 **Purpose** refers to communicate organisational vision and goals and how these apply to the department and may include but is not limited to communicating organisation purpose and scope to stakeholders, guide strategy development, inform goals and objectives, influence organisational principles, behaviours and culture.

1.3 **Organisational structures** may include but are not limited to formal, informal, functional, matrix, mechanistic, organic, centralised, decentralised, flat, tall, virtual, dispersed.

**Management roles** may include but is not limited to responsibility, accountability, authority, autonomy, reporting structures, inter-dependences between functional areas (e.g. HR, finance, marketing, customer services and production), teams, colleagues, customers, suppliers, contractors, partnerships, communication, managing budgets and resources, procurement, input into strategic planning.

1.4 **Decision making** may include but is not limited to decisions where there is no clear right or wrong answer, choices will impact product and service development, procurement, stakeholder relationships and

communications, human resource management, approaches to sustainability and corporate social responsibility, Leading with Integrity (Blanchard, 2011).

## Learning outcome 2

### Understand the application of management and leadership theories

#### Assessment criteria

- 2.1 Evaluate the **relationship** between management and leadership
- 2.2 Analyse the impact of **management and leadership styles** on individuals and teams
- 2.3 Discuss the influence of **culture and values** on management and leadership styles
- 2.4 Examine how management and leadership styles can be adapted in **different situations**

#### Indicative content

- 2.1 **Relationship** refers to the balance between the demands of management and the demands of leadership.
- 2.2 **Management and leadership styles** may include but are not limited to Managerial Grid (Blake and Mouton, c.1950s), Leadership Continuum (Tannenbaum and Schmidt, 1958), Situational Leadership (Hersey and Blanchard, 1969), Authentic Leadership (Goffee and Jones, 2011), Five Practices of Exemplary Leadership (Kouzes and Posner, 1987), Leadership Qualities (Bennis, 1989), Leadership Styles (Goleman, 1995), Action-Centred Leadership (Adair, 1963).
- 2.3 **Culture and values** may include but are not limited to Gods of Management (Handy, 2009), Cultural Web (Johnson and Scholes, 1992), Cultural Dimensions (Hofstede, c.1970s), Organisational Culture and Leadership (Schein, 1985), Values Driven Leadership (Gentile, 2014), Higher Performing Teams (Calenso, 1997),
- 2.4 **Different situations** may include but are not limited to legal requirements, in response to health, safety, security risk, team size, maturity and competence, objectives (e.g. innovation, business growth and survival).

## Learning outcome 3

### Understand the knowledge, skills and behaviours to be effective in a management and leadership role

#### Assessment criteria

- 3.1 Assess the **knowledge** and **skills** required for a management and leadership role
- 3.2 Evaluate the **factors** that impact on the selection of **communication techniques** required to be effective in a management and leadership role
- 3.3 Analyse the **behaviours** required to be effective in a management and leadership role
- 3.4 Develop an approach for building a **culture of mutual trust, respect and support** with teams and individuals

#### Indicative content

- 3.1 **Knowledge** may include but is not limited to organisational and legal frameworks specific to area of work, specialist knowledge of a subject or field of work, technological knowledge, theoretical knowledge/understand different perspectives.
- Skills** refer to interpersonal skills, delegate and enable delivery through others, data, security and management and the effective use of technology in an organisation and use of time management and prioritisation techniques and tools and may include but are not limited to creating and delivering operational plans, managing projects, leading and managing teams, managing change (Moss Kanter, 1989), financial and resource management, talent management, coaching and mentoring.

**3.2 Communication techniques** refers to active listening, written (e.g. letters, memos, reports, newsletters, noticeboards), verbal (e.g. presentations, briefings and meetings), telephone calls, video conferencing, digital (e.g. intranet, emails, blogs, instant messaging, discussion forums, posts on social media sites, web chat, polls, avatars, skype, electronic forms, podcasts and webinars).

**Factors** refer to flexibility in communication style and may include but are not limited to purpose, sensitivity or confidentiality of the message, timeliness, size of audience, recipients' state of mind, need for two-way communication/engagement/consultation, qualitative/quantitative information, new/familiar information.

**3.3 Behaviours** refer to taking responsibility (drive to achieve, resilience and accountability, determination to manage difficult situations, seeks new opportunities); inclusivity (open, approachable, authentic, seeks views of others, values diversity); agility (flexibility, creativity, innovative, enterprising, seeking solutions to business needs, positive and adaptable, responds well to feedback and need for change, open to new ways of working); professionalism (sets an example, is fair, consistent, impartial, open and honest, operates within organisational values and codes of practice).

**3.4 Culture of professionalism, mutual trust, respect and support** may include but is not limited to leading people, clear focus, personal energy, self-belief, commitment, empowerment, trust, higher performing teams (Colenso, 1997), ABCD Trust Model (Blanchard, 2010), Five Dysfunctions of a Team (Lencioni, 2005), Leadership Qualities (Bennis, 1989).

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of management and leadership in an organisational context.
2. The learner may be asked to respond to a **scenario** looking at a range of organisations and the approaches/styles of leaders/managers within them.
3. Learners may write a **report** based on the principles of leadership and management the factors impacting the styles/approaches adopted by managers/leaders.
4. The learner may draw upon their **own experience** of managing and leading individuals and teams within their own organisation. They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criterion.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

#### A. Operational Management

- A6 Data security and management and the effective use of technology in an organisation

#### D. Leading People

- D1 Different leadership styles
- D6 How to delegate effectively
- D8 Communicate organisational vision and goals and how these to apply to the department and teams

#### E. Managing People

- E9 Delegate and enable delivery through others

#### F. Building Relationships

- F5 Build trust, and use effective negotiation and influencing skills

### *G. Communication*

- G2 Different forms of communication and techniques (verbal, written, non verbal, digital)
- G3 Communicate effectively (verbal, non verbal, written, digital)
- G4 Show flexibility in communication style
- G7 Use active listening

### *I. Management of Self*

- I2 Use of time management and prioritisation techniques and tools
- I5 Use time management and prioritisation techniques

### *J. Decision Making*

- J1 Understand organisational values and ethics and their impact on decision making

### *K. Behaviours*

- K1 Takes responsibility
- K2 Inclusive
- K3 Agile
- K4 Professionalism

## **Suggested reading/web resource materials**

Reading/resource materials available on ManagementDirect

### *Relevant Theories, Frameworks and Models*

- Adair (1973) Action Centred Leadership
- Blanchard (2011) Leading with Integrity
- Blanchard (2010) ABCD Trust Model
- Calenso (1997) Higher Performing Teams
- Gentile (2014) Values Driven Leadership
- Goffee and Jones (2011) Authentic Leadership
- Goleman (1995) Leadership Styles
- Handy (2009) Gods of Management
- Hersey and Blanchard (1969) Situational Leadership Model
- Hofstede (c.1970s) Cultural Dimensions
- Johnson and Scholes (1992) Cultural Web
- Kouzes and Posner (1987) Five Practices of Exemplary Leadership
- Lencioni (2005) Five Dysfunctions of a Team
- Moss Kanter (1989) Managing Change
- Schein (1985) Organisational Culture and Leadership
- Tannenbaum and Schmidt (1958) Leadership Continuum

Please Note: The list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** Y/616/3198

**RQF level** 5

**Guided learning hours** 27

**Total unit time** 60

**Barred combinations** Units 503, 505 and 511

**Aims of unit** The ability to lead individuals and teams to success is arguably the most important skill a manager can possess. This unit focuses on the essential management and leadership skills required to fulfil this challenging but rewarding role. The unit opens by focusing on the theoretical and practical approaches to developing, leading, and managing teams (remote or multi-disciplinary). The manager will look at techniques to assess current and future team capabilities, including the role of recruitment, selection and staff development which supports this. On successful completion of the unit, the manager will not only know the principles of managing individuals and teams, but they will understand approaches for supporting, motivating and inspiring teams and individuals to exceed expectations.

**Key words** Theoretical models, practical approaches, team leaders, multi-disciplinary and remote teams, team capabilities, recruitment, learning and development, coaching and mentoring, motivation, good practice, high performing teams.

### Learning outcome 1

#### Understand approaches to developing, managing and leading teams

#### Assessment criteria

- 1.1 Evaluate the use of **theoretical models** for developing, managing and leading teams
- 1.2 Discuss **practical approaches** for effective team management and leadership
- 1.3 Analyse **strategies** for managing team leaders
- 1.4 Develop approaches to respond to the **challenges** of managing and leading multiple and remote teams

#### Indicative content

1.1 **Theoretical models** may include but are not limited to differences between a group and a team, team types, Team Roles (Belbin, 1981), Team Management Wheel (Margerison and McCann, 1990), Model of Team Development (Tuckman, c.1965), Tannenbaum and Schmidt Leadership Continuum (1958), Blake and Mouton Managerial Grid (c.1950s), psychometric assessment tools (e.g. Myers-Briggs Type Indicator, 1943), Drivers of Employee Engagement (Robinson, Perryman and Hayday, 2004), Speed of Trust (Covey, 2008), Conflict Mode Instrument (Thomas and Kilman, 1974), Emotional Intelligence (Goleman, 1995).

1.2 **Practical approaches** refer to communicate organisational vision and goals and how these apply to the department and teams, and may include but are not limited to empowerment, delegation, collective ownership, conflict handling, creating a trusting environment, building resilience, taking responsibility versus blame culture, collaboration, fairness and parity, work allocation, cultural awareness, individual and team development.

1.3 **Strategies** may include but are not limited to delegation, monitoring performance, setting targets, support and guidance, supervision and meetings, learning and development.

1.4 **Challenges** may include but are not limited to use of communication (methods, types, times, frequency, availability, interpretation of communication used), access to business support, building and developing relationships, performance review, workload, conflict handling, quality and productivity, currency of working practice, time management, trust, morale, accountability, authority and autonomy, Five Dysfunctions of a Team (Lencioni, 2005).

## Learning outcome 2

### Understand approaches to achieving a balance of skills and experience in teams

#### Assessment criteria

- 2.1 Evaluate **techniques** for assessing current and future team capabilities and requirements
- 2.2 Analyse a **process** for recruiting team members
- 2.3 Assess the **factors** which impact on the selection of **learning and development activities** for individuals and teams
- 2.4 Examine the **use** of coaching and mentoring **models** to support team development

#### Indicative content

2.1 **Techniques** refer to identifying strengths and enabling development within the workplace and may include but are not limited to analysis of skills and experience (individuals and teams) against current organisational requirements (e.g. aims and objectives), identification of future organisational need (e.g. organisational strategy, projects, plans, production plans), skills matrix, capability assessment, structured performance reviews, identification of skills and experience gaps.

2.2 **Process** refers to individual and team and may include but is not limited to review staff requirements, consultation, formulate job and person specification, labour market research, compliance with legal and organisational requirements, create plan, approaches to attracting talent (e.g. advertising, recommendation, head hunting, internal recruitment, secondment, social networks), short list, interview, security checks, offer.

2.3 **Factors** may include but are not limited to budget/funding, physical location of team members, time, availability of suitable provider, shift patterns, compliance (including legal and industry specific regulation relating to the sector in which the organisation operates), return on investment, strategic objectives and priorities, learning styles, range of training needs.

**Learning and development** activities refer to talent management models and processes and develop, build and motivate teams and may include but are not limited to formal and informal, social and collaborative learning, on and off the job, face to face, blended or online learning, group or individual learning, coaching and mentoring, secondments and temporary promotion/role change, self-directed/distance learning, job shadowing, team building activities, communities of practice.

2.4 **Use** may include but is not limited to skills and talent development, embedding organisational culture and attitudes to diversity, personal support, enhancing/improving performance, career development, retention, engagement, empowerment, job satisfaction, develop and share good practice, management of change, communication, relationship development, reflective management, self-management.

**Models** may include but are not limited to the concept of the manager as coach (Rogers, Gilbert and Whittleworth, 2012), coaching and mentoring models (e.g. GROW Model (Whitmore, 1992), ACHIEVE Coaching Model (Dembkowski and Eldridge, 2003), ARROW (Somers, 2006), CLEAR (Hawkins, 2012)), Cognitive Behavioural Coaching (CBC), Heron's Six Categories of Intervention (1999), OSCAR (Gilbert and Whittleworth, 2002), RAM (Bee and Bee, 2007), STEPPA (McLeod, 2003), Alfred & Garvey's Three Stage Process (2006) storytelling.

## Learning outcome 3

### Know techniques for leading individuals and teams to achieve success

#### Assessment criteria

- 3.1 Discuss **methods** used to monitor and manage individual and team performance



3.2 Evaluate **good practice** for enabling and supporting high performing teams

3.3 Analyse **motivational techniques** used to create high performing teams

### Indicative content

3.1 **Methods** refer to performance management techniques and may include but are not limited to HR systems and processes, internal and external quality standards, audit, qualitative measures (e.g. customer feedback, opinions, views, reviews) and quantitative measures (e.g. SMART objectives, key performance indicators (KPIs), scorecards (e.g. Balanced Scorecard, Kaplan and Norton, 1992), error rates, output, benchmarks and targets), service level agreements (SLAs), speed of response, structured performance reviews, 180°/360° feedback, disciplinary procedures.

3.2 **Good practice** refers to manage talent and performance and may include but are not limited to feedback, constructive criticism, action planning including PIPS (performance improvement plans), training, coaching or mentoring, formal performance management processes, rewards, incentives, recognition and praise, Psychological Contract (Rousseau, 1989)

3.3 **Motivational techniques** refers to how to work collaboratively with others, motivate and improve performance, give constructive feedback and challenge where necessary, enabling development within the workplace and may include but are not limited to set stretch goals and objectives, create energy and enthusiasm, inspire others, conflict resolution, increased cooperation, communicating shared purpose, vision and direction, building trust, incentives and rewards, Vroom's Expectancy Theory (1964), Motivation and Management Systems (Likert, 1967).

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on approaches to leading, managing and developing individuals and teams.
2. The learner may be asked to respond to a **scenario** based on how they would lead, manage and develop individuals and teams.
3. Learners may write a **report** based on the principles of leading, managing and developing high performing individuals and teams.
4. The learner may draw upon their **own experience** of leading, managing and developing individuals and teams within their own organisation. They may present work based evidence accompanied by reports/reflective accounts to meet each assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

#### *D. Leading People*

- D2 How to lead multiple and remote teams and manage team leaders
- D3 How to motivate and improve performance
- D4 How to support people using coaching and mentoring models
- D7 Support the development of people through coaching and mentoring and the management of change
- D8 Communicate organisational vision and goals and how these to apply to the department and teams
- D9 Support development through coaching and mentoring

- D10 Enable and support high performance working

#### *E. Managing People*

- E1 How to manage multiple teams
- E2 How to develop high performing teams
- E3 Performance management techniques
- E4 Talent management models
- E5 How to recruit people
- E6 How to manage and develop people
- E7 Manage talent and performance
- E8 Develop, build and motivate teams by identifying their strengths and enabling development within the workplace

#### *G. Communication*

- G8 Give constructive feedback and challenge where necessary

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LBA2 - Provide leadership for your area of responsibility
- CFAM&LBA3 – Lead your team
- CFAM&LDB1 – Build teams
- CFAM&LDB2 – Allocate work to team members

### **Suggested reading/web resource materials**

Reading/resource materials available on ManagementDirect

#### Checklists

- Checklist 89 Coaching for Improved Performance

#### Relevant Theories, Frameworks and Models

- Dembkowski and Eldridge (2003) ACHIEVE coaching model
- Somers (2006) ARROW coaching model
- Hawkins (2012) CLEAR coaching model
- Cognitive Behavioural Coaching (CBC)
- Whitmore (1992) GROW Model
- Bee and Bee (2007) RAM coaching model
- McLeod (2003) STEPPA coaching model
- Belbin (1981) Team Roles
- Blake and Moulton (c.1950s) Managerial Grid
- Covey (2008) Speed of Trust
- Alfred & Garvey (2006) Three Stage Process
- Gilbert and Whittleworth (2002) OSCAR
- Goleman (1995) Emotional Intelligence
- Heron (1999) Six Categories of Intervention
- Kaplan and Norton (1992) Balanced Scorecard
- Lencioni (2005) Five Dysfunctions of a Team
- Likert (1967) Motivation and Management Systems
- Margerison and McCann (1990) Team Management Wheel
- Myers Briggs Type Indicator (1943) Myers Briggs
- Robinson, Perryman and Hayday (2004), Drivers of Employee Engagement
- Rousseau (1989) Psychological Contract
- Rogers, Gilbert and Whittleworth (2012) The Concept of the Manager as a Coach
- Tannenbaum and Schmidt (1958) Leadership Continuum
- Thomas and Kilman (1974) Conflict Mode Instrument
- Tuckman (c.1965) Model of Team Development
- Vroom (1964) Expectancy Theory

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of



unit development.

ManagementDirect resources require CMI membership and a username and password.

Ofqual unit number	D/616/3199
RQF level	5
Guided learning hours	25
Total unit time	50

<b>Target audience</b>	This unit is a barred combination with CMI unit 502.
------------------------	--

<b>Aims of unit</b>	When individuals and teams are managed well, organisations thrive and staff satisfaction increases. The aim of this unit is to equip managers with an in-depth understanding of the theoretical and practical approaches to leading and managing teams effectively. Managers will identify the techniques used to monitor and manage individual and team performance, assess current and future capabilities and adopt approaches to respond to these. On successful completion of the unit, managers will not only understand how to meet the challenge of leading individuals and teams, they will know how to support, motivate and inspire them to exceed expectations.
---------------------	---

<b>Key words</b>	Theoretical models, teams, practical approaches, team leadership, team management, strategies, effectiveness, challenges, remote teams, capabilities, current requirements, future requirements, learning and development, high performing teams, motivation
------------------	--

### Learning outcome 1

#### Understand approaches to managing and leading teams

#### Assessment criteria

- 1.1 Evaluate **theoretical** models used for managing and leading teams
- 1.2 Discuss **practical approaches** for effective team management and leadership
- 1.3 Analyse **strategies** for managing team leaders

#### Indicative content

1.1 **Theoretical models** may include but are not limited to Tannenbaum and Schmidt's Leadership Continuum (1958), Blake and Mouton's Managerial Grid (c.1950s), Drivers of Employee Engagement (Robinson, Perryman and Hayday, 2004), Speed of Trust (Covey, 2008), Conflict Mode Instrument (Thomas and Kilman, 1974), Emotional Intelligence (Goleman, 1995).

1.2 **Practical approaches** may include but are not limited to communicating organisational strategy, vision and mission, setting clear aims and objectives, monitoring of performance, empowerment, delegation, collective ownership, conflict handling, creating a trusting environment, building resilience, taking responsibility versus blame culture, collaboration, fairness and parity, work allocation, cultural awareness, individual and team development.

1.3 Strategies may include but are not limited to delegation, monitoring performance, setting targets, support and guidance, supervision and meetings, learning and development.

<b>Learning outcome 2</b>
<b>Know how to achieve a balance of skills and experience in teams</b>
<b>Assessment criteria</b>
<p>2.1 Discuss <b>techniques</b> for assessing current and future team capabilities and requirements</p> <p>2.2 Assess the <b>factors</b> which impact on the selection of <b>learning and development activities</b> for individuals and teams</p>
<b>Indicative content</b>
<p>2.1 <b>Techniques</b> may include but are not limited to analysis of skills and experience (individuals and teams) against current organisational requirements (e.g. aims and objectives), identification of future organisational need (e.g. organisational strategy, projects, plans, production plans), skills matrix, capability assessment, structured performance reviews, identification of skills and experience gaps.</p> <p>2.2 <b>Factors</b> may include but are not limited to budget/funding, shift patterns, physical location of team members, time, availability of suitable provider, compliance (including legal and industry specific regulation relating to the sector in which the organisation operates), return on investment, strategic objectives and priorities, learning styles, range of training needs.</p> <p><b>Learning and development activities</b> may include but are not limited to formal and informal, social and collaborative learning, on the job and off the job, face to face, blended or online learning, group or individual learning, coaching and mentoring, secondments and temporary promotion/role change, talent development programmes, self-directed/distance learning, job shadowing, team building activities, communities of practice.</p>

<b>Learning outcome 3</b>
<b>Know techniques for managing and leading individuals and teams to achieve success</b>
<b>Assessment criteria</b>
<p>3.1 Examine <b>methods</b> used to monitor and manage individual and team performance</p> <p>3.2 Develop approaches to respond to the <b>challenges</b> of managing and leading multi-disciplinary and remote teams</p> <p>3.3 Examine <b>good practice</b> for enabling and supporting individuals and teams to achieve success</p>
<b>Indicative content</b>
<p>3.1 <b>Methods</b> may include but are not limited to HR systems and processes, internal and external quality standards, audit, qualitative measures (e.g. customer feedback, opinions, views, reviews) and quantitative measures (e.g. SMART objectives, key performance indicators (KPIs), scorecards (e.g. Balanced Scorecard, Kaplan and Norton, 1992), error rates, output, benchmarks and targets), service level agreements (SLAs), speed of response, structured performance reviews, 180°/360° feedback, disciplinary procedures.</p> <p>3.2 <b>Challenges</b> may include but are not limited to use of communication (methods, types, times, frequency of contact, availability, interpretation of communication used), access to business support, building and developing relationships, performance review, workload, conflict handling, quality and productivity, currency of working practice, time management, lack of trust, morale, accountability, authority and autonomy, Five Dysfunctions of a Team (Lencioni, 2005).</p> <p>3.3 <b>Good practice</b> may include but is not limited to communicating shared purpose, vision and direction, setting stretch goals and objectives, feedback, constructive criticism, action planning including PIPS (performance improvement plans), rewards and incentives, recognition and praise, creating energy and enthusiasm, inspiring others, increased cooperation, incentives and rewards, Vrooms Expectancy Theory (1964), Motivation and Management Systems (Likert, 1999), Psychological Contract (Rousseau, 1989).</p>

## Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on approaches to leading, managing and developing individuals and teams.
2. The learner may be asked to respond to a **scenario** based on how they would lead and manage high performing teams and individuals.
3. Learners may write a **report** based on the principles of managing and leading high performing teams and individuals.
4. The learner may draw upon their **own experience** of managing and leading teams and individuals within their own organisation. They may present work based evidence accompanied by reports/reflective accounts to meet each assessment criterion.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence that they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LBA2 - Provide leadership for your area of responsibility
- CFAM&LBA3 – Lead your team
- CFAM&LDB1 – Build teams
- CFAM&LDB2 – Allocate work to team members

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Relevant Theories, Frameworks and Models

- Blake and Moulton (c.1950s) Managerial Grid
- Covey (2008) Speed of Trust
- Goleman (1995) Emotional Intelligence
- Kaplan and Norton (1992) Balanced Scorecard
- Lencioni (2005) Five Dysfunctions of a Team
- Likert (1999) Motivation and Management Systems
- Robinson, Perryman and Hayday (2004), Drivers of Employee Engagement
- Rousseau (1989) Psychological Contract
- Tannenbaum and Schmidt (1958) Leadership Continuum
- Vroom (1964) Expectancy Theory

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** L/616/3201

**RQF level** 5

**Guided learning hours** 25

**Total unit time** 50

**Aims of unit** Managing the performance of staff is essential to the smooth running of an organisation. This unit evaluates the reasons for managing performance and the approaches that can be used. It explores methods of rewarding the performance of individuals who exceed expectations, and analyses ways of managing under performance in a professional and supportive manner. This unit focuses on the way performance management, when used effectively, is able to impact on individual and organisational achievement.

**Keywords** Organisational and legal framework, performance management, individual needs, approaches, formal, ethical, organisational and legal frameworks, exceeding expectations, ethical.

#### Learning outcome 1

**Understand the rationale for managing performance within organisations**

#### Assessment criteria

1.1 Justify the **rationale** for managing performance within organisations

#### Indicative content

1.1 **Rationale** may include but is not limited to improving and sustaining organisational performance, productivity, driving quality, high performance working, organisational agility, well-being, work-life balance, identifying talent and potential, individual needs and capabilities, preventing poor performance from escalating, problem resolution.

#### Learning outcome 2

**Understand frameworks, diagnostic and evaluation tools used for performance management**

#### Assessment criteria

2.1 Examine the impact of **legal** and **organisational frameworks** on performance management

2.2 Evaluate the **diagnostic and evaluation tools** which support performance management

#### Indicative content

2.1 **Legal** may include but is not limited to Equality Act 2010, Health and Safety Act 1974, Working Time Directive 1998, National Minimum Wage Act 1998, National Living Wage Regulations 2016, Immigration Act 2016, Trades Union Act 2016, Working Together to Safeguard Children 2013.

**Organisational frameworks** *HR systems and processes* including performance management, disciplinary and grievance, conduct and capability, recruitment, learning and development, reward, induction and on-boarding, talent management, dignity at work, absence and time management, workforce planning, payroll, performance management standards.

*Policies and standards* including health, safety, well-being and security, equality and diversity, data

protection, communication, procurement, quality, customer service charters and policies, quality standards.

2.2 **Diagnostic and evaluation tools** may include but are not limited to personal development review (PDR), performance improvement plan (PIP), 360° appraisal, peer review and self-review, psychometric profiling, ongoing and periodic review, assessment centres, skills audits, performance data, key performance indicators (KPIs).

### Learning outcome 3

#### Know how to manage performance

#### Assessment criteria

- 3.1 Discuss good practice **principles** for managing performance
- 3.2 Examine the use of **formal processes** for managing performance
- 3.3 Analyse the relationship between **signs** and **causes** of underperformance
- 3.4 Evaluate approaches to respond to **challenges** when managing underperformance
- 3.5 Recommend **techniques** for developing and managing individuals who exceed expectations

#### Indicative content

3.1 **Principles** may include but are not limited to ethical approaches, evidence based judgements, use of theoretical models (e.g. Appreciative Inquiry, Cooperrider and Srivastva, 1980's), fairness, impartial, rational, listening, confidentiality, maintaining records, employee engagement, application of legal and organisational frameworks, seeking advice and guidance, proportionate response (Armstrong, 2008; ACAS, 2014).

3.2 **Formal process** may include but are not limited to performance improvement plans (PIP), disciplinary, capability, suspension, redeployment, termination (ACAS Dismissing Employees).

3.3 **Signs** may include but are not limited to failure to achieve set targets, sickness absence and lateness, behavioural change (e.g. quiet and withdrawn, aggression, conflict, chaotic), loss of enthusiasm, demotivated.

**Causes** may include but are not limited to work related issues (e.g. capability, lack of agility/resilience, relationships, change of role, change in strategic direction, bullying, whistle blowing, restructure, changes to management/structure) and/or changes to personal circumstances (physical health, mental health, family care issues, bereavement).

3.4 **Challenges** may include but are not limited to lack of confidence, knowledge of process, time constraints, dealing with denial, managing stress, expectations from senior management, lack of support, targets, maintain business continuity, staff morale, anger, alienation of colleagues, threats of bullying or harassment.

3.5 **Techniques** may include but are not limited to identify potential, share potential within the organisation, motivate, engage in a breadth of activities, signpost to learning and development, intrinsic and extrinsic reward and recognition, development of work role (e.g. champions or super users, leader or technical experts), job redesign, job enrichment and enhancement, promotion, secondment, talent management

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. To enable this to be achieved effectively the unit has been written in the sequence in which performance management is carried out. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of managing performance.
2. The learner should draw upon their **own experience** either from their current work role, paid or voluntary. Performance management is not constrained by being in a particular role and can include planning for a future role.
3. If not in employment, learners can refer to organisations they are familiar with e.g. a past employer or as part of a **scenario or case study**.

4. Learners may present **work based evidence** accompanied by reports or reflective accounts to meet each of the assessment criteria.

#### **Further guidance**

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### **Relationship with other frameworks and occupational standards**

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LBA6 – Develop strategic business plans
- CFAM&LBA7 – Promote equality of opportunity, diversity and inclusion
- CFAM&LDB2 – Allocate work to team members
- CFAM&LDB4 – Manage people’s performance at work

### **Suggested reading/web resource materials**

Reading/resource materials available on ManagementDirect

#### External Web links

- [ACAS: Dismissing employees](#)
- [ACAS: Managing underperformance](#)

#### Relevant Theories, Frameworks and Models

- ACAS (2014)
- Armstrong (2008)
- Cooperride and Srivastva (1980s)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.



**Ofqual unit number** D/616/3204

**RQF level** 5

**Guided learning hours** 17

**Total unit time** 38

**Target audience** This unit is a barred combination with CMI unit 502.

**Aims of unit** Teams play a vital role in enabling organisations to achieve their goals. This unit focuses on the purpose and characteristics of successful teams. Learners' will review theoretical and practical approaches to team formation; and be able to analyse, and respond to challenges which occur when new teams are formed proactively.

**Keywords** Team formation, starting up a team, team structures, team dynamics, team roles, team size, skills, motivation, multi-disciplinary teams, remote teams.

### Learning outcome 1

#### Understand the purpose and characteristics of successful teams

#### Assessment criteria

- 1.1 Examine the **factors** to consider when forming a team
- 1.2 Analyse the characteristics of successful teams using **theoretical models**
- 1.3 Specify the **purpose** of different **types of teams** within organisations

#### Indicative content

1.1 **Factors** may include but are not limited to goals, objectives, urgency, duration, organisation structure, existing human resources models (fixed/part-time/permanent/zero hours contracts, internal/external recruitment, salaried/associate/consultancy positions), skills and capabilities of team members, culture and motivation.

1.2 **Theoretical models** may include but are not limited to Team Management Profile, (Margerison and McCann, 1995), Interpersonal Communication Skills (Shannon and Weaver, 1949), Emotional Intelligence (Goleman, 1995), Vrooms Expectancy Theory (1964), Likert's Four Management Systems (Likert, 1967).

1.3 **Purpose** may include but is not limited to short term, discrete piece of work (project, task force, committee, working party) or long term (new department or division, related to new product or service).

**Types of teams** may include but are not limited to temporary, permanent, functional/operational, departmental, project, multi-disciplinary, virtual, remote/dispersed, matrix/cross functional, hierarchical, multi-site, self-managed.

### Learning outcome 2

#### Understand approaches to team formation

#### Assessment criteria

- 2.1 Evaluate **theoretical models** used for team formation
- 2.2 Assess **practical approaches** to team formation

### Indicative content

2.1 **Theoretical models** may include but are not limited to Team Roles (Belbin, 1981), Team Size (Dunbar's Number, 2010), Stages of Team Development (Tuckman, 1965), Shamrock Organisation (Handy, 1989), Speed of Trust (Covey, 2008).

2.2 **Practical approaches** may include but are not limited to creation of team culture, embracing cultural differences, team function and structure, accountability, definition of roles, requirement to be reactive/responsive/flexible, assessment of potential team members' capabilities, skills mix, IT literacy, human resources protocols, competency frameworks, working patterns, pay and conditions, physical location and accommodation, time differences, access to technology, business support, access to training and development, establishing communication strategies and quality standards.

### Learning outcome 3

#### Know how to analyse and respond to the challenges of team formation

#### Assessment criteria

3.1 Analyse **challenges** which occur in team formation

3.2 Recommend **approaches** for responding to challenges when forming teams

### Indicative content

3.1 **Challenges** may include but are not limited to functional and cultural differences (Culture Model, Schneider, 1999), professional expectations, team purpose, disparity between pay and conditions (e.g. temporary teams, TUPE arrangements), existing allegiances, priorities and workloads, confidentiality, information sharing, coping with change, re-forming (Tuckman, 1965).

3.2 **Approaches** may include but are not limited to governance, clarifying lines of authority, accountability, roles and expectations, providing technology and resources, leadership style and vision, communication, Conflict Mode Instrument (Thomas and Kilmann, 1974).

### Learning outcome 4

#### Know how to evaluate the performance of a newly formed team

#### Assessment criteria

4.1 Recommend **approaches** for measuring the performance of a newly formed team against organisational objectives

### Indicative content

4.1 **Approaches** refer to quantitative (e.g. SMART objectives, strategic objectives, key performance indicators (KPIs), internal and external quality standards, audit, service level agreements, project plans, target setting), qualitative (e.g. observation of knowledge, skills and behaviours and commitment to mission, vision, values).

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of forming successful teams.
2. The learner may be asked to respond to a **scenario** based on how they would form a new team.
3. Learners may write a **report** based on the principles of forming a new team.

4. The learner may draw upon their **own experience** of forming teams within their own organisation.
5. Learners may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDB1 – Build teams

#### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

##### Textbooks/eBooks

- Margerison, C.J. and McCann, R. (1995) Team Management: Practical New Approaches.
- Shannon, Claude E. & Warren Weaver (1949): A Mathematical Model of Communication. Urbana, IL: University of Illinois Press
- Goleman, D. (1995) Emotional Intelligence: Why it can matter more than IQ. Bantam Books
- Vroom, V.H. (1964) Work and Motivation. John Wiley & Sons
- Belbin, M. (2010) Team Roles at Work. Routledge.
- Dunbar, R. (2010) How Many Friends Does One Person Need? Faber and Faber.
- Tuckman, B.W. (1965) Developmental Sequence in Small Groups, Psychological Bulletin 63.
- Handy, C. (1989) The Age of Unreason. Business Books Ltd
- Covey, S.M.R. (2006) The Speed of Trust. Free Press.
- Schneider, W.D. (1999) The Re-engineering Alternative. McGraw Hill.
- Thomas, K. W. and Kilmann, R. (1974) Conflict Mode Instrument. Xicom
- Katzenbach, J. R & Smith, D.K. (2015). Wisdom of Teams. Harvard Business School Press

##### Relevant Theories, Frameworks and Models

- Belbin (1981) Team Roles
- Covey (2008) Speed of Trust
- Dunbar (2010) Dunbar's Number
- Goleman (1995) Emotional Intelligence
- Handy (1989) Shamrock Organisation
- Likert (1967) Four Management Systems
- Margerison and McCann (1990) Team Management Wheel
- Schneider (1999) Culture Model
- Shannon and Weaver (1963) Model of Communication
- Thomas and Kilmann (1974) Conflict Mode Instrument
- Tuckman (1995) Stages of Team Development
- Vroom (1964) Expectancy Theory

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.



**Ofqual unit number** K/616/3206

**RQF level** 5

**Guided learning hours** 19

**Total unit time** 41

**Aims of unit** Equality, diversity and inclusion are important drivers of organisational performance, benefiting staff and stakeholders. This unit will enable managers to understand the business case for equality, diversity and inclusion and the role of managers in creating inclusive cultures. It focuses on the skills required for inclusive leadership and how to adapt leadership styles to support others in seeing the benefits of inclusion. It will enable learners to The learner will be able to analyse the requirements for managing, planning, implementing, monitoring and reporting on equality, diversity and inclusion initiatives.

**Keywords** Legislative requirements, policy, strategy and commitment, business case, promotion of equality, diversity and inclusion, language and behaviours, leadership styles, manage challenges, equality action plan, communication, data gathering, monitoring, continuous improvement, reporting.

### Learning outcome 1

#### Understand legal and organisational approaches to equality, diversity and inclusion

#### Assessment criteria

- 1.1 Examine the impact of **legislative requirements** on **organisations** with respect to equality, diversity and inclusion
- 1.2 Justify the **business case** for equality, diversity and inclusion
- 1.3 Evaluate organisational **approaches** to promoting equality, diversity and inclusion to staff and stakeholders

#### Indicative content

1.1 **Legislative** requirements may include but are not limited to public versus private duties, equality impact assessment, reporting requirements (including Gender Pay Gap reporting), practical measures, compliance with the Equality Act 2010, protected characteristics. It includes identifying those who are more likely to be discriminated against and how organisations can protect those from direct or indirect discrimination, harassment and victimisation.

**Organisations** include public, private and third sector.

1.2 **Business case** refers to benefits and advantages of organisational commitment, tangible (e.g. quantitative: access to talent, performance, cost benefits, staff and customer retention) and intangible (e.g. qualitative: reputation, engagement, positive working environment) benefits, evidence of impact proven by published research and internal data.

1.3 **Approaches** may include but are not limited to coaching, mentoring and sponsorship; access to development opportunities and the role of internal communication; awards, newsletters, blogs, discussion forums, case studies, role models and champions.

### Learning outcome 2

## Understand the role and responsibilities of a manager in relation to equality, diversity and inclusion

### Assessment criteria

- 2.1 Analyse the **role and responsibilities** of a manager in relation to equality, diversity and inclusion
- 2.2 Specify the **language and behaviours** required of a manager in leading by example
- 2.3 Evaluate **leadership styles** which support practice improvement in relation to equality, diversity and inclusion
- 2.4 Assess **approaches** for managing individuals and teams which lack commitment to equality, diversity and inclusion

### Indicative content

2.1 **Role and responsibilities** may include but are not limited to balanced recruitment / selection (diverse interview panels); performance management and reward decisions; promotion decisions; supporting flexible working; monitoring relevant processes; preventing discrimination and harassment and challenging poor behaviour; promoting equality, diversity and inclusion, implementing policy and procedure, developing best practice.

2.2 **Language and behaviours** may include but are not limited to inclusive language, respectful communication, impartial and non-judgemental treatment of others, fair and consistent decision-making, valuing differences, conflict resolution, and managing change.

2.3 **Leadership styles** may include but are not limited to Managerial Grid (Blake and Moulton, 1991), Five Factors of Excellent Leadership (Kouzes and Posner, 2002), Leadership Styles (Goleman, 2002).

2.4 **Approaches** may include but are not limited to informal and formal approaches, addressing individual beliefs and opinions, overcoming custom and practice issues, dealing with conscious and unconscious bias, challenging poor practice, promoting culture change.

## Learning outcome 3

### Know how to develop and implement plans which support equality, diversity and inclusion within an organisation

#### Assessment criteria

- 3.1 Assess the process for developing a **plan** which supports equality, diversity and inclusion within an organisation
- 3.2 Analyse the purpose and **methods** of gathering data and information to inform a plan
- 3.3 Recommend **approaches to implementing** a plan

#### Indicative content

3.1 **Plan** may be presented as a standalone document or its contents may be embedded into a wider organisational plan or strategy. It may include but is not limited to policy and procedures, consultation process, time-bound targets, establish communication strategy, review processes, audit process, impact measures.

3.2 **Methods** may include but are not limited to progression data, organisational process metrics (e.g. recruitment and selection data), surveys, database reports, benchmarking.

3.3 **Approaches to implementing** may include but are not limited to development of policy and procedure, delivery of training and development, practical measures, involving staff and stakeholders, raising awareness, internal communication.

## Learning outcome 4

### Know how to monitor and report on equality, diversity and inclusion

## Assessment criteria

4.1 Recommend **methods for monitoring** outcomes against targets to promote continuous improvement

4.2 Examine **methods for reporting** outcomes to staff and stakeholders

## Indicative content

4.1 **Methods for monitoring** may include but are not limited to organisational process data, surveys, benchmarking activities, regional and national trends, quality standards, mystery shopper, analysis of customer and staff complaints, litigation, audits, and improvement targets.

4.2 **Methods for reporting** may include but are not limited to internal reports, external diversity reports, newsletters and articles, briefings, motivational notices, case studies, blogs.

## Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of managing equality, diversity and inclusion in the workplace.
2. The learner may be asked to respond to a **scenario** based on how they would manage equality, diversity and inclusion.
3. Learners may write a **report** based on the principles of managing equality, diversity and inclusion.
4. The learner may draw upon their **own experience** of managing equality, diversity and inclusion within their own organisation.
5. They may present **work based evidence** (such as an action plan which is directly attributed to the learner) accompanied by reports/reflective accounts to meet each assessment criteria.
6. Learners may wish to create a **guide** on how to develop and promote equality, diversity and inclusion within an organisation.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships
- G. Communication
- H. Self Awareness
- K. Behaviours

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### External Web links

- [Equality and Human Rights Commission](#)
- [GOV.UK: Equality Act 2010: Guidance](#)

### Relevant Theories, Frameworks and Models

- Blake and Moulton (1991) Managerial Grid
- Goleman (2002) Leadership Styles
- Kouzes and Posner (2002) Five Factors of Excellent Leaders

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.



<b>Ofqual unit number</b>	T/616/3208
<b>RQF level</b>	5
<b>Guided learning hours</b>	19
<b>Total unit time</b>	48
<b>Aims of unit</b>	Coaching and mentoring are proven techniques used to enhance the skills, knowledge, talents and potential of individuals as part of an organisational learning and development strategy. This unit explores the principles and practices of delivering coaching and mentoring, and the impact these techniques can have in the development of a high-performance culture.
<b>Keywords</b>	Purpose, impact, models, plan, process, skills, competences, contract, feedback, development, performance, standards, barriers, relationships, empowerment, learning, achievement, develop potential, talent development, coaching culture, coaching and mentoring contract.

### Learning outcome 1

#### Understand the role and purpose of coaching and mentoring within an organisation

#### Assessment criteria

- 1.1 Examine the **similarities and differences** between coaching and mentoring
- 1.2 Evaluate the **purpose** of coaching and mentoring for individuals, teams and the organisation

#### Indicative content

1.1 **Similarities** may include but are not limited to support, contractual relationships, confidentiality, mutual consent, formal, informal, honesty, trust, personal development.

**Differences** may include but are not limited to duration, relationship to mentee or coachee, focus.

1.2 **Purpose** refers to coachee/mentee, coach/mentor, team, individual and may include but is not limited to organisational goals and objectives, skill and talent development, supporting learning and development, building organisational capability, performance, career development, retention and succession planning, engagement and empowerment, job satisfaction, develop and share good practice, communication and relationships, reflective practice, self-management, create a coaching culture.

### Learning outcome 2

#### Understand the use of models and processes used in workplace coaching and mentoring

#### Assessment criteria

- 2.1 Examine **models** used for **coaching and mentoring** individuals and teams in the workplace
- 2.2 Develop a **plan** to deliver mentoring to an individual in response to an identified business need
- 2.3 Recommend a coaching **process** to support an individual's development needs in the workplace

#### Indicative content

2.1 **Coaching and mentoring models** may include, but are not limited to ACHIEVE (Eldridge and

Dembkowski, 2003), ARROW (Somers, 2006), CLEAR (Hawkins, 2012), Cognitive Behavioural Coaching (CBC), GROW (Whitmore, 1992), Six Categories of Intervention (Heron, 1999), OSCAR (Gilbert and Whittleworth, 2002), OSKAR (Jackson and McKergow, 2000), STEPPPA (McLeod, 2003), Five Stage Mentoring Structures (Clutterbuck, 2004), Mentoring Structures (Hay, 1999), Alfred & Garvey's Three Stage Process (2006),

2.2 **Plan** may include but is not limited to clarifying the business case including expected impact and benefits, diagnosis and exploration, goal setting, choice of mentoring method(s), develop a mentoring contract, implementation, follow up, review.

2.3 **Process** may include, but is not limited to matching coach and coachee, clarify, open, develop and end the relationship.

### Learning outcome 3

#### Know how to manage the delivery of effective coaching and mentoring

#### Assessment criteria

3.1 Analyse the **skills and competencies** of an effective coach and mentor

3.2 Assess approaches for responding to **challenges** faced in the delivery of coaching and mentoring

3.3 Discuss **strategies** to evaluate the impact of coaching and mentoring on individuals and the organisation

3.4 Assess **approaches** to ensure that coaching and mentoring programmes continue to deliver results

#### Indicative content

3.1 **Skills and competences** refer to shared skills and competencies (e.g. communication and interpersonal skills, credibility, patience, trustworthy, motivator, ethical, questioning skills, ability to challenge, Emotional Intelligence (Goleman, 1998), ability to respect confidentiality and challenge thinking/beliefs, empowering, tact, diplomacy) and specific skills (e.g. coaching: ability to reflect back, non-judgemental); mentoring (e.g. functional and organisational experience, subject/technical knowledge, empathy, objectivity, professional/role model, ability to reflect, set high standards, inspirational).

3.2 **Challenges** may include but are not limited to ineffective match (mentor to mentee/coach to coachee), workload pressures, breach of confidentiality, commitment to the process, role conflict, conflict of interest, lack of openness and honesty, misuse of approach (tell not support), relationship breakdown, organisational barriers, expectation of outcome.

3.3 **Strategies** may include but are not limited to Individual (e.g. personal reflection, appraisal of performance against targets, observed behavioural changes, colleague and customer feedback, career progression), organisation (e.g. Balanced Scorecard (Kaplan and Norton, 1992), return on investment (ROI), succession planning, Four Levels of Training Evaluation (Kirkpatrick, 2006), RAM Model of Evaluation (McGurk, 2010).

3.4 **Approaches** may include but are not limited to planned review of policies and procedures, identify and address organisational barriers, develop skills of coaches and mentors, commit resources (time, finance), buy-in from senior leadership, establishment of good practice principles.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of coaching and mentoring in the workplace.
2. The learner may be asked to respond to a **scenario** based on how they would use coaching and mentoring in the workplace
3. Learners may write a **report** based on the principles of coaching and mentoring
4. The learner may draw upon their **own experience** of coaching and mentoring within their own organisation.
5. They may present **work based evidence** accompanied by reports/reflective accounts to meet each

assessment criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- A. Operational Management
- D. Leading People
- E. Managing People
- G. Communication
- H. Self Awareness
- I. Management of Self
- K. Behaviours

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDC2 – Support individuals' learning and development
- CFAM&LDC3 – Mentor individuals
- CFAM&LDC4 – Coach individuals

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Checklists

- [Checklist 089 – Coaching for Improved Performance](#)
- [Checklist 224 – Devising an Individual Coaching Programme](#)

### Textbooks/eBooks

- Clutterbuck. D (Spring 2016) Coaching Supervision
- Clutterbuck. D (Spring 2016) Building and Sustaining the Coaching Culture
- Clutterbuck. D (Winter 2014) Everyone Needs a Mentor
- Clutterbuck. D (Autumn 2013) Beyond Goals
- Gallwey. T (1974 onwards) The Inner Game Series
- Hay. J (1999) Transformational Mentoring: Creating Developmental Alliances for Changing Organizational Cultures
- MacLennan. N (1995) Coaching and Mentoring
- Megginson. D and Clutterbuck. D (2004) Techniques for Coaching and Mentoring
- Parsloe. E (1995) The Manager as Coach and Mentor
- Whitmore. J (1992) Coaching for Performance

### External Web links

- [European Mentoring and Coaching Council](#) (European Mentoring and Coaching Council)
- [International Coaching Federation/PricewaterhouseCoopers: 2016 ICF Global Coaching Study](#)

### Relevant Theories, Frameworks and Models

- Cognitive Behavioural Coaching (CBC)
- Alfred & Garvey (2006) Three Stage Process
- Eldridge and Dembkowski (2003) ACHIEVE Coaching Model
- Gilbert and Whittleworth (2002) OSCAR
- Hawkins (2012) CLEAR coaching model
- Hay (1999) Mentoring Strategies

- Heron (1999) Six Categories of Intervention
- McGurk (2010) RAM Model of Evaluation
- McLeod (2003) STEPPPA Coaching Model
- Somers, (2006) ARROW
- Whitmore (1992) GROW Model

Please Note: The list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** M/616/3210

**RQF level** 5

**Guided learning hours** 16

**Total unit time** 40

**Aims of unit** Having a skilled and talented workforce is fundamental if an organisation is to succeed. As responsibility for individual and team development becomes increasingly devolved to managers, it is essential they have the knowledge, skills and capabilities to ensure development needs are successfully met. This unit has been designed to enable the learner to understand the role of the manager in workforce development, and the scope and purpose of development activities. They will also have opportunity to explore innovative approaches for delivering workforce development and how well chosen learning and development activities can contribute to a talent management strategy.

**Keywords** Skills, talent, development, benefits, impact, organisational and legal frameworks, technology, strategy, innovative

#### Learning outcome 1

##### Understand the benefits of developing a skilled and talented workforce

##### Assessment criteria

- 1.1 Assess the **impact** of workforce development on organisations
- 1.2 Examine the impact of workforce development on an organisation's external **stakeholders**
- 1.3 Discuss the **benefits** of workforce development for individuals and teams

##### Indicative content

- 1.1 **Impact** may include but are not limited to agility and greater flexibility, improved quality, benchmarking, improved outcomes from inspection audits e.g. BSI and IIP, improved customer satisfaction, positive cost benefit analysis, improved environmental impact, ROI, financial stability.
- 1.2 **Stakeholders** may include but are not limited to customers, suppliers and partners, potential employees, customers, suppliers, regulatory organisations, general public, shareholders.
- 1.3 **Benefits** may include but are not limited to individual and team growth, enhanced team work, increased productivity, greater levels of engagement, wellbeing, succession planning (Larcker and Scott, 2014), increased motivation, greater risk management and planning for business continuity, greater resilience, flexibility, innovation and ideas generation, learning organisation.

#### Learning outcome 2

##### Understand the factors which influence workforce development

##### Assessment criteria

- 2.1 Examine the impact of **legal** and **organisational factors** on workforce development
- 2.2 Analyse the **role** of the manager in workforce development

2.3 Analyse the **challenges and barriers** to workforce development

2.4 Evaluate **methods** for overcoming challenges and barriers to workforce development

#### Indicative content

2.1 **Legal** may include but is not limited to Equality Act 2010, Health and Safety Act 1974, General Data Protection Regulation (GDPR) 2018, Working Time Directive 1998, Immigration Act 2016, Trades Union Act 2016, Working Together to Safeguard Children 2013, licence to practice (relevant to specific industry sector requirements).

**Organisational factors** may include but are not limited to strategic/business direction and plans, talent management strategy (including succession planning), positive discrimination, response to initiatives (e.g. apprenticeships, internships, traineeships and returnships), corporate social responsibility (CSR) and ethics, conduct and capability, learning and development, induction and on-boarding, business continuity, risk management, compliance, health, safety, well-being and security, equality and diversity, data protection, communication, procurement, quality, customer service charters and policies, quality standards.

2.2 **Role** may include but is not limited to leader, coach, mentor, facilitator, budget holder, enabler, skills and behaviours developer, role model, resource provider.

2.3 **Challenges and barriers** may include but are not limited to increasing participation, lack of motivation and engagement, maintaining business as usual, economic conditions, trading and operational working patterns, departmental interdependencies, costs versus benefits, political change, legal requirements, licences, culture, financial, time, location including transnational issues, competitive environment, ethical issues.

2.4 **Methods** may include but are not limited to consultation, encouraging involvement, communications, specialist teams, champions and advocates, building on existing systems and procedures, inclusion including working with a range of stakeholders, senior management commitment and leadership, creating ownership.

#### Learning outcome 3

**Understand the scope of learning and development as part of a workforce development strategy**

#### Assessment criteria

3.1 Analyse **factors** which influence the selection of learning and development activities

3.2 Assess the scope of **learning and development activities** in workforce development

3.3 Evaluate the use of **technology** in delivering workforce development

#### Indicative content

3.1 **Factors** may include but are not limited to workforce development strategy, resource implications, budget, number to be developed, time constraints, supports competency and standards frameworks, performance appraisal, forecasting, benchmarking, workforce and gap analysis, scenario planning.

3.2 **Learning and development activities** may include but are not limited to formal and informal, social and collaborative learning, on and off the job, face to face, blended or online learning, group or individual learning, coaching and mentoring, secondments and temporary promotion/role change, self-directed/distance learning, job shadowing, team building activities, communities of practice, benchmarking against other industry sectors, quality circles.

3.3 **Technology** may include but are not limited to webinars, blogs, social and collaborative platforms, MOOCs, gamification, e-learning and assessment, mobile learning.

#### Learning outcome 4

**Know how to measure the impact of workforce development**

#### Assessment criteria

4.1 Examine **methods for measuring** the impact of workforce development

4.2 Analyse **methods to sustain** the impact of workforce development

#### Indicative content

4.1 **Methods for measuring** may include but are not limited to customer feedback, line manager and peer feedback, formal measures/metrics (e.g. return on investment (ROI), Kirkpatrick's Four Levels of Training Evaluation (2006), skills assessments including tests and examinations, reduced turnover, improved engagement, employee voice and use of staff satisfaction studies and temperature checks.

4.2 **Methods to sustain** may include but are not limited to future work force plans and estimates, benchmarking, succession planning, reviewing and development policies, line manager involvement and support, incentives and measuring successes, regular validation and evaluation supporting continuous improvement.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be covered. To enable this to be achieved effectively the unit has been written in the sequence in which skills and talent is identified and delivered. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of developing a skilled and talented workforce.
- 2 The learner should draw upon their **own experience** either from their current work role, paid or voluntary.
- 3 If not in employment, learners can draw upon organisations with which they are familiar e.g. a past employer or as part of a **case study/scenario**.
- 4 Learners may present **work based evidence** accompanied by reports or reflective accounts to meet each of the assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDC1 - Identify individuals' learning needs and styles
- CFAM&LDC2 – Support individuals' learning and development

**Ofqual unit number** F/616/3213

**RQF level** 5

**Guided learning hours** 18

**Total unit time** 40

**Aims of unit** Good relationships, whether they are with customers, suppliers, partners or staff, are a key contributor to an organisation's success. To build stakeholder relationships that are long lasting and sustainable, they need to be planned and developed. This unit explores the types and purposes of stakeholder relationships and the skills required to overcome challenges and manage these effectively.

**Keywords** Stakeholder relationships, benefits and challenges, contractual framework, process, planning engagement, role of the manager, communication skills, collaborative working techniques, strategies for managing conflict, impact of stakeholder engagement

#### Learning outcome 1

##### Understand the different types and value of stakeholder relationships

##### Assessment criteria

- 1.1 Analyse the types of **stakeholder relationships** within organisations
- 1.2 Examine the **benefits** and **challenges** for organisations working with different stakeholder groups

##### Indicative content

1.1 **Stakeholder relationships** may include but are not limited to internal: team members, line managers, senior managers, board members; external: customers, pressure groups, government agencies; connected: suppliers, partners, contractor; balance of power, value, impact, power/interest (Freeman, 1984; Eden and Ackerman, 1998).

1.2 **Benefits** refer to identifying and sharing best practice, use specialist advice and support to deliver against plans and may also include but are not limited to access to expertise, financial, achievement of objectives, corporate social responsibility, quality.

**Challenges** may include but are not limited to authority, change management, intellectual property, conflict of interest, differences in culture, values and beliefs, leadership conflict, confidentiality, information sharing.

#### Learning outcome 2

##### Understand the frameworks for stakeholder management

##### Assessment criteria

- 2.1 Examine the **contractual frameworks** for stakeholder engagement and management
- 2.2 Specify a **process** for planning stakeholder engagement

##### Indicative content



2.1 **Contractual frameworks** may include agreements (e.g. service level and trade union agreements), contracts, compliance (legislation and regulation), governance.

2.2 **Process** refers to approaches to partner, stakeholder and supplier relationship management including negotiation, influencing and effective networking and may include but is not limited to stakeholder types and needs, objectives, risk/value, engagement methods, reporting, timescales, authority.

### Learning outcome 3

#### Know how to manage stakeholder relationships

#### Assessment criteria

3.1 Analyse the **role** of the manager in managing stakeholder relationships

3.2 Evaluate the use of **collaborative working techniques** to manage stakeholder relationships

3.3 Discuss **methods** for managing **conflict** in stakeholder engagement

#### Indicative content

3.1 **Role** may also include but is not limited to clarifying needs and expectations, developing and implementing plans, allocating resources, ensuring agreements are met, reviewing effectiveness.

3.2 **Collaborative working techniques** refers to enable delivery through others, building trust (e.g. Svendsen, 1998), negotiating, influencing and effective networking, identifying and sharing best practice; and may also include but is not limited to assertiveness, problem solving, consulting, active listening, respect, consensus, equal concern for task and people (Blake and Mouton, c1950s), agreeing shared goals, diversity, empowering others, involvement (Friedman and Miles, 2006 and Egan, 2011, Bourne, 2009).

3.3 **Methods** may include but are not limited to investigation, negotiation, mediation, compromise, arbitration.

**Conflict** refers to managing conflict at all levels (e.g. gender, age groups, across organisational and international cultures).

### Learning outcome 4

#### Know methods for measuring the impact of stakeholder engagement on organisational performance

#### Assessment criteria

4.1 Examine **methods** for measuring the **impact** of stakeholder engagement on organisational performance

#### Indicative content

4.1 **Methods** may include but are not limited to inspection, audit, impact assessment, cost benefit analysis.

**Impact** may include but is not limited to reputation, advocacy, support, trust, perception, attrition, opportunity cost, achievement of objectives.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of building and managing stakeholder relationships.
- 2 The learner may be asked to respond to a **scenario** based on how they would build and manage stakeholder relationships.
- 3 Learners may write a **report** based on the principles of building and managing stakeholder relationships.
- 4 For AC2.1 the learner may use **work based evidence** such as contracts and agreements used within the organisation to underpin their discussion/evaluation for this assessment criterion.

- 5 The learner may draw upon their **own experience** of building and managing stakeholder relationships within their own organisation.
- 6 They may present work based evidence accompanied by reports/reflective accounts to meet each assessment criterion.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

### *F. Building Relationships*

- F1 Approaches to partner, stakeholder and supplier relationship management and engagement including negotiation, influencing and effective networking
- F2 Collaborative working techniques to enable delivery through others
- F3 How to share best practice
- F4 How to manage conflict at all levels
- F5 Build trust and use effective negotiation and influencing skills
- F6 Manage conflict
- F7 Identify and share good practice
- F8 Work collaboratively with other inside and outside the organisation
- F9 Use specialist advice and support to deliver against plans

### *G. Communication*

- G1 Interpersonal skills

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDD2 - Develop and sustain productive working relationships with stakeholders

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Relevant Theories, Frameworks and Models

- Blake and Mouton (c.1950s) Managerial Grid
- Bourne (2009) Stakeholder Relationship Management
- Freeman (1984) Strategic Management: A Stakeholder Approach
- Eden and Ackerman (1998) Power versus Interest Grid
- Freeman (1984) Stakeholder Theory
- Friedman and Miles (2006) Stakeholder Theory
- Svendsen (1998) FOSTERing
- Egan (2011) Relationship Marketing

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** L/616/3215

**RQF level** 5

**Guided learning hours** 17

**Total unit time** 41

**Aims of unit** Managing conflict takes resilience. It requires the ability to evaluate complex information, make evidence based judgements and act professionally within the bounds of organisational and legal frameworks. This unit is designed to equip the learner with strategies to manage conflict with confidence, find creative solutions and make difficult decisions.

**Keywords** Types, causes, impact, evidence based judgement, disagreement, resolution

### Learning outcome 1

**Understand the types, causes, stages and impact of conflict within organisations**

#### Assessment criteria

- 1.1 Analyse **types** and **causes** of conflict within organisations
- 1.2 Analyse the **stages** of conflict
- 1.3 Assess the **impact** of conflict on organisational performance

#### Indicative content

**1.1 Types** may include but are not limited to personal or relational conflict, instrumental conflict, and conflicts of interests, conflicts relating to alleged discrimination, individual or team performance, leadership, disagreements between organisations, employees, volunteers, other stakeholders, pressure groups, trade unions and lobbying organisations, whistle blowing.

**Causes** may include but are not limited to poor communication, differences in views, culture, values, ethics and beliefs on an individual and organisational level, competency issues, personal issues (tiredness, ill-health, presenteeism, absenteeism, carer responsibilities) competition (internal and external), resource allocation, flexible working, disparities between worker's rights and benefits, organisational decisions and decision making processes, the introduction, interpretation and application of policies and procedures and legal and regulatory frameworks, management of change.

**1.2 Stages** of conflict may include but are not limited to no conflict, latent conflict, emergence, escalation, stalemate, de-escalation, settlement/resolution, peace building and reconciliation.

**1.3 Impact** may include but is not limited to positive outcomes (e.g. business growth/performance, development of individuals and teams, new ideas and innovation, process improvement, improved brand and image, reduction of poor practice, increased engagement, compliance with organisational, regulatory and legal requirements) and negative outcomes (e.g. high staff turnover, damage to image, brand, reputation, failure to meeting targets, reduced quality, decreased staff and customer satisfaction, poor customer experience, litigation and financial cost).

### Learning outcome 2

**Understand how to investigate conflict situations in the workplace**

### Assessment criteria

2.1 Discuss **processes** for investigating **conflict situations** in the workplace

### Indicative content

2.1 **Processes** may include but are not limited to selecting the process/methodology (formal and informal), data and information gathering, evaluation and reporting within scope of role and in line with organisational and legal frameworks (such as confidentiality, data protection, disclosure, equality and diversity, health and safety, bullying and harassment, whistle blowing).

**Conflict situations** may include but are not limited to minor conflicts between individuals, groups and teams versus major conflict with organisational leadership, direction and strategy and external stakeholders.

### Learning outcome 3

**Understand approaches, techniques, knowledge, skills and behaviours for managing conflict**

### Assessment criteria

3.1 Analyse the **knowledge, skills and behaviours** required to manage conflict effectively

3.2 Evaluate the use of approaches and **techniques** to resolve conflict

### Indicative content

3.1 **Knowledge** may include but is not limited to the legal and organisational frameworks, operating within limits of authority and knowing when to escalate to management, other departments and stakeholders (e.g. police, Health and Safety Executive and other regulatory bodies).

**Skills and behaviours** may include but are not limited to self-confidence, impartiality, ability to break the cycle of conflict, Emotional Intelligence (Goleman, 1995) to pre-empt, prevent, or minimise conflict, flexibility to change a course of action, honesty, facilitation skills, encourage collaboration, active listening, proactivity, relationship building, ability to compromise, negotiation, empathy, defuse blame, create win-win situations, deliver bad news.

3.2 **Techniques** may include but are not limited to forcing an outcome, win-win/collaborating, compromising/smoothing, withdrawing/avoiding, mitigating, Transactional Analysis (Eric Berne, c.1950), negotiating, conciliation and arbitration (ACAS, 2017), Conflict Mode Instrument (Thomas-Kilmann, 1974).

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of managing conflict in the workplace.
- 2 The learner may be asked to respond to a **scenario** based on how they would manage conflict.
- 3 Learners may write a **report** based on the principles of managing conflict.
- 4 The learner may draw upon their **own experience** of managing conflict within their own organisation. They may present work based evidence accompanied by reports/reflective accounts to meet each success criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDB8 - Manage conflict in teams

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Multi Media Videos

- Howard Guttman: Dealing with Conflict

#### External Web links

- ACAS: Managing conflict at work

#### Relevant Theories, Frameworks and Models

- Eric Berne (c.1950) Transactional Analysis
- Goleman (1995) Emotional Intelligence
- Thomas-Kilmann (1974) Conflict Mode Instrument

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

<b>Ofqual unit Number</b>	D/616/3218
<b>RQF level</b>	5
<b>Guided learning hours</b>	21
<b>Total unit time</b>	46

<b>Target audience</b>	This unit is a barred combination with CMI unit 502.
------------------------	--

**Aims of unit** Recruiting and selecting staff is a major challenge in a competitive market. Organisations are increasingly looking for innovative approaches to recruit individuals from the broadest talent pool. This unit has been designed to equip learners with an understanding of the factors which impact on recruitment. They will know how to develop plans and strategies for selecting staff, and identify approaches for retaining the best of the best.

**Key words** Legislation, operational requirements, labour markets, business case, talent, diverse, on boarding , induction, retention

### Learning outcome 1

#### Understand the factors that impact on recruitment and selection

#### Assessment criteria

- 1.1 Examine the impact of **regulatory and legislative** frameworks on an organisation's approach to recruitment and selection
- 1.2 Evaluate **organisational factors** which impact on recruitment and selection
- 1.3 Analyse the impact of **labour markets** on recruitment and selection

#### Indicative content

1.1 **Regulatory and legislative** may include but are not limited to the Equality Act 2010 (subsequent changes, deletions and replacements), General Data Protection Regulation (GDPR) 2018, Health and Safety Act 1974 and industry specific regulation, Safeguarding Vulnerable Groups Act 2016, The National Minimum Wage Regulations 2016, Working Time Directive 1998, Working Together to Safeguard Children 2013, working hours, visas, advertising standards (e.g. The UK Code of Broadcast Advertising Code), qualifications, safeguarding (DBS and PVG), national initiatives (e.g. apprenticeships, traineeships, internships and returnships).

1.2 **Organisational factors** may include but not limited to budgets, wage and recruitment freezes, organisational growth, financial performance/forecasting, market research, business continuity, changing customer/stakeholder needs, equality targets, contract types (zero hours, full time, part time, permanent, short term contracting, use of contractors, sole traders, consultants and agencies).

1.3 **Labour markets** may include but are not limited to local, regional, national and global, sector specific, macro, environmental, skills shortages, tight or loose labour markets, visas and permits.

### Learning outcome 2

#### Know how to plan for recruitment and selection

#### Assessment criteria

- 2.1 Examine the types and purpose of **information** required to develop a business case for recruitment
- 2.2 Analyse good practice in creating **content** for job descriptions and person specifications to meet business needs

#### Indicative content

- 2.1 **Information** may include but not limited to analysis of the existing position, alignment to strategic objectives, current staffing resource model, types of staff (e.g. age, gender, anticipated retirement dates, staff turnover, contract type), volume of work v capacity/ability to achieve targets, Cost Benefit Analysis (CBA), skills gaps, external factors that will affect the organisation including growth, globalisation and recession.
- 2.2 **Content** may include but not limited to roles and responsibilities, knowledge skills and behaviours, links to competency or other frameworks, flexible, innovative and inclusive, suitability for digital platforms and written formats.

### Learning outcome 3

#### Understand approaches to the recruitment and selection of a diverse and talented workforce

#### Assessment criteria

- 3.1 Evaluate **methods** for generating high quality applications from prospective employees
- 3.2 Analyse the rationale for using recruitment and selection **methods** in different **contexts**
- 3.3 Evaluate **approaches** for selecting the successful applicant

#### Indicative content

- 3.1 **Methods** may include but are not limited to social media networks, internal to the organisation, newspapers and journals, local radio, television, networks, agencies, head hunters, recommendation/referrals, recruitment fairs, people leaving the services, job centres.
- 3.2 **Methods** may include but are not limited to 1 to 1 interviews, telephone interviews, group interviews, use of digital interviewing and screening, assessment centres, testing (skills and psychometric)
- Contexts** may include but are not limited to role and level of appointment in an organisation, geographical, sector norms, volume of vacancies and applicants, specialism, globalisation, internal applicants, school leavers, graduates and apprenticeships, type of contract including full time, annualised hours, zero hours and use of agencies.
- 3.3 Different approaches** may include but are not limited to rating, competency assessment, test scores, comparison of notes.

### Learning outcome 4

#### Understand strategies for retaining talent

#### Assessment criteria

- 4.1 Analyse good practice for **onboarding and inducting** new staff
- 4.2 Evaluate **methods** for improving employee retention
- 4.3 Examine the **benefits** of employee retention for individuals, teams and organisation

#### Indicative content

- 4.1 **Onboarding and inducting** may include but is not limited to pre-employment checks and contact, introduction to company values, brand, culture, vision/mission, schedule activities, identify key contacts, set expectations, induction, develop training plans, buddying and mentoring, personal development planning, content and timing, review and feedback.

4.2 **Methods** may include but are not limited to learning and development, engagement, autonomy, involvement, job variety and challenge, personal growth, intrinsic and extrinsic reward, growth, work life balance, flexible working, communications, branding, fewer defects, greater customer satisfaction, dealing with the needs of different generations.

4.3 **Benefits** may include but are not limited to reduction in costs/cost savings, productivity, business continuity, improved customer service, improved performance, relationships, loyalty, recommendation, opportunity cost, improved reputation/branding/culture, vision/mission, engagement and skills retention.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be covered. To enable this to be achieved effectively the unit has been written in the sequence in which recruitment, selection and retention are carried out. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of recruiting, selecting and retaining talent in the workplace.
2. The learner should draw upon their **own experience** either from their current work role, paid or voluntary. Recruitment, selection and retention are not constrained by being in a particular role and can include planning for a future role.
3. If not in employment, learners can draw upon organisations with which they are familiar e.g. a past employer or as part of a **case study or scenario**.
4. Learners may present **work based evidence** accompanied by reports or reflective accounts to meet each of the assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDA2 - Recruit, select and retain people

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### External Web links

- [Investors in People](#)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.



Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** H/616/3219

**RQF level** 5

**Guided learning hours** 16

**Total unit time** 38

**Aims of unit** All organisations need a workforce with skills and behaviours that will better enable them to meet their objectives. In competitive environments, having the right people in the right place and at the right time continues to be a challenge. The aim of this unit is to enable managers to understand the rationale for workforce planning and know how to develop a workforce plan to meet organisational objectives.

**Keywords** Workforce, skills, human resource models, challenges, theory, analysis of data and information, planning

### Learning outcome 1

#### Understand the rationale for workforce planning

#### Assessment criteria

- 1.1 Analyse the **rationale** for workforce planning within organisations
- 1.2 Assess **challenges** which influence workforce planning

#### Indicative content

- 1.1 **Rationale** for may include but is not limited to organisational/strategic objectives, greater agility and flexibility, efficiency, cost effectiveness, sustainability, continuity, compliance (including legal and organisational policies and procedures), staff turnover, skills shortages, local, national and international labour markets, support growth, manage change.
- 1.2 **Challenges** may include but are not limited to competition, political/legal, economic, social, technological, environmental/ethical, seasonality (e.g. seasonality, demand for services), timescales, crisis management, contingency and risk, profile of current workforce, scope for automation.

### Learning outcome 2

#### Understand the principles and practices of workforce planning

#### Assessment criteria

- 2.1 Evaluate the use of **theoretical** models in workforce planning
- 2.2 Examine the use of **data and information** to determine human resource need
- 2.3 Examine the impact of organisational objectives on flexible **employment practices**
- 2.4 Develop a **workforce plan** to meet organisational objectives

#### Indicative content

- 2.1 **Theoretical models** may include but are not limited to core and flexible workforce, flexible firm e.g. Atkinson's Flexible Firm Model (1984) and Shamrock Organisations (Handy, 1989), The Five Rights (Hay Group).

2.2 **Data and information** may include but are not limited to current human resourcing data (staff numbers/contract/working patterns/workforce profile/location/salary/on-cost), current and future organisational need (i.e. contract, projects, objectives), labour market trends/competition, production data, resource usage.

2.3 **Employment practices** may include but are not limited to full time, part time, fixed term, zero hours contracts, agencies, consultants, secondments, job share, annualised hours, home working, off shoring, outsourcing, self-employment.

2.4 **Workforce plan** may be in the form of a short, medium, long term or interval plan and may include but is not limited to rationale/force for change, aims, relationship to organisational objectives, analysis of data, assessment of current capability, gap analysis, assessing supply, selection of human resource model/models, risks, costs, implementation and review, conclusions and recommendations.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be covered. To enable this to be achieved effectively the unit has been written in the sequence in which workforce planning is carried out. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of workforce planning.
- 2 The learner should draw upon their **own experiences** either from their current workplace.
- 3 If not in employment, learners can draw upon organisations with which they are familiar e.g. a past employer or as part of a **case study or scenario**.
- 4 Learners may present **work based evidence** accompanied by reports or reflective accounts to meet each of the assessment criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- D. Leading People
- E. Managing People
- F. Building Relationships
- G. Communication

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Multi Media Videos

- [Jeffrey A Joerres: The Link Between Business and Workforce Strategies](#)

#### Relevant Theories, Frameworks and Models

- Atkinson (1984) Flexible Firm Model (1984)
- Handy (1989) Shamrock Organisations
- Hay Group, The Five Rights

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** D/616/3221

**RQF level** 5

**Guided learning hours** 24

**Total unit time** 51

**Aims of unit** The ability to manage projects is a vital skill for all managers. This unit focuses on the knowledge and skills required to manage projects successfully and overcome problems and challenges. It requires the learner to evaluate the methods and tools for planning tasks and activities, as well as knowing how to implement and manage project activities, build stakeholder relationships, manage resources and risk, monitor progress and report on outcomes.

**Keywords** Projects, risk, planning, finance, resources, stakeholders, project risk, project activities, Gantt, planning, methodologies,

### Learning outcome 1

#### Understand the role of projects in delivering organisational strategy

#### Assessment criteria

1.1 Analyse the **role** of projects in delivering organisational strategy

#### Indicative content

1.1 **Role** may include but is not limited to definitions of term 'project', projects vs BAU (Business as Usual), deliver organisation's strategy, achieve competitive advantage, innovation, support decision making, enable change.

### Learning outcome 2

#### Understand processes for initiating, planning and managing projects

#### Assessment criteria

- 2.1 Analyse the **process** for initiating projects
- 2.2 Examine the impact of **legal, organisational** and **ethical** factors on projects
- 2.3 Discuss the use of **tools and techniques** to plan and manage projects in **different contexts**
- 2.4 Analyse **techniques** for working collaboratively with **stakeholders** to achieve project aims
- 2.5 Evaluate **methods** used for monitoring project progress
- 2.6 Discuss **methods** for reporting on project outcomes
- 2.7 Assess **approaches** for project closure

#### Indicative content

2.1 **Process** refers to process management and may include but is not limited to the creation of project initiation documents, defining purpose, objectives, key performance indicators (KPIs), scope, deliverables, constraints, quality, assumptions, development of formal business case, success criteria, resource requirements (people, finance, equipment, time), Cost Benefit Analysis (CBA), risk analysis and assessment,

defining project organisation, project team roles, stakeholder analysis, communications strategy, select technology.

2.2 **Legal** may include but is not limited to Health and Safety at Work Act 1974, General Data Protection Regulation 2018, Freedom of Information Act 2000, Sale of Goods Act 1979, Equality Act 2010, Digital Economy Bill 2016, Working Time Directive 1998, Safeguarding Vulnerable Groups Act (SVGA), 2006, Communication Act 2003.

**Organisational** refers to data security and management and may include but is not limited to performance standards, customer service charters, HR and health and safety policies, safety and security, information security, confidentiality, conflict of interest, equality and diversity, communication, knowledge sharing protocols, procurement policies and procedures, risk assessment, Lean production, quality standards and policies, whistle blowing.

**Ethical** may include but is not limited to code of conduct, sustainability, corporate social responsibility, organisational values and culture, equality and diversity.

2.3 **Tools and techniques** refers to how to set up, plan, organise and manage a project and resources using relevant tools and techniques and may include but are not limited to Gantt charts, milestone charts, network diagrams, project plans, Critical Path Analysis (CPA), Work Breakdown Structure (WBS), project methodologies (e.g. PRINCE2 or other organisational specific methodologies).

**Different contexts** may include but are not limited to projects of different size, level of risk and complexity, internal or external, timescales, series of projects or one of a kind, project types (e.g. administrative, construction, IT, equipment or system installation, event or relocation, new product or service development, research, Human Resource management/restructure).

2.4 **Techniques** may include but are not limited to identify needs, build consensus, agree shared goals, create communications plan/approach, clarify roles and responsibilities, empower others.

**Stakeholders** refers to work collaboratively with others both inside and outside of the organisation and may include but are not limited to internal: team members, line managers, senior managers, board members; external: customers, pressure groups, government agencies; connected: suppliers, partners, contractors.

2.5 **Methods** used for monitoring against the project plan and may include but are not limited to time, quality and cost outputs, maintaining logs of quality issues and exceptions, planned vs actual monitoring forms, project meetings and huddles, risk review.

Evaluating may include but is not limited to performance (qualitative and quantitative) against outcomes.

2.6 **Methods** refer to the effective use of technology in an organisation, the production of reports providing management information and may include but are not limited to other forms of communication such as newsletters, notice boards, letters, memos, emails, briefings and meetings, presentations and briefings, video conferencing, intranet, emails, blogs, discussion forums, podcasts and webinars.

2.7 **Approaches** may include but are not limited to administrative closure (e.g. handover, team celebration, feedback from stakeholders, lessons learned/good practice workshops, re-allocate resources, finalise accounts, archive data and information, knowledge management, Post-Implementation Review (PIR), contract closure (e.g. terms and conditions, exit criteria).

### Learning outcome 3

#### Understand the factors which contribute to effective project management

#### Assessment criteria

3.1 Discuss methods of managing **data and information** in a project environment

3.2 Assess the use of **problem solving and decision making techniques** when managing projects

3.3 Examine approaches to **identify, manage and mitigate** project risks

#### Indicative content

3.1 **Data and information** refers to the effective use of technology in an organisation, data security and management and the collation, analysis and interpretation of data and may include but are not limited to assessing characteristics of data and information (accuracy, validity, reliability, timeliness, relevance, completeness).

**3.2 Problem solving and decision making techniques** may include but are not limited to root cause analysis, Fishbone Analysis (Ishikawa, c.1960s), Plan Do Check Act Cycle (PDCA) (Deming, c.1950s), Pareto Principle (Juran, c.1937), Cost Benefit Analysis (CBA), Return On Investment (ROI), Options Appraisal, OODA Loop (Boyd, 1998), PMI (Plus Minus Interesting) (De Bono, 2002), Ladder of Inference (Senge, 2006), options appraisal.

**3.3 Identify and manage** may include but are not limited to monitoring and managing costs in respects of expected and unexpected loss, net social cost benefit, employing risk mitigation techniques, improving ICT systems and procedures, up-skilling staff, avoid high risks, monitoring risk using effective risk reporting, senior management involvement, stress testing, event analysis.

**Mitigate** may include but is not limited to transferring risk, use of insurance policies, contingency planning, disaster planning, alternative risk transfer, risk avoidance, minimisation, prevention and prediction of risk.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of managing projects to achieve results.
- 2 The learner may be asked to respond to a **scenario** based on how they would plan and manage a project.
- 3 Learners may write a **report** based on the principles of planning and managing a project.
- 4 The learner may draw upon their **own experience** of planning and managing a project.
- 5 They may present **work based evidence** in the form of project initiation documents, project plans, risk management, monitoring and evaluation reports, and reflective accounts to meet all assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

#### A. Operational Management

- A6 Data, security and management and the effective use of technology in an organisation
- A12 Produce reports, providing management information based on the collation, analysis and interpretation of data

#### B. Project Management

- B1 How to set up and manage a project using relevant tools and techniques; B4 Use relevant project management tools
- B2 Process management
- B3 Approaches to risk management
- B4 Use relevant project management tools
- B5 Plan, organise and manage resources
- B6 monitor progress against a project plan
- B7 identify risks and their mitigation

#### F. Building Relationships

- F8 Work collaboratively with others both inside and outside of the organisation

#### J. Decision Making

- J2 Problem solving and decision making techniques
- J4 Use effective problem solving techniques

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LFA5 – Manage projects

### **Suggested reading/web resource materials**

Reading/resource materials available on ManagementDirect

#### Checklists

- Checklist 241 – Conducting a Risk Assessment for Projects

#### Relevant Theories, Frameworks and Models

- Boyd (1998) OODA Loop
- Critical Path Analysis (CPA)
- De Bono (2002) PMI (Plus, Minus, Interesting)
- Deming (c.1950s) Plan Do Check Act Cycle – in PDCA
- Gantt
- Ishiwaka (c.1960s) Fishbone Analysis
- Juran (c.1937) Pareto Principle
- Kanban
- PMBok Body of Knowledge
- PRINCE2
- Rapid Applications Development (RAD)
- Scrum
- Senge (2006) Ladder of Inference
- Six Sigma
- SSADM
- Trello
- Work Breakdown Structure (WBS)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** K/616/3223

**RQF level** 5

**Guided learning hours** 19

**Total unit time** 43

**Aims of unit** Change is inevitable if an organisation is to maintain competitiveness and currency of practice. This unit has been designed to enable the learner to evaluate types and reasons for change within organisations and be able to select and apply theoretical models for its management. The purpose is not only to enable learners to develop the skills to manage change and achieve set objectives, but to do so in a professional manner with open and honest communication throughout the entire process.

**Keywords** Change management models, stakeholder engagement and support, plans, tools and techniques, barriers and risks, drivers of change, monitor, evaluation, reporting, embedding and sustaining change.

### Learning outcome 1

#### Understand the reasons for change in organisations

#### Assessment criteria

- 1.1 Analyse the **environmental factors** which influence change in organisations
- 1.2 Analyse the **internal factors** that drive the need for change in organisations
- 1.3 Examine the **potential impact** of change in organisations

#### Indicative content

- 1.1 **Environmental factors** may include but are not limited to political, legal, regulatory, social, economic, technological and innovation, environmental, competition, ethics and regulation.
- 1.2 **Internal factors** refers to organisational cultures, diversity and their impact on leading and managing change and may include but is not limited to organisational performance, emerging strategy, governance, feedback, ideas and innovation, attrition, chaos and conversation.
- 1.3 **Potential impact** may include but is not limited to achieve objectives, change market positioning, improve efficiency, improve quality, develop best practice, shift culture, develop innovation and creativity, improve performance, systems and processes, change technology.

### Learning outcome 2

#### Understand approaches to change management

#### Assessment criteria

- 2.1 Evaluate the use of **theoretical models** for managing change
- 2.2 Analyse the **role of leadership** in gaining the commitment of others to change
- 2.3 Specify reasons for engaging with **stakeholders** throughout the change management process

#### Indicative content



2.1 **Theoretical models** may be selected in relation to appropriateness for type of change and situation, complexity of change and organisation (Oswick, 2015, Radical Change within Traditional Structures; Mayon White, 1993, Change Management Intervention Strategy; Nadler and Tushman, 1985, Organisational Congruence Model; Lewin, 1947, Three Step Change Management Model (Freeze-Change-Refreeze); Kotter, 1996, 8 Steps model; Burke and Litwin, 1992, Model of Organisational Change and Performance; Beckhard-Harris, 1987, Change Equation; Moss Kanter, 1983, The Change Masters; Hailey and Balogun, 2002, The Change Kaleidoscope).

2.2 **Role of leadership** may include but is not limited to leadership styles, Situational Leadership (Hersey and Blanchard, 1977), timescales, negotiating and influencing skills, Having Difficult Conversations (Scott, 2002), Emotional Intelligence (Goleman, 1998), collaborative working techniques, resilience and accountability, openness, positive and adaptable, open to feedback.

2.3 **Stakeholders** may include but are not limited to internal: team members, line managers, senior managers, board members; external: customers, pressure groups, government agencies; connected: suppliers, partners, contractors.

### Learning outcome 3

#### Understand how to initiate, plan and manage change in an organisation

#### Assessment criteria

- 3.1 Specify the **rationale** for initiating change within an organisation
- 3.2 Develop a **plan for change** within an organisation
- 3.3 Examine **tools** for implementing and monitoring change
- 3.4 Recommend approaches to overcome **risks and barriers** to change
- 3.5 Develop strategies for **communicating** planned change to stakeholders
- 3.6 Assess **practical methods to support** individuals throughout the change management process
- 3.7 Analyse **methods** for monitoring and measuring the impact of planned change
- 3.8 Discuss **approaches** to embed and sustain planned change in an organisation

#### Indicative content

- 3.1 **Rationale** may include but is not limited to benefits, business case, impact, consequences/risks.
- 3.2 **Plan for change** may include but is not limited to objectives, actions, stages, milestones, resources, timescales, deadlines, responsibilities, measures (Lewin, c1940s, Force Field Analysis; Hiatt, 2003, ADKAR).
- 3.3 **Tools** may include but are not limited to roadmaps, flowcharts, cultural mapping, process maps, readiness assessments, Gantt charts, communication and project plans, IT applications.
- 3.4 **Risks and barriers** may include but are not limited to organisational (splinter groups, logistical barrier e.g. remote working, shift work, rising costs, changing priorities, delay tactics); personal (Kubler Ross, 1960) (hostility, sense of loss, resistance to change, depression, refusal to engage).
- 3.5 **Communicating** refers to chairing meetings and presenting using a range of media and may include but is not limited to internal and external communication, consultation, huddles, meetings and briefings, webinars, podcasts, conference calls, blog posts, presentations, letters and newsletters, articles, case studies.
- 3.6 **Practical methods to support** refers to supporting people through coaching and mentoring and may include learning and development, supervision, one-to-one meetings, team meetings, workshops, setting an example, use of specialist advice and support.
- 3.7 **Methods** may include but are not limited to periodic reporting, surveys and questionnaires, interviews, benchmarking activities, mystery shopper, scorecards, data and metrics, audits, targets, workshops, observation, conversations.
- 3.8 **Approaches** may include but are not limited to overcoming barriers, meeting objectives, achieving planned benefits, periodic monitoring, key performance indicators (KPIs), continuous professional development (CPD) requirements.

## Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of managing change in an organisation.
- 2 The learner may be asked to respond to a **scenario** based on how they would initiate, plan and manage change.
- 3 Learners may write a **report** based on the principles of initiating, planning and managing change.
- 4 The learner may draw upon their **own experience** of initiating, planning and managing change within their own organisation.
- 5 They may present **work based evidence** accompanied by reports/reflective accounts to meet each success criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

### A. Operational Management

- A5 How to initiate and manage change, identifying barriers and how to overcome these
- A9 support, manage and communicate change by identifying barriers and overcoming these

### D. Leading People

- D5 Organisational cultures and diversity and their impact on leading and managing change
- D7 Support people through coaching and mentoring and the management of change
- D11 Support the management of change within the organisation

### G. Communication

- G5 Chair meetings
- G6 Present using a range of media

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LCA2 – Plan change
- CFAM&LCA4 – Implement change

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Relevant Theories, Frameworks and Models

- Lewin (c.1940s) Force Field Analysis
- Lewin (1947) Three Steps Model (Freeze-Change-Refreeze)
- Kotter (1995) 8 Steps to Transformation
- Hersey and Blanchard (1969) Situational Leadership
- Scott (2003) Fierce Conversations
- Goleman (1995) Emotional Intelligence
- Kubler Ross (c. 1960) Change Transition Curve
- Hiatt (2003) ADKAR (Awareness, Desire, Knowledge, Ability, Reinforcement)

Please note: This list is provided to guide the learner to potential sources of information and is by no means

exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** T/616/3225

**RQF level** 5

**Guided learning hours** 22

**Total unit time** 52

**Aims of unit** The ability to translate organisational objectives into operational plans is an essential management skill. The unit opens with the importance of understanding the strategic direction of the organisation and how to contribute to the strategic planning process. It then focuses on the knowledge and skills required to create and deliver operational plans. This includes the need to set key performance indicators, monitor quality and outcomes against the plan, and know how to effectively report on findings.

**Keywords** Strategic objectives, operational planning, key performance indicators, continuous improvement, setting targets, contingency planning, deliver operational plan, time management, manage resources, problem solving, decision making, monitoring and measuring outcomes.

#### Learning outcome 1

##### Understand the principles of operational planning in an organisation

##### Assessment criteria

1.1 Assess the **relationship** between an organisation's strategic objectives and operational planning

1.2 Evaluate the use of **approaches** to operational planning

##### Indicative content

1.1 **Relationship** refers to the input into strategic planning and may include but is not limited to the vision, mission, aims and objectives (also known as the Golden Thread), values and ethics the translation of strategic goals in to deliverables, links between/roles of different operational areas.

1.2 **Approaches** refer to operational business planning techniques and approaches including managing multiple tasks, resource management, setting targets and key performance indicators (KPIs), business development tools e.g. SWOT and approaches to continuous improvement and may include but are not limited to stakeholder consultation, cost benefit analysis, risk analysis, contingency planning, quality (e.g. LEAN methods), supply chain and capacity planning, setting SMART targets, work breakdown structure, Plan, Do Check Act (Deming, c.1950s), Stakeholder Management (Freeman, 1984; Eden and Ackerman, 1998).

#### Learning outcome 2

##### Know how to create an operational plan in line with organisational objectives

##### Assessment criteria

2.1 Examine the impact of **legal** and **organisational** factors on an operational plan

2.2 Assess the **ethical** requirements that influence an operational plan

2.3 Create an **operational plan** in line with organisational objectives

##### Indicative content

2.1 **Legal** may include but is not limited to Health and Safety at Work Act 1974, Consumer Protection Act 1987, General Data Protection Regulation (GDPR) 2018, Freedom of Information Act 2000, Sale of Goods Act 1979, Equality Act 2010, Digital Economy Bill, 2016, Working Time Directive, 1998, Safeguarding Vulnerable Groups Act (SVGA), 2006, Communication Act 2003 and industry specific regulations.

**Organisational** may include but is not limited to performance standards, customer service charters, policies and procedures for human resources, health and safety, safety and security, equality and diversity, communication and data protection, procurement, risk assessment, LEAN production, quality standards.

2.2 **Ethical** may include but is not limited to code of conduct, sustainability, corporate social responsibility, organisational values and culture, equality and diversity.

2.3 **Operational plan** refers to operational business planning techniques, create plans in line with organisational objectives, setting key performance indicators (KPIs) and SMART targets, (Ten-step Target Setting Process, Bourne and Franco-Santos, 2010), ability to demonstrate commercial awareness and identify and shape new opportunities, plan, organise and manage resources, management systems, processes and contingency planning, management of multiple tasks, monitoring performing against plans and development of sales and marketing plans.

The plan may be in the form of a short, medium, long term or interval plan and may include but is not limited to aims, relationship to organisational objectives, analysis of data, assessment of current capability, gap analysis, assessing supply and resources (including partner/supplier arrangements), risk management, budget allocation, production methods, service delivery, communications plan, implementation and review, data and performance measures, conclusions and recommendations.

### Learning outcome 3

#### Know how to manage and lead the delivery of an operational plan

#### Assessment criteria

3.1 Assess **methods** of managing and leading the delivery of an operational plan

3.2 Examine **techniques** for problem solving and decision making

#### Indicative content

3.1 **Methods** refer to effective delegation and enabling delivery through others, using specialist advice and support to deliver against plans, managing resources (e.g. budget allocation, availability and quality of supplies, supply chain management, reliability of equipment, contingency arrangements), monitoring performance against plans, use of time management and prioritisation techniques and tools and may include but are not limited to communication of plan, briefings, learning and development (including development for licence to practice), coaching mentoring and motivation of staff, performance management, management of virtual, multiple and remote teams.

3.2 **Techniques** refer to use of critical analysis and evaluation to support decision making and use of effective problem solving techniques and may include but are not limited to Root Cause Analysis (RCA), Fishbone Diagram (Ishikawa, c.1968), brainstorming, mind mapping, action planning, Six Thinking Hats (De Bono, 1986), Ladder of Inference (Senge, 2006), Rational Decision-Making (Kepner-Tregoe, 1965).

### Learning outcome 4

#### Know how to monitor and measure the outcome of operational planning

#### Assessment criteria

4.1 Evaluate **methods** to monitor progress and measure the outcomes of operational plans

#### Indicative content

4.1 **Methods** refer to key performance indicators (KPIs), setting targets and monitoring performance against plans, continuous improvement cycle (including quality audits and quality control), input into strategic planning, production of reports, produce reports and provide management information based on the collation,

analysis and interpretation of data (including metrics and analytics) and may include but are not limited to quantitative (e.g. profitability, contribution to overheads, securing future business/contracts, repeat business) and qualitative (e.g. reputation, retention and loyalty, customer and employee feedback, satisfaction levels, ability to attract new/retain customers/staff, staff performance, achievement of awards and accolades, growth and innovation).

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of managing and delivering operational plans.
- 2 The learner may be asked to respond to a **scenario or case study** based on how they would create and deliver operational plans.
- 3 Learners may write a **report** based on the principles of creating and delivering operational plans.
- 4 The learner may draw upon their **own experience** of creating and delivering operational plans within their own organisation.
- 5 They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.
- 6 To meet the requirements of AC 2.3 (Create an operational plan in line with organisational objectives) the learner is required to **create a plan** for a minimum of one work area for a period of 3 months.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

#### A. Operational Management

- A1 Operational management approaches and models including creating plans to deliver objectives and set KPIs
- A2 Business development tools e.g. SWOT and approaches to continuous improvement
- A3 Operational business planning techniques, including how to manage resources, development of sales and marketing plans, setting targets and monitoring performance
- A4 Management systems, processes and contingency planning
- A7 Input to strategic planning
- A8 Create plans in line with organisational objectives
- A10 Demonstrate commercial awareness and the ability to identify and shape new opportunities
- A11 Create and deliver operational plans including setting KPIs and monitoring performance against plans
- A12 Produce reports, providing management information based on the collation, analysis and interpretation of data

#### B. Project Management

- B5 Plan, organise and manage resources

#### D. Leading People

- D6 How to delegate effectively

#### E. Managing People

- E9 Delegate and enable delivery through others

#### F. Building Relationships

- F9 Use specialist advice and support to deliver against plans

### *I. Management of Self*

- I3 Approaches to planning including managing multiple tasks

### *J. Decision Making*

- J2 Problem solving and decision making techniques
- J3 Undertake critical analysis and evaluation to support decision making
- J4 Use effective problem solving techniques

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LFA2 - Implement operational plans

## **Suggested reading/web resource materials**

Reading/resource materials available on ManagementDirect

### Textbooks/eBooks

- Johnson, Whittington and Scholes (2012) Fundamentals of Strategy
- Adair (2010) Strategic Leadership: how to think and plan strategically and provide direction

### Relevant Theories, Frameworks and Models

- Balanced Scorecard (Kaplan and Norton, 1992)
- Plan Do Check Act cycle (Deming, 1950s)
- Ten-step target setting process (Bourne and Franco-Santos, 2010, Cranfield)
- Fishbone Diagram (Ishikawa, 1968)
- Six Thinking Hats (De Bono, 1986)
- Ladder of Inference (Senge, 2006)
- Rational Decision-Making (Kepner and Tregoe, 1965)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** J/616/3225

**RQF level** 5

**Guided learning hours** 24

**Total unit time** 55

**Aims of unit** Inadequate resourcing can impact on the ability to achieve objectives; whilst being over resourced has financial implications. This unit has been designed to enable managers to understand and respond to the challenge of managing and monitoring resources. Learners will understand the importance of effective and efficient resource use, identify and plan resource requirements and know how to procure resources in line with regulatory requirements.

**Keywords** Procurement, planning, resource management, category management, resources, protocols, costs, processes, options, techniques, organisational planning, time/quality/cost, supply, suppliers

### Learning outcome 1

#### Understand the importance of effective and efficient resource use in organisations

##### Assessment criteria

- 1.1 Analyse the importance of effective and efficient **resource use** in organisations
- 1.2 Examine **processes** for effective and efficient resource use in organisations

##### Indicative content

- 1.1 **Resource use** may include but is not limited to types of resources (human, goods, facilities, services, time, financial, assets, infrastructure).
- 1.2 **Processes** may include but are not limited to following organisational procedures and protocols, legal and ethical requirements, impact of resource use on environment or health and safety procedures on resource use, safe maintenance of resources, security of resources, concepts of budget holders, budget managers and authorised signatories, business continuity, risk management, authority and responsibility, accountability, value for money, Responsibility, Authority, Expertise, Work (RAEW)/ Responsible, Accountable, Consulted, Informed (RACI) (Crane, c. 1970's).

### Learning outcome 2

#### Know how to plan resources to meet organisational objectives

##### Assessment criteria

- 2.1 Assess **factors** which impact on resource planning to meet organisational objectives
- 2.2 Examine **approaches** for determining a change to resourcing
- 2.3 Discuss **sources** of data and information used to plan resource requirements
- 2.4 Evaluate **options** for the supply of resources to meet organisational objectives

##### Indicative content



2.1 **Factors** may include but are not limited to business planning, budgeting, forecasting, stock control, managing seasonal fluctuations, planning for random influences (such as a strike or sudden crisis), using historical trends to predict and forecast resource requirements, drawing up functional and technical specifications, considerations of time/quality/cost, category management.

2.2 **Approaches** may include but are not limited to GAP Analysis, capability and resource analysis (current and future).

2.3 **Sources** may include but are not limited to internal and external data and information.

2.4 **Options** may include but are not limited to make or buy decisions, capacity planning, forecasting, cost benefit analysis (CBA), return on investment (ROI), capital investment appraisals (payback, net present value), sensitive analysis, bulk buying.

### Learning outcome 3

#### Know how to procure resources

##### Assessment criteria

3.1 Analyse **principles** which underpin effective procurement

3.2 Analyse the **stages** of a procurement process

3.3 Develop **criteria** for resource specifications

3.4 Analyse **methods** for selecting suppliers

##### Indicative content

3.1 **Principles** refers to company policies and procedures, World Trade Organisation (WTO) rules, European Journal (EJ) rules, Institute of Civil Engineers (ICE) and Chartered Institute of Purchasing Supply (CIPS), conditions of contract rules.

3.2 **Stages** may include but are not limited to purchase order, pre-qualification, tendering, bid valuation (single/two stage bid evaluation and open and closed bids), requirements management, feasibility studies, contract negotiation, contract award.

3.3 **Criteria** may include but are not limited to scenario based requirements, functional requirements, outcomes/performance based requirements.

3.4 **Methods** include but are not limited to formal e.g. tenders and trade associations and informal e.g. recommendations and referrals, comparing alternative products and services, pilots and trials, quality testing, references and case or trade studies, benchmarking.

### Learning outcome 4

#### Know how to monitor resource use in organisations

##### Assessment criteria

4.1 Analyse **strategies** used to predict and manage disruption in resource supply

4.2 Analyse **methods** to record, monitor and report on resource use

4.3 Recommend **approaches** to improve resource use in organisations

##### Indicative content

4.1 **Strategies** may include but are not limited to scenario planning, capacity planning, Theory of Constraints (TOC), risk management, bulk buying, disaster/contingency planning, environmental scanning/intelligence.

4.2 **Methods** may include but are not limited to budget monitoring (planned vs actual spend), Critical Success Factors (CSFs), Critical to Quality (CTQ), Cost of Poor Quality (CoPQ), scorecards, continuity of supply, key performance indicators (KPIs), stakeholder feedback, internal and external audits, quality standards, error rates, output, benchmarks, service level agreements (SLAs).

4.3 **Approaches** may include but are not limited to business case, recommendations, business case, use of data and information to inform decision making, business process improvement, renegotiating contracts, staff training, relationship building, shared services, compliance, formulate/improve policies and procedures.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of planning, procuring and managing resources in the organisation.
- 2 The learner may be asked to respond to a **scenario** based on how they would plan, procure and manage resources.
- 3 Learners may write a **report** based on the principles of planning, procuring and managing resources.
- 4 The learner may draw upon their **own experience** of planning, procuring and managing resources.
- 5 They may present **work based evidence** accompanied by **reports/reflective accounts** to meet each assessment criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- A. Operational Management
- B. Project Management
- C. Finance

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LEB2 – Obtain physical resources
- CFAM&LEB3 – Manage physical resources
- CFAM&LFA5 – Manage projects

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Checklists

- Checklist 146: Effective Purchasing
- Checklist 172: Supply Chain Management

#### Textbooks/eBooks

- Hackett, M and Statham, G (editors) (2016) The Acqua Group Guide to Procurement, Tendering and Contract Administration. 2nd ed. John Wiley and Sons

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of

unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** J/616/3231

**RQF level** 5

**Guided learning hours** 23

**Total unit time** 46

**Aims of unit** Innovation has the power to transform organisations, teams and individual performance. When a culture of innovation and entrepreneurship thrives, new ideas and initiatives flourish. This unit has been designed to enable learners to identify opportunities for innovation in the workplace (which may be in the form of new working practices, processes, new products or services), analyse the rationale for developing initiatives and know how to turn ideas into reality.

**Keywords** Benchmarking, consensus, competitive advantage, market development, product/service development, innovation, collaboration, intellectual property, feedback, empowering, involvement, creativity.

### Learning outcome 1

#### Understand the role of innovation within organisations

##### Assessment criteria

- 1.1 Examine the **reasons** for innovation in organisations
- 1.2 Analyse the **types** of innovation within organisations
- 1.3 Evaluate **factors** that support a culture of innovation in organisations

##### Indicative content

- 1.1 **Reasons** may include but are not limited to organisation's growth strategy, competitive advantage (first mover/fast/slow followers/market leader), diversification, new/increased sources of revenue, market share, reduced costs, improved productivity, build brand value, gap in the market, respond to trends, establish new partnerships/relationships, ethical, legal and regulatory changes.
- 1.2 **Types** may include but are not limited to difference between ideas and innovation, formal, informal, continuous improvement, organic, incremental, radical, disruptive, breakthrough, transitional, transformational, product, service, platform, experience, exploit new technologies, business process re-engineering, business model and processes, frugal, open source and user led/co-creation, democratic.
- 1.3 **Factors** may include but are not limited to vision and leadership styles, strategic priorities, organisational structure, working styles, attitude to risk, resources, staff involvement and buy-in.

### Learning outcome 2

#### Understand the process of managing innovation in an organisation

##### Assessment criteria

- 2.1 Evaluate **methods** used to drive innovation in an organisation
- 2.2 Examine the **process** for innovation in an organisation

2.3 Discuss the **role** of the manager in leading innovation in an organisation

2.4 Analyse the **role** of stakeholders in the innovation process

2.5 Evaluate **methods** used to measure the impact of innovation in an organisation

### Indicative content

2.1 **Methods** may include but are not limited to driven by brainstorming, quality circles, mind mapping, customer feedback, customer and market research, focus groups, co-creation, sharing prototypes (e.g. products to address unmet needs), data interrogation and analysis, emulate competitors, supplier/partner involvement, formal suggestion or incentive schemes, restructuring, Kirton's Adaptation-Innovation (KAI) Theory, (2003).

2.2 **Process** may include but is not limited to research, design, development of business case (including objectives, success criteria and key performance indicators, cost benefit, analysis/investment appraisal, timescales), cost benefit analysis/investment appraisal, scope, approvals, develop, pilot/test, implement, feedback and monitoring, communicate, stakeholder engagement, review and evaluate.

2.3 **Role** may include but is not limited to championing ideas, gaining stakeholder buy-in and commitment, managing stakeholders, securing resources, research and investigation, establishing processes and procedures, communication, supporting and implementing good practice, monitoring and measuring impact.

2.4 **Role** may include but is not limited to ideas, decision making, approval, consultation, testing and feedback, specialist advice and support, Responsible, Accountable, Consulted, Informed (RACI).

2.5 **Methods** may include but are not limited to the development of key performance indicators, financial measures (e.g. revenue, profit, cost reduction), customer acquisition, loyalty and retention, market share and reach, compliance, quality audits, feedback, ratings and reviews.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of innovation in organisations.
- 2 The learner may be asked to respond to a **scenario** based on how they would develop an innovative idea/concept within an organisation.
- 3 Learners may write a **report** based on the principles of developing an innovative idea.
- 4 The learner may draw upon their **own experience** of developing an innovative idea within an organisational setting.
- 5 They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criterion.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/ Departmental Manager ST0385/01:

- F. Building relationships
- G. Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LCA1 - Identify and evaluate opportunities for innovation and improvement

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Textbooks/eBooks

- Johnson, Whittington and Scholes, 2012, Exploring Corporate Strategy

### Relevant Theories, Frameworks and Models

- Adaptation-Innovation (KAI) Theory (Kirton, 2003)
- RACI Matrix (Responsible, Accountable, Consulted, Informed)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** R/616/3233

**RQF level** 5

**Guided learning hours** 23

**Total unit time** 53

**Aims of unit** Business outcomes are optimised when risks are identified and managed effectively. This unit has been designed to equip learners with an understanding of the scope and purpose of business risk management. This includes an evaluation of the types of business risks, the governance and approaches for managing these effectively, and how risk management can be implemented successfully within organisations.

**Keywords** Business risk, risk governance, assessing, ranking, mitigating risk, risk management, implementation, communication.

### Learning outcome 1

#### Understand the scope of business risk management

#### Assessment criteria

- 1.1 Evaluate **business risks** in relation to the organisation, its customers and suppliers
- 1.2 Analyse the **governance** of risk within organisations
- 1.3 Examine **categories** of risk used within different organisational settings
- 1.4 Analyse organisational **methods** for managing and quantifying risk

#### Indicative content

- 1.1 **Business risk** includes but is not limited to internal process failures, supplier failures, customer failures, events e.g. accidents, acts of God, terrorism, scenario based risk (relevant to organisation/sector impact of changes i.e. political/economic), risks and opportunities (business or commercial).
- 1.2 **Governance** includes but is not limited to ISO31000 management boards, committees, leadership and management systems, lines of authority and accountability, trustees, special interest groups, human resource management policies and procedures, staff development, risk reward culture, financial considerations, operational management processes and procedures for collection of data and information, risk and issues logs, risk management policies and procedures, technical considerations e.g. ICT systems, upgrades and applications, infrastructure and security (including cyber security).
- 1.3 **Categories** may include but are not limited to market risk, operational risk, contractual, legal and regulatory risk, financial risk (including credit risk, liquidity risk), structural risk, skills gaps, technical risk, people, cultural and social risk, brand image, supplier and buyer risk, random events.
- 1.4 **Methods** may include but are not limited to RAID (risks, assumptions, issues, dependencies) logs (PRICE2, c 2000), probability of occurrence and potential consequences e.g. likelihood and consequences risk matrices, financial management of risk, including future free cash flow, knowledge management approaches including competencies to manage business activities, competitor and environmental analysis, tasks and events, use of guidelines such as ISO 31000 (risk framework, principles and processes)

### Learning outcome 2

#### Understand the process for managing business risk

## Assessment criteria

- 2.1 Analyse the processes for **identifying, assessing** and **ranking** business risk
- 2.2 Analyse the process for **managing** a business risk
- 2.3 Examine approaches for **mitigating** a business risk
- 2.4 Analyse **methods** for implementing business risk management
- 2.5 Assess methods for **reporting** identified risks to **stakeholders**

## Indicative content

2.1 **Identifying** risk may include but is not limited to self-assessment, risk profiling, risk management meetings, guided workshops, benchmarking, industry and sector knowledge.

**Assessing** may include but is not limited to reviewing the effectiveness of controls, procedures and governance, risk reporting and accountability, effectiveness of audit process, lines of authority and responsibility.

**Ranking** may include but is not limited to benchmarking, score card methods, industry good practice, simple prioritisation methods, formal methods (e.g. Delphi and normal group techniques (NGT)).

2.2 **Managing** may include but is not limited to monitoring and managing costs in respects of expected and unexpected loss, net social cost benefit, employing risk mitigation techniques, improving ICT systems and procedures, up-skilling staff, avoid high risks, monitoring risk using effective risk reporting, senior management involvement, stress testing, event analysis.

2.3 **Mitigating** may include but is not limited to transferring risk, use of insurance policies, contingency planning, disaster planning, alternative risk transfer, risk avoidance, minimisation, prevention and prediction of risk.

2.4 **Methods** may include but are not limited to top down senior management influence, policy setting, implementation at operational/departmental/functional levels, bottom up processes, formal roles of governance (e.g. steering groups, committees, independent external auditors), risk management as a separate business function, or embedded within departments, RAID (risks, assumptions, issues, dependencies) logs PRINCE2, c 2000).

2.5 **Reporting** may include but is not limited to issues, assumptions, risks, metrics (e.g. KPI's).

**Stakeholders** may include but are not limited to internal: team members, line managers, senior managers, board members; external: potential employees, customers, suppliers, pressure groups, government agencies and regulatory organisations, general public; connected: shareholders, suppliers, partners, contractors.

## Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be covered. To enable this to be achieved effectively the unit has been written in the sequence in which risk management is carried out. The following opportunities are recommendations for guidance purposes only.

- 1 The learner may be asked to write an **account** or **assignment** on the principles of managing risk in organisations.
- 2 The learner may be asked to respond to a **scenario** based on the management of business risk
- 3 Learners may write a **report** based on the principles of business risk management
- 4 The learner may draw upon their **own experience** of managing risk within their own organisation.
- 5 They may present **work based evidence** accompanied by reports/reflective accounts to meet each success criteria.
- 6 The learner may create a **guide** to managing risk in the organisation.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.



## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/ Departmental Manager ST0385/01:

- A. Operational Management
- B. Project Management
- C. Finance
- D. Leading People
- E. Managing People

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### Checklists

- Checklist 241 – Conducting a Risk Assessment for Projects

### Textbooks/eBooks

- Chapman and Ward (2003) Managing project risk and uncertainty – A constructively simple approach to decision making
- Baxter (2010) Fast Track to Success

### External Web links

- [Alarm: Risk Excellence](#)
- [Institute of Risk Management](#)
- [The Health and Safety Executive](#)

### Relevant Theories, Frameworks and Models

- Delphi Technique and Multi-voting for prioritising risk
- RAID (Risks, Assumptions, Issues, Dependencies) logs

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** D/616/3235

**RQF level** 5

**Guided learning hours** 22

**Total unit time** 56

**Aims of unit** Quality may be defined as excellence, capacity, grade, worth or meeting customer expectations. Whilst the definition for quality can easily be found in a dictionary it is much harder to develop and maintain. This unit looks at the challenge of developing quality within organisations. It focuses on embedding continuous improvement into working practices. On successful achievement of this unit learners will understand the scope and purpose of quality management, approaches, tools and techniques for managing quality and how to judge its success.

**Keywords** Quality management, stakeholders, structures, continuous improvement, purpose, procedures

### Learning outcome 1

#### Understand the scope and purpose of quality management within organisations

#### Assessment criteria

- 1.1 Evaluate the **scope and purpose** of quality management within organisations
- 1.2 Analyse organisational **structures** for managing quality
- 1.3 Examine the **influence** of **stakeholders** in quality management
- 1.4 Analyse the impact of **quality management systems** on an organisation's activities

#### Indicative content

- 1.1 **Scope and purpose** may include but are not limited to meeting and managing and customer expectations, contribute to compliance, efficiency, effectiveness, business performance.
- 1.2 **Structures** may include but are not limited to organisational structure and reporting lines (departmental, functional, matrix, special interest groups/quality improvement groups/quality circles, a job role), responsibilities within the structure for leading and managing continuous improvement, compliance, audits, performance and compliance against standards, management of projects and programmes.
- 1.3 **Influence** may include but is not limited to different perspectives, motivations, priorities, working relationships, communication methods, power, authority.
- Stakeholders** may include but are not limited to individuals, business functions, departments, partners, suppliers, customers (internal and external).
- 1.4 **Quality management systems** may include but are not limited to policies, procedures, methods, work instructions and standards (mandatory, optional) local, industry (sector specific), international (e.g. International Organisation for Standardisation, ISO).

### Learning outcome 2

#### Understand approaches for managing quality

#### Assessment criteria

2.1 Evaluate **approaches** for managing and maintaining quality

2.2 Evaluate the **tools and techniques** used in quality management within an organisational setting

#### Indicative content

2.1 **Approaches** may include but are not limited to Six Sigma (Motorola, 1986), Statistical Process Control (SPC), LEAN methods, Total Quality Management (TQM) a shared organisation wide philosophy and ethos.

2.2 **Tools and techniques** may include but are not limited to Diagnostic (or sense making) techniques (e.g. influence diagrams, Rational Decision Making (Kepner and Tregoe, 1965), Soft Systems Methodology (SSM), Appreciative Enquiry (Cooperrider and Srivastva, 1980s), Delphi techniques, mind mapping and brainstorming);

Analytical techniques (e.g. Failure Mode and Criticality Analysis (FMECA), SWOT analysis, Six Thinking Hats (De Bono, 1986), Root Cause Analysis (5 Whys), Fishbone Analysis (Ishikawa, 1968), Design of Experiments (DoE), The Seven Wastes (7 Mudras), Pareto Principles (Juran, date), Quality Function Deployment (QFD), Plan, Do, Check, Act PDCA (Deming, c.1950s), Kano Model (Kano, 1980), SixSigma: Voice of the Customer (date));

Presentation techniques (e.g. histograms, pie charts and bar charts, variance analysis, data analysis and visualisation, Statistical Process Control (SPC), Cost of Poor Quality (CoPQ));

Manufacturing techniques (e.g. fit, finish, tolerances, parts and assemblies, tool room metrology, mistake proofing; value engineering, Overall Equipment Effectiveness (OEE), Design for Manufacturing and Assembly Techniques (DFMA), visual management, KANBAN boards.

#### Learning outcome 3

**Understand the application of continuous improvement within organisations**

#### Assessment criteria

3.1 Justify the use of **short** and **long term** strategies for continuous improvement

3.2 Evaluate the **process** for embedding continuous improvement within an organisational setting

#### Indicative content

3.1 **Short term** may include but are not limited to dramatic and fast, big steps, breakthrough, intermittent, involves a select few, risks can be high, technological change can be to innovative.

**Long term** may include but are not limited to small incremental steps, engages workforce, risk minimisation, impact on people, processes and culture.

3.2 **Process** may include but is not limited to Identify opportunities for short and long term improvements (e.g. build on success, respond to a problem, support customer need), identify long term goals and objectives, manage stakeholders involvement to get a perspective on priorities and how to improve customer growth and focus, identify and manage risk, set measurable objectives and key performance indicators/SMART objectives, develop improvement implementation plan and strategy (e.g. prototyping, parallel operations, big bang or pilot project), manage, monitor and evaluate outcomes of the improvement, repeat the improvement cycle.

#### Learning outcome 4

**Know how to judge the success of quality management**

#### Assessment criteria

4.1 Discuss how the effectiveness of quality management within an organisational context can be **assessed**

4.2 Evaluate the use and purpose of a **scorecard method** to judge the success of quality management

#### Indicative content

4.1 **Assessed** may include but are not limited to results and metrics, standards of quality, business impact, levels of waste and costs, suitability and application of policies, procedures and processes.

4.2 **Scorecard methods** many include but is not limited to Investors in People (IIP), Balanced Scorecard (Kaplan and Norton, 1992), European Foundation for Quality Management (EFQM), Baldrige Award,

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only. To enable this the unit has been written in the sequence in which quality and continuous improvement is carried out. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on managing quality and continuous improvement.
2. The learner may be asked to respond to a **scenario** based on how they would manage quality and continuous improvement within an organisation.
3. Learners may write a **report** based on the principles of managing quality and continuous improvement within an organisation.
4. The learner may draw upon their **own experience** of managing quality and continuous improvement within their own organisation.
5. They may present **work based evidence** accompanied by reports/reflective accounts to meet each success criteria.
6. Learners may produce a **guide** on managing quality and continuous improvement in the organisation.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

- A. Operational management
- B. Project management
- C. Finance

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LDB3 – Quality assure work in your team
- CFAM&LFE1 – Manage quality assurance systems

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Textbooks/eBooks

- Liker. J (2004) *The Toyota Way* McGraw Hill
- Womack. J and Jones. D, (2005) *Lean Solutions* Simon and Schuster

#### External Web links

- [CQI](#)
- [EFQM Leading Excellence](#)
- [European Organisation for Quality](#)

- [International Organisation for Standardisation, ISO](#)
- [Investors in People](#)
- [Kaizen Institute](#)
- [Report: Chartered Management Institute and Chartered Quality Institute: The contribution of quality management to the UK economy \(June 2012\)](#)

Relevant Theories, Frameworks and Models

- Appreciative Enquiry (Cooperrider and Srivastva, 1980s)
- Cost of Poor Quality (CoPQ)
- De Bono (1986) Six Thinking Hats
- Delphi techniques
- Deming (c. 1950s) Plan, Do, Check, Act PDCA
- Design for Manufacturing and Assembly Techniques (DFMA)
- Design of Experiments (DoE)
- Failure Mode and Criticality Analysis (FMECA)
- Ishikawa (1968) Fishbone Analysis
- Juran (c.1937) Pareto Principles
- KANBAN board
- Kano (1980) Kano Model
- Kaplan and Norton (1992) Balanced Scorecard
- Kepner and Tregoe (1965) Rational Decision Making
- LEAN methods
- Overall Equipment Effectiveness (OEE)
- Quality Function Deployment (QFD)
- Root Cause Analysis (5 Whys)
- Motorola, Inc (1986) Six Sigma
- Motorola, Inc (1986) SixSigma: Voice of the Customer
- Soft Systems Methodology (SSM)
- Statistical Process Control (SPC)
- The Seven Wastes (7 Mudass)
- Total Quality Management (TQM)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** H/616/3236

**RQF level** 5

**Guided learning hours** 22

**Total unit time** 56

**Aims of unit** Financial management skills are essential for all managers regardless of whether there is a dedicated finance team within an organisation. Financial acumen enhances decision making skills, which in turn supports management of projects, tasks and functional areas. This unit has been designed to enable learners to understand how financial systems within organisations operate. Learners will evaluate the sources of finance for organisations, and understand the principles for setting and managing budgets in line with regulatory and organisational guidelines. This unit has been designed to enhance the learner's confidence and credibility in financial management, which will translate into improved management skills.

**Keywords** Budgets, decision making, return on investment, management accounting, financial accounting, economic sustainability, marginal and standard costing, expenditures, revenue, capital, balance sheet, profit and loss statements, assets, capital markets, retained earnings, bank borrowing, government schemes, venture capital, trade credit, factoring, leasing, business angels.

### Learning outcome 1

#### Understand finance within organisations

#### Assessment criteria

- 1.1 Analyse the **relationship** between the financial function and other functional areas within organisations
- 1.2 Examine the impact of **financial objectives** on decision making within organisations
- 1.3 Differentiate between **management accounting** and **financial accounting**
- 1.4 Analyse the impact of **organisational** and **regulatory frameworks** on an organisation's approach to financial management
- 1.5 Analyse the **challenges** organisations face accessing finance

#### Indicative content

- 1.1 **Relationship** may include but are not limited to role of finance, interaction between other divisions/departments.
- 1.2 **Financial objectives** may include but are not limited to cost minimisation, growth, profit maximisation, value for money, economic sustainability, return on investment.
- 1.3 **Management accounting** may include but is not limited to budgets, cash flow, revenue, capital expenditures, marginal and standard costing, break even analysis, activity based costing, budgetary control and variance analysis.
- Financial accounting** may include but is not limited to balance sheets, profit and loss accounts.
- 1.4 **Organisational** frameworks may include but are not limited to governance, protocols, limits of authority, reporting lines, ownership, whistle blowing, policies and procedures, financial misconduct, procurement.
- Regulatory frameworks** may include but are not limited to Companies Act 2006, Partnership Act 1890,

Consumer Credit Act 2006, Consumer Protection Act 1987, Freedom of Information Act 2000, General Data Protection Regulation (GDPR) 2018, The National Minimum Wage (Amendment) Regulations 2016, Trade Descriptions 1968, Finance Act 2017, International Financial Reporting Standards (IFRS's)

1.5 **Challenges** may include but are not limited to organisational size and strategic intent, attitude to risk and innovation, past performance, administrative capability.

## Learning outcome 2

### Know how to set and manage budgets

#### Assessment criteria

- 2.1 Differentiate between **budget setting** and **financial forecasting**
- 2.2 Evaluate budget setting **approaches** used by organisations
- 2.3 Formulate and justify a **budget** for an area of management responsibility
- 2.4 Analyse the **factors** that impact on budget management
- 2.5 Specify **corrective actions** to be taken in response to budgetary variance
- 2.6 Discuss **reporting procedures** for authorising corrective actions to a budget

#### Indicative content

- 2.1 **Budget setting** and **financial forecasting** refer to differences between the two financial planning techniques.
- 2.2 **Approaches** may include but are not limited to zero based, incremental, fixed and flexible.
- 2.3 **Budget** may include but is not limited to annual, quarterly and monthly forecast and budget amounts, financial business case.
- 2.4 **Factors** may include but are not limited to variances and factors contributing to under and over performance, conflicts, funding reductions, market conditions, increased costs.
- 2.5 **Corrective actions** may include but are not limited to reduce costs, reduce resource and materials usage.
- 2.6 **Reporting procedures** may include but are not limited to financial reporting procedures, tolerances, contingency, devolved budgeting, virement.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of managing finance in an organisation.
2. The learner may be asked to respond to a **scenario** based on how they would develop a financial business case.
3. The learner will be asked to **formulate a budget** and include a **management commentary** to justify recommendations.
4. Learners may write a **report** based on the principles of financial management.
5. The learner may draw upon their **own experience** of formulating budgets and managing finance within their own organisation.
6. They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

### *C. Finance*

- C1 Business finance: how to set budgets
- C2 How to manage budgets
- C3 Financial forecasting
- C4 Monitor budgets
- C5 Provide financial reports
- C6 Consider the financial implications of decisions and adjust approach/recommendations accordingly

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LEA3 – Manage the use of financial resources
- CFAM&LEA4 – Manage budgets

## Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

### External Web links

- [Financial Reporting Council](#)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.



**Ofqual unit number** D/616/8824

**RQF level** 5

**Guided learning hours** 26

**Total unit time** 50

**Aims of unit** The ability to analyse and manage data and information can lead to increased competitiveness, innovation, productivity and customer satisfaction. However, with data and information volumes increasing at unprecedented levels, the ability to interpret, use, and harness 'big data' can become an organisational challenge. The aim of this unit is to equip learners with an understanding of the purpose and practices of interpreting, managing and presenting business data and information to inform decision making.

**Keywords** Data, information, types, sources, criteria, organisational frameworks, legal frameworks, General Data Protection Regulation, Freedom of Information Act, risk assessment, Management Information Systems, data analytics, records management, statistical analysis, cost benefit analysis, options appraisal, grid analysis, Decision Model, Rational Decision Making, OODA Loops, communications channels, communications model.

### Learning outcome 1

#### Understand the use of data and information in decision making

#### Assessment criteria

- 1.1 Analyse the use of **data and information** in decision making
- 1.2 Examine **types** of data and information used in decision making
- 1.3 Analyse the impact of **organisational** and **legal frameworks** on the use of data and information in decision making
- 1.4 Discuss the impact of stakeholder **needs** on the collection, analysis and interpretation of data and information for decision making

#### Indicative content

1.1 **Purpose** may include but is not limited to knowledge sharing and collaboration, knowledge as a business asset, supporting business activities, business planning, business opportunities and organisational decision making.

**Data and information** may include but is not limited to Data, Information, Knowledge, Wisdom (DIKW) model (Ackoff, 1989), tacit and explicit knowledge (Socialisation, Externalisation, Combination, Internalisation (SECI) Model (Nonaka and Takeuchi, 1996), knowledge and know how (Collison and Parcell, 2004).

1.2 **Types** may include but are not limited to tacit, explicit, classifications (e.g. confidential, restricted, top secret), internal and external, primary and secondary, qualitative, quantitative, structured and unstructured.

1.3 **Organisational frameworks** may include but is not limited communication and knowledge sharing policies, procedures and protocols, safety, security, risk, reporting and audit, approval levels for access to data and information.

**Legal frameworks** refers to General Data Protection Regulation (GDPR) 2018, Freedom of Information Act (2000), Digital Economy Act (2017) and any other sector specific regulations.

1.4 **Needs** may include but are not limited to compliance, objectives, feedback, gap fill

## Learning outcome 2

### Be able to interpret data and information to support decision making

#### Assessment criteria

2.1 Discuss **criteria** used for selection of data and information

2.2 Evaluate the use of **tools and techniques** for analysing and interpreting data and information to support decision making

#### Indicative content

2.1 **Criteria** refers to accuracy, validity, reliability, timeliness, currency, relevance, completeness, authenticity, use of data analytics and statistical analysis methods.

2.2 **Tools and techniques** may include but are not limited to strategic, tactical and operational, Cost Benefit Analysis (CBA), options appraisal, grid analysis, Decision Model (Vroom Yetton, 1973), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops (c. 2000), data mining, Structured Query Language (SQL), excel spreadsheets, charts and graphs.

## Learning outcome 3

### Know how to present data and information used for decision making

#### Assessment criteria

3.1 Evaluate **methods** of presenting data and information used for decision making

#### Indicative content

3.1 **Methods** may include but are not limited to formal, informal, verbal, non-verbal, electronic, written, visual, face to face, briefings, meetings, data visualisation, dashboards, presentations, reports, charts, diagrams, infographics.

## Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to respond to a **scenario** based on how they would manage and share data and information.
2. Learners may write a based on the principles of managing and sharing data and information. **report**
3. The learner may draw upon their **own experience** of managing and sharing data and information.
4. The learner may present work based evidence accompanied by **reports/reflective accounts** to meet each assessment criteria.
5. Learners may wish to create a **guide** on how to manage business data and information within an organisation.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/Departmental Manager ST0385/01:

- A. Operational Management
- B. Project Management
- F. Building Relationships

### Suggested reading/web resource materials

#### External Weblinks

- [Financial Reporting Council](#)
- [National Audit Commission](#)
- [Public Sector Audit Appointments Ltd Audit Commission, 2009](#)

#### Relevant Theories, Frameworks and Models

- Ackoff (1989) Data, Information, Knowledge, Wisdom (DIKW) Model
- Collison and Parcell (2004) Knowledge Management
- Nonaka and Takeuchi (1995) Socialisation, Externalisation, Combination, Internalisation (SECI) Model
- Edwards (2009) People, Process, Technology
- Drucker (1959) The Knowledge Worker
- Vroom Yetton (1973) Decision Model
- Kepner Tregoe (1965) Rational Decision Making
- Boyd (date) OODA Loops

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** M/616/3238

**RQF level** 5

**Guided learning hours** 22

**Total unit time** 49

**Aims of unit** Delivering an exceptional customer experience is a challenge which requires skill, commitment, and an in-depth understanding of customer needs. The aim of the unit is to develop managers understanding of their role and responsibilities in managing the customer experience. Learners will develop an understanding of the key features of a customer service culture and the customer journey, which if managed effectively will impact on an organisations success.

**Keywords** Customer relationships, key features, benefits and challenges, legal and organisational frameworks, customer journey, customer complaints, use of technology, measuring customer experience, continuous improvement.

#### Learning outcome 1

#### Understand the principles of managing the customer experience

#### Assessment criteria

- 1.1 Analyse the **factors** which influence the relationship organisations build with customers
- 1.2 Assess the **key features** of a customer focused culture
- 1.3 Examine the **benefits** and **challenges** of managing the customer experience
- 1.4 Examine the impact of **organisational** and **legal frameworks** on the management of the customer experience

#### Indicative content

1.1 **Factors** may include but are not limited to paying at point of sale, through taxation, non-paying, degree of choice (public/private sector), nature of contact (e.g. internal, external, face to face, virtual), balance of power, cultural factors.

1.2 **Key features** may include but are not limited to vision, mission, aims and objectives, organisation structured around customer needs, customer needs a priority at all levels, shared values, beliefs and behaviours, high concern for customers at point of sale/contact and after sale/contact, seeks feedback, customer involvement, measures customer satisfaction, co-creation, commitment to quality, innovation, ethics (Cook, 2010, Frei and Morriss, 2012).

1.3 **Benefits** may include but are not limited to competitive advantage, raising barriers to switching, reputation/brand, customer loyalty, revenue/profitability/financial stability, business continuity, staff satisfaction and retention, recommendation, loyalty and advocacy.

**Challenges** may include but are not limited to increasing customer expectations, limited resources, rising costs, compensation culture, changes in expectations, employee and contractor commitment to values, continuity across supply chain, conflict of priorities, approaches to complaint handling.

1.4 **Organisational** may include but are not limited to policies, procedures, charters, service level agreements.

**Legal** may include but are not limited to Consumer Protection Act 1987, General Data Protection Regulation (GDPR, 2018), Consumer Credit Act 2006, Financial Conduct Authority, Equality Act 2010, Health and Safety

at Work Act 1974, Freedom of Information Act 2000, Sale of Goods Act 1979 and any sector specific regulations.

## Learning outcome 2

### Understand the customer journey in the context of an organisation

#### Assessment criteria

- 2.1 Analyse the **customer journey** within the context of an organisation
- 2.2 Examine the **role and responsibilities** of stakeholders supporting the customer journey

#### Indicative content

- 2.1 **Customer journey** refers to key points and interactions and may include but are not limited to moments of truth, tangible and intangible aspects, involvement of other departments, divisions, suppliers, partners, contractors. (Frei and Morriss, 2012; Carlzon, 2001), face to face, remote, virtual/digital.
- 2.2 **Role and responsibilities** refers to internal: team members, line managers, senior managers; external: pressure groups, government agencies; connected: suppliers, partners, contractor and may include but are not limited to delivery of product or service, ensuring service quality, handling queries and complaints, solving problems, providing advice and information.

## Learning outcome 3

### Know how to manage the customer experience

#### Assessment criteria

- 3.1 Evaluate **approaches to leading** the delivery of the customer experience
- 3.2 Examine **good practice** in managing customer complaints
- 3.3 Analyse the **use of technology** in managing the customer experience

#### Indicative content

- 3.1 **Approaches to leading** may include but are not limited to communication of vision, commitment to exceed expectations, nurture key relationships, learning and development, coaching and mentoring, listen to ideas, recruit staff with positive attitude, resilience and commitment to customer service, reward good practice, empowerment, delegated authority, customisation/personalisation, finding new/retaining customers, developing policies, procedures and charters (Cook, 2010).
- 3.2 **Good practice** may include but is not limited to an organisational culture which welcomes complaints to improve service, responsibility for investigation, empowered staff, transparent processes and procedures, timely responses, compensation arrangements, authority in decision making (Faulkner, 2003), evidence-based explanations and responses, record keeping, complaint monitoring to identify patterns and trends, action to reduce complaints, review of policies and procedures.
- 3.3 **Use of technology** may include but are not limited to customer relationship management (CRM) systems, social media, data gathering, websites, self-help sites, video, virtual and augmented reality, virtual assistants, connected devices, website forums, insights/data management/metrics, profiling and monitoring of buyer behaviour, artificial intelligence.

## Learning outcome 4

### Know how to monitor and measure the customer experience

#### Assessment criteria

4.1 Evaluate **methods** used to monitor and measure the customer experience

4.2 Recommend approaches to **improve** the customer experience in the context of an organisation

### Indicative content

4.1 **Methods** may include but are not limited to measures (key performance indicators, complaints, retention, perceptions, reach and revenue, willingness to recommend), brand advocacy, customer lifetime value, Net Promoter Score (NPS), polls, badges, ratings, observation, surveys, analysis of data, reporting cycles, benchmarking.

4.2 **Improve** may include but is not limited to reporting structure, levels of authority, resource implications, business case, learning and development, quality improvement, business process improvement, software solutions, customer support improvements.

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on managing the customer experience in an organisation.
2. The learner may be asked to respond to a **scenario** based on how they would manage the customer experience.
3. Learners may write a **report** based on the principles of managing the customer experience.
4. The learner may draw upon their **own experience** of managing the customer experience within their own organisation.
5. They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.
6. Learners may wish to create a **guide** on how to manage the customer experience in the context of an organisation.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/ Departmental Manager ST0385/01:

- A. Operational Management
- E. Managing People
- F. Building Relationships
- G. Communication

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Checklists

- [Checklist 066 – Handling Complaints](#)
- [Checklist 156 – Building a Customer-Focused Organisation](#)

#### Textbooks/eBooks

- Cook. S (2010) *Customer Care Excellence: How to Create an Effective Customer Focus*, London, Kogan Page
- Goodman (2014) *Customer Experience 3.0*, Amacom

- Watkinson. M (2013) *The Ten Principles Behind Great Customer Experiences*, Harlow, Pearson Education

Relevant Theories, Frameworks and Models

- Carlzon (2001) Moments of Truth
- Watkinson (2013)
- Cook (2010)
- Frei and Morriss (2012)
- Faulkener (2003)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** K/616/3240

**RQF level** 5

**Guided learning hours** 23

**Total unit time** 55

**Aims of unit** Marketing products and services is an activity which can be applied to a myriad of different business contexts. From utilising technology to create new processes and support services to improve the customer experience through to developing or adapting products or services to meet changing needs, the principles of marketing remain the same. The aim of this unit is for the learner to understand the role of marketing to achieve organisational objectives. The learner will analyse the marketing environment, understand how to market a product or service and know how to judge the success of marketing outcomes.

**Keywords** Product and service development, marketing environment, marketing planning, competitiveness, innovation, goals, objectives, key performance indicators, strategies, growth, market share, customer focus, stakeholder engagement, product, price, place, promotion, service marketing.

#### Learning outcome 1

**Understand the role of marketing to support the achievement of organisational objectives**

#### Assessment criteria

1.1 Evaluate the **role** of marketing to support the achievement of organisational objectives

#### Indicative content

1.1 **Role** may include but is not limited to identify, anticipate, satisfy needs of customers, service users and beneficiaries, translate goals into actions, direction, influence divisions'/departments' activities, support innovation, build stakeholder relationships and value, communication planning, inform resource allocation, grow revenue, drive profitability.

#### Learning outcome 2

**Understand the factors in the organisation's marketing environment which impact on the marketing of a product or service**

#### Assessment criteria

2.1 Evaluate the influence of **stakeholders** on an organisation's approach to marketing a product or service

2.2 Examine the impact of an organisation's **strengths and weaknesses** on the marketing of a product or service

2.3 Examine the impact of **opportunities** and **threats** in the marketing environment on the marketing of a product or service

#### Indicative content

2.1 **Stakeholders** may include but are not limited to individuals, groups, public, private, business to business



(B2B), business to consumer (B2C), consumer to consumer (C2C), peer to peer (P2P), internal, external, customers and consumers (paying and non-paying, freedom of choice or only option for selection), partners, suppliers, face to face, virtual, (Ladder of Loyalty, Christopher et al, 1991).

2.2 **Strengths and weaknesses** may include but are not limited to mission, vision, strategic intent, culture financial performance, pricing, core competencies, availability of resources and skills, stakeholder relationships, research and development, brand reputation and value, market share, market position, customer satisfaction and loyalty, unique selling proposition (USP), product life cycle and refers to the use of analytical tools such as product portfolio analysis (Boston Matrix, Henderson, 1968, GE Matrix, McKinsey, 1970), Porter's Value Chain analysis (1985).

2.3 **Opportunities and threats** may include but are not limited to political, economic, social, technological, legal/political (e.g. General Data Protection Regulation (GDPR) 2018), environmental factors (PESTLE), industry life cycle, ethics, innovation, competition (Porter's Five Forces Analysis, Porter, 2008) and gap analysis, consumer decision making process, buyer behaviour, supply chain, distribution channels, industry dynamics and trends, influence of media, pressure groups.

### Learning outcome 3

#### Know how to market a product or service

#### Assessment criteria

- 3.1 Recommend **approaches** to support the marketing of a product or service
- 3.2 Develop a tactical plan to market a product or service using the **marketing mix**
- 3.3 Analyse **resource** requirements to market a product or service
- 3.4 Analyse **risks** that could impact on the marketing of a product or service
- 3.5 Examine **methods** used to measure marketing outcomes

#### Indicative content

3.1 **Approaches** may include but are not limited to customer/market segmentation, targeting, positioning (STP), market penetration, product development (including improvements to process or service delivery), new market entry, diversification – related and unrelated (Ansoff Growth Matrix, 1957), Co-creation (date), Reach, Act, Covert, Engage (RACE) (Chaffey, 2010), stakeholder relationship management and engagement (Egan, 2011) and internal/external communication.

3.2 **Marketing mix** refers to 4Ps (McCarthy, c.1960) and 7Ps (Booms & Bitner, 1981), and must refer to SMART objectives.

3.3 **Resources** may include but are not limited to budget, internal resources (e.g. human resource, in-house expertise), external resources (e.g. specialist agencies, partners and suppliers), equipment, materials, and time.

3.4 **Risks** may include but are not limited to organisational buy-in, stakeholder commitment, organisational and resource capabilities, physical resources, finance, communication, consumer acceptance, competitors, market conditions, brand name and reputation, organisational change compliance (legal: e.g. General Data Protection Regulation (GDPR) 2018, Sale of Goods Act 1979, Trade Descriptions Act 1968, Charities Act 1971; codes of conduct.

3.5 **Methods** may include but are not limited to key performance indicators (KPI), financial measures (e.g. return on investment (ROI)), market share, brand recall/recognition, loyalty, satisfaction, advocacy, net promoter score (NPS), campaign and digital analytics and metrics.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on the principles of marketing product or services.

2. The learner may be asked to respond to a **scenario** based on how they would develop and market a product or service for their chosen organisation.
3. Learners may write a **report** based on the principles of developing and marketing products or services.
4. The learner may draw upon their **own experience** of formulating plans to develop and market a product or service within their own organisation.
5. They may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/ Departmental Manager ST0385/01:

- Operational management
- Decision making
- Communication

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LFB1 – Develop understanding of your markets and customers

#### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

##### Relevant Theories, Frameworks and Models

- Booms and Bitner (1981) 7Ps of Marketing
- Christopher et al (1991) Ladder of Loyalty
- Egan (2011) Relationship Marketing
- Henderson (1968) Boston Matrix
- Humphries (c.1960) SWOT
- Kaplan and Norton (1992) Balanced Scorecard
- McCarthy (c.1960) 4Ps of Marketing
- McKinsey (1970) GE Matrix
- Porter (1985) Value Chain Analysis
- Porter (2008) Five Forces Analysis

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** T/616/3242

**RQF level** 5

**Guided learning hours** 30

**Total unit time** 96

**Aims of unit** Research into approaches to management and leadership can lead to dynamic results. Innovation, product development, performance improvement, change, customer service excellence, strategy and problem solving are just some of the results. Without research business can stagnate. The aim of the unit is for the learner to conduct management research which will have an impact on organisational practice. It is expected that learners will plan and manage a genuine project in the workplace or an academic enquiry relevant to an identified business need or challenge.

**Keywords** Project proposal, reason for research, scope, aims and objectives, research methodologies, stakeholders, knowledge, conduct research, analyse, interpret and evaluate findings, option or alternative, conclusions, recommendations, impact.

### Learning outcome 1

#### Know how to plan a management project

#### Assessment criteria

- 1.1 Develop the **aim, objectives and scope** of a proposed **management project**
- 1.2 Specify a research **approach** for the proposed management project
- 1.3 Specify the **research methods** to be used to collect data and information
- 1.4 Analyse the **role** of stakeholders involved in the management project
- 1.5 Examine the **factors** that need to be considered when developing a plan for the management project

#### Indicative content

b.2 **Aim, objectives and scope** may include but are not limited to use of specific, measurable, achievable, realistic, timebound (SMART) objectives, overall aim, rationale, in/out of scope, outline of research proposal/topic, research question, hypothesis, deliverables (tangible and intangible).

**Management project** refers to a genuine project in the workplace or an academic enquiry in response to a business need/challenge. It may include but is not limited to innovation, product development, problem solving, change, performance improvement, market entry, strategy, customer service initiative, process design.

1.2 **Approach** may include but is not limited to inductive, deductive, quantitative, qualitative, primary, secondary, review of literature. (Maylor, 2005; Saunders, Thornhill and Lewis, 2012; Gill and Johnson, 2010; Maylor 2017).

1.3 **Research methods** may include but are not limited to questionnaire, survey, interviews, focus groups, experiments, observation.

1.4 **Role** may include but is not limited to power, influence, levels and process of decision making, lines and limits of authority, risk management, agreeing shared goals (Friedman and Miles, 2006; Egan, 2006), advisor, sponsor, supervisor, Responsibility, Authority, Expertise, Work (RAEW)/Responsible, Accountable, Consulted, Informed (RACI) (Crane, c.1970s).

1.5 **Factors** may include but are not limited to schedule and milestones, deliverables, resources, contracts

and agreements e.g. confidentiality and ethics, data protection, project planning tools (e.g. Gantt charts), assumptions, success criteria, constraints, risk analysis, communications strategy (Saunders and Lewis, 2011).

## Learning outcome 2

### Be able to conduct a management project

#### Assessment criteria

- 2.1 Conduct **research** to deliver the management project
- 2.2 Analyse and interpret research findings using relevant **tools and techniques**
- 2.3 Use research findings to **analyse options** to meet the project aim
- 2.4 Draw **conclusions** and propose **recommendations**

#### Indicative content

2.1 **Research** refers to data and information which is sufficient, current, authentic, reliable and valid. It may include but is not limited to review of concepts, theories and assumptions (literature review), analysis of legislation/policy/industry standards, understanding of market trends, knowledge of organisation and industry sector, comparative study across organisations/countries /cultures, primary/secondary/qualitative/quantitative data and information.

2.2 **Tools and techniques** may include but are not limited to use of quantitative techniques e.g. software tools, statistical analysis and qualitative techniques e.g. Framework Analysis (Pope et al, 2000), Thematic Network Analysis (Attride-Stirling, 2001), triangulation.

2.3 **Analyse options** refers to the use of tools such as Cost Benefit Analysis (CBA), options appraisal, key performance indicators (KPI), grid analysis, Expectancy Theory (Vroom, 1964), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops (Boyd, 1998).

2.4 **Conclusions** may include but are not limited to summary of research, results of analysis, limitations of research, impact of limitations on findings, key themes leading to recommendations.

**Recommendations** may include but are not limited to priorities, actions to be taken, impact on organisation.

#### Recommendations for assessment

Learners may approach the assessment in two ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to **propose, conduct and report on a management project** in the workplace.
2. Learners may write a **report** of a management project conducted to satisfy an **academic management enquiry**.

#### Further guidance

To meet the requirements of AC1.1 Develop a **proposal** to conduct a **management project**, the learner is required to submit an outline proposal to conduct a project which must be approved before commencement of the remaining assessment criteria.

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations/ Departmental Manager ST0385/01:

- B. Project Management
- I. Management of Self

J. Decision Making  
K. Behaviours

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LFA5 – Manage projects

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Textbooks/eBooks

- Easterby-Smith, Thorpe, Jackson (2015) *Management and Business Research*, Sage Publications
- Saunders, Thornhill and Lewis (2015) *Research Methods for Business Students*, Pearson

#### Relevant Theories, Frameworks and Models

- Attride-Stirling, (2001) Thematic Network Analysis (Attride-Stirling, 2001)
- Boyd (1998) OODA Loops
- Cost Benefit Analysis (CBA)
- Gill and Johnson (2010)
- Kepner Tregoe, (1965), Rational Decision Making
- Pope et al (2000) Framework Analysis
- Saunders and Lewis (2011)
- Smith and Erwin (2005) RACI
- Triangulation
- Vroom (1964) Expectancy Theory

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** F/616/3244

**RQF level** 5

**Guided learning hours** 16

**Total unit time** 44

**Aims of unit** Reflective practice is an essential management tool which supports the development of knowledge, skills and behaviours in the work place. By consciously analysing own performance, decision making, leadership and management skills (in different situational contexts); opportunities for on-going development can be identified. The aim of the unit is to equip learners with the understanding of the value of reflective practice, and how reflection can be used as the basis of a meaningful personal and professional development.

**Keywords** Professional development, reflection, continuous, performance, working style, opportunities, planning, professional practice, currency of practice, licence to practice, development needs, learning and development.

#### Learning outcome 1

#### Understand the value of reflective practice to inform personal and professional development

#### Assessment criteria

- 1.1 Analyse the importance of **continuous personal** and **professional development** in achieving organisational objectives
- 1.2 Evaluate the use of **reflective practice** in personal and professional development
- 1.3 Evaluate **approaches** to reflective practice

#### Indicative content

b.2 **Continuous** may include but is not limited to life-long learning, maintain currency of skills and knowledge, effectiveness, impact, achievement.

**Personal** knowledge and skills that may not relate to a current or future work role e.g. learning a language, mindfulness, fitness and sport.

**Professional** may include but are not limited to knowledge and skills that directly relate to a current or future work role e.g. a job-related qualification, professional membership or status, on job training (Pedler, Burgoyne, Boydell (2007), Mullins (2013), Torrington et al (2008)).

1.2 **Reflective practice** may include but is not limited to self-management, develop insights, reflexivity, decision making in different situational contexts, critical reflection to assess skills, competencies, behaviours of professionalism, self-awareness, mental toughness (Lyons, 2015), Emotional Intelligence (Goleman, 1995).

1.3 **Approaches** may include but are not limited to learning cycle, deep and surface learning, appraisal including self and peer review, 360 degree, methods of setting goals and reviewing progress, group and individual learning, (Model of Structured Reflection, Johns, 1994), Reflective Cycle (Gibbs, 1995), Learning Cycle (Kolb, 1984).

## Learning outcome 2

### Know how to apply reflective practice to inform personal and professional development

#### Assessment criteria

- 2.1 Evaluate own **performance** in the workplace using principles of reflection
- 2.2 Reflect on own **working style** and its impact on others in the workplace
- 2.3 Analyse **development needs** for current and future roles
- 2.4 Examine **development opportunities** to meet short, medium and long term objectives
- 2.5 Create a **personal development plan** with measurable objectives

#### Indicative content

2.1 **Own performance** refers to knowledge, skills/competencies, behaviours including Emotional Intelligence (Goleman, 1995) against short, medium and long term requirements of the role, organisational objectives and professional standards.

2.2 **Working style** may also include but is not limited to Team Roles (Belbin, 1981), Type Indicator (Myers Brigg, 1943), Transactional Analysis (Berne, c.1950), Drivers (Kasozi and Dehaan, 2014), Co-worker relationships (McIntyre, 2011), behavioural profiling and assessments e.g. DISC (Tate, 2014), Team Wheel (Margerison and McCann, 1989).

2.3 **Development needs** refer to knowledge, skills and behaviours.

2.4 **Development opportunities** refer to learning styles and may include but are not limited to formal and informal, social and collaborative learning, on the job and off the job, face to face, blended or online learning, coaching and mentoring.

2.5 **Personal development plan** refers to short, medium and long term time bound objectives, development needs, resources, support, development opportunities, review and evaluation methods.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be covered. To enable this to be achieved effectively the unit has been written in the sequence in which personal reflection, review and planning is carried out.

The following opportunities are recommendations for guidance purposes only:

1. The learner should draw upon their **own experiences** from their current work role (paid or voluntary). Reflective practice is not constrained by being in a particular role and can include planning for a future role.
2. Learners may present **work based evidence** (including personal development plans) accompanied by reports or reflective accounts to meet each of the assessment criteria.

#### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

##### *H. Self-awareness*

- H1 Own impact through self-awareness
- H2 Emotional intelligence

- H3 Different learning and behaviour styles
- H4 Reflect on own performance
- H5 Reflect on own working style and its impact on others

b. *Management of self*

- I1 How to create a personal development plan
- I4 Create a personal development plan

This unit is aligned to the following National Occupational Standards (NOS) for Management and Leadership (2012):

- CFAM&LAA1 – Manage yourself
- CFAM&LAA2 – Develop your skills, knowledge and competence
- CFAM&LAA3 – Develop and maintain your professional networks

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Management Models

- Gibbs' Reflective Cycle
- Kolb's Learning Cycle

#### Relevant Theories, Frameworks and Models

- Belbin (1981) Team Roles
- Berne (c.1950) Transactional Analysis
- Gibbs (1995) The Reflective Cycle
- Goleman (1995) Emotional Intelligence
- Johns (1994) Model of Structured Reflection
- Kasozi and Dehaan, 2014 Drivers
- Kolb (1984) The Learning Cycle
- Lyons (2015) Mental Toughness
- Margerison and McCann (1990) Team Management Wheel
- McIntyre (2011) Co-worker relationships
- Mullins (2013)
- Myers Briggs (1943) Type Indicator
- Pedler, Burgoyne, Boydell (2007)
- Schön (1987) The Reflective Practitioner
- Tate (2014) DISC
- Torrington et al (2008)

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

ManagementDirect resources require CMI membership and a username and password.



**Ofqual unit number** J/616/8817

**RQF level** 5

**Guided learning hours** 30

**Total unit time** 78

**Barred combinations** CMI 501 and 502

**Aims of unit** The aim of this unit is to develop managers' understanding of ethical leadership and the impact of culture and values on leadership. Managers will examine leadership models and the concept of empowerment, with consideration of techniques and methods for leading others.

**Keywords** Culture and values, ethical and value-based leadership, external factors, leadership factors, different contexts, empowerment, leadership techniques, team cohesion, methods for inspiring others.

### Learning outcome 1

#### Understand leadership practice in an organisation

#### Assessment criteria

- 1.1 Examine leadership **practices** within organisations
- 1.2 Evaluate the use of **theoretical approaches** to responsible leadership
- 1.3 Analyse the impact of **internal** and **external** factors on leadership practice

#### Indicative content

1.1 **Practices** may include but not limited to the differing roles and responsibilities of leaders in organisations, distributed leadership, effective leadership, leadership development.

1.2 **Theoretical approaches** may include but are not limited to Responsible Leadership (Maak & Pless 2006), Ethical Leadership (Brown, Treviño and Harrison, 2005), Value-based Leadership, Value-driven Leadership (Gentile, 2014) and Leading with Integrity (Blanchard, 2011).

1.3 **Internal factors** may include but are not limited to organisational mission, vision and values, organisational culture (Cultural Web, Johnson and Scholes 1992; Culture and Leadership, Schein 1985), structure, roles, policies and procedures. Cultural Dimensions (Hofstede, 1980, 2001), national cultures, customs and language, organisational resources, such as staff, technology, finances and physical resources (e.g. machinery, equipment).

**External factors** may include but are not limited to legal, regulatory and ethical requirements, market expectations/demands (buyers, suppliers, customers), competition, economic stability, customer, partner and supply chain relationships, demographic factors, skills and educational attainment of labour pool, reputation of organisation

### Learning outcome 2

#### Understand leadership styles

#### Assessment criteria

- 2.1 Examine the **relationship** between management and leadership

## 2.2 Evaluate leadership styles

### Indicative content

2.1 **Relationship** refers to the balance between the demands of leadership and the demands of management.

2.2 **Leadership styles** may include but are not limited to Entrepreneurial Leadership (Roebuck 2014), Transformational Leadership (Bass 1995), Managerial Grid (Blake and Mouton, c.1950s), Leadership Continuum (Tannenbaum and Schmidt, 1958), Situational Leadership (Hersey and Blanchard, 1969), Authentic Leadership (Goffee and Jones, 2011), Five Practices of Exemplary Leadership (Kouzes and Posner, 1987), Leadership Qualities (Bennis, 1989), Leadership Styles (Goleman, 1995), Action-Centred Leadership (Adair, 1963), Charismatic Leadership (House, 1997).

### Learning outcome 3

#### Understand the impact of leadership within organisations

#### Assessment criteria

3.1 Evaluate how leadership **supports** the achievement of organisational objectives

3.2 Analyse the concept of **empowerment and trust** in leading others

3.3 Examine **techniques** for creating a cohesive team

3.4 Assess the need to adapt leadership approaches to meet **changing needs**

#### Indicative content

3.1 **Supports** may include but not limited to setting and communicating a clear vision, individual/team development and performance, developing a leadership culture, engaging others, managing and leading change.

3.2 **Empowerment and trust** may include but is not limited to delegation, development of skills, knowledge and confidence of staff, independent working, engagement, coaching and mentoring, supportive leadership, commitment, self-regulating teams, productivity gains, job satisfaction, engagement, impact of structure, clear limits of responsibility and levels of authority, review and evaluation, leader retains accountability.

3.3 **Techniques** may include but are not limited to clear focus, empathy, fair treatment, value diversity, inclusive approach, provide support, prevent conflict, sense of belonging, clear roles, higher performing teams (Colenso, date), ABCD Trust Model (Blanchard, 2010), Five Dysfunctions of a Team (Lencioni, 2005), Leadership Qualities (Bennis, 1989).

3.2 **Approaches** may include but not limited to leadership styles such as Situational Leadership (Hersey and Blanchard, 1977), Entrepreneurial Leadership (Roebuck 2014); Leading Change (Kotter, 1996, 2012); Developing Strategic Mindsets; Collaborative Working (internally and externally).

**Changing needs** may include but are not limited to team composition, type and size, maturity and competence, organisational change, objectives (e.g. innovation, business growth and survival, corporate social responsibility), emerging trends, crisis and emergency working.

#### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write an **account** or **assignment** on approaches to leading others.
2. The learner may be asked to respond to a **scenario** based on how they would lead others.
3. Learners may write a **report** based on the principles of leadership.
4. The learner may draw upon their **own experience** of leading teams and individuals within their own organisation. They may present work based evidence accompanied by reports/reflective accounts to meet each assessment criterion.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence that they sufficiently understand the assessment criteria.

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for Operations / Departmental Manager ST0385/01:

- D. Leading People
- F. Building Relationships
- G. Communication
- K. Behaviours

### Suggested reading/web resource materials

Reading/resource materials available on ManagementDirect

#### Relevant Theories, Frameworks and Models

- Hofstede (date) Cultural Dimensions (Hofstede, date)
- Handy (2008) Gods of Management
- Johnson and Scholes (date) Cultural Web
- Schein (1985) Organisational Culture and Leadership
- Gentile (2014) Values Driven Leadership
- Calenso (date) Higher Performing Teams
- Blake and Mouton (date) Managerial Grid
- Tannenbaum and Schmidt (date) Leadership Continuum
- Hersey and Blanchard (date) Situational Leadership
- Goffee and Jones (2011) Authentic Leadership
- Kouzes and Posner (date) Five Factors of Excellent Leadership
- Bennis (1989) Leadership Qualities
- Goleman (date) Leadership Styles
- Adair (date) Action-Centred Leadership
- Blanchard (2010) ABCD Trust Model
- Lencioni (2005) Five Dysfunctions of a Team

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The content of the list is liable to change. The content was checked for accuracy at the time of unit development.

Please note: all references to legislation may be subject to subsequent changes, deletions and replacements. ManagementDirect resources require CMI membership and a username and password.

**Ofqual unit number** H/617/4463

**RQF level** 6

**Guided learning hours** 20

**Total unit time** 60

**Aims of unit** Corporate Social Responsibility (CSR) and sustainability are topics keenly related to organisational accountability. Definitions and approaches taken to manage and lead CSR and sustainability vary according to the type and purpose of an organisation and its governance. Approaches typically include the development of aims and objectives, policy and strategy, with the intent to address the impact of an organisation's activity on society, the environment and a commitment to ethical and responsible conduct.

The aim of this unit is to enable professional managers and leaders to understand CSR and sustainability in an organisational context. They will assess the enablers, constraints and barriers to its success, present a case for organisational engagement, identify approaches for its implementation and ultimately, identify strategies to gain ongoing stakeholder commitment.

**Keywords** Corporate social responsibility, sustainability, enablers, constraints, barriers, theoretical concepts and frameworks, stakeholders, ethics, implementation, communication, performance improvement, success.

<b>Learning outcome 1</b>
<b>Understand corporate social responsibility and sustainability in organisational contexts</b>
<b>Assessment criteria</b>
<p>1.1 Discuss organisational approaches to corporate social responsibility and sustainability</p> <p>1.2 Critically assess enablers, constraints and barriers to corporate social responsibility and sustainability</p> <p>1.3 Present a case for organisational commitment to corporate social responsibility and sustainability</p>
<b>Indicative content</b>
<p><i>1.1 Corporate Social Responsibility (CSR)*: Organisational responsibility to society (accountability). Organisational responsibility for society (compensation for negative impacts on society, contribution to societal welfare, environmental considerations). Organisational responsible conduct (operating ethically responsibly, sustainably, address impact on environment within legal and regulatory requirements). Management of an organisation of its relationships with society (e.g. codes of conduct, reputational value, legal implications). Scope of CSR (e.g. local, global, individual, organisational).</i></p> <p><i>Sustainability*: Accountability for society and the environment. Inter relationship with economic well-being, commercial practices, legal and regulatory requirements. Sustainable development and resourcing (e.g. natural resources, renewable and recyclable production, green logistics, green procurement, triple bottom line 'people, planet, profit'). Scope of sustainability (e.g. local, global, individual, organisational).</i></p> <p><i>* Please note: CSR and sustainability are contested areas depending on definitions and understanding they</i></p>

may be viewed as separate areas or interlinked with sustainability a subset of CSR.

*CSR and Sustainability theoretical concepts and frameworks:* Business ethics theory (Bigg, 2004); Shareholder value theory (Friedman, 1970); Stakeholder theory (Freeman, 1984). Frameworks: United Nations Global Compact (UNGC) (2000); The CSR Pyramid (Carroll, 1979); Triple Bottom Line (Elkington, 1997). ISO 26000 Guidance on Corporate Social Responsibility (2010).

*Organisational contexts:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). External environment. Stakeholder expectations.

*1.2 Enablers, constraints and barriers:* Contested nature of corporate social responsibility and sustainability. Organisational structure. Processes and procedures, codes of conduct. Demographic of the workforce. Organisational Culture (Schein, 1988; Johnson and Scholes, 2011). Internal politics. Leadership commitment. Change of leader (new leader). Political, legal and regulatory change. Organisational environment, market, stakeholders (culture, interests and expectations). Financial climate, impact of media, public perception. Force Field Analysis (Lewin, 1951). Competing Values Framework (Quinn and Cameron, 2011).

*1.3 Case for organisational commitment to corporate social responsibility and sustainability:* Legal and regulatory requirements, social conscience, reputation. Understanding of customer expectations, service to the local community, educational benefits, support for the arts and culture. Economic benefits, societal benefits, direction of the organisation. Achievement of charter marks, accreditations. Development of a high-performance organisation (e.g. inter-relationship between values, culture, behaviours, performance). Positive contribution to safeguarding the environment, response to environmental concerns, sustainable use of natural resources, reduction of environmental impact.

## Learning outcome 2

### Know how corporate social responsibility and sustainability is applied in an organisational setting

#### Assessment criteria

2.1 Justify an approach to leading and implementing corporate social responsibility and sustainability in an organisational context

2.2 Propose a strategy to gain ongoing stakeholder commitment to corporate social responsibility and sustainability

#### Indicative content

*2.1 Approach to leading and implementing corporate social responsibility and sustainability:*

- *Rationale for corporate social responsibility and sustainability:* Triggers: environmental, societal, stakeholder influence, research findings, legal and regulatory requirements.
- *The case for corporate social responsibility and sustainability:* Alignment between proposed strategy and organisational goals and values. Fit with organisational culture. Analysis of revenues and costs, risks, benefits. Impact on operational activities, governance, leadership and management. Resourcing. Delivery partners. Establishment of subsidiary company or foundation.
- *Stakeholder engagement:* Internal and external.
- *Implementation plan:* Pilot implementation, soft launch, 'Big Bang', phasing in, full roll out (dependent on size of organisation and maturity, nature of strategy).
- *Monitoring and evaluation of outcomes, measurement of impact:* Qualitative and quantitative measures of success, KPIs, objectives, goals, timescales.

- *Reporting*: Publication of results. Impact report.

**2.2 Strategies:** Communications theory (Shannon and Weaver, 1947; Parguel, Benoît-Moreau and Larceneux, 2011). Persuasion, challenging perceptions. Making sense through emotional connections. Learning and development (e.g. communities of practice, use of subject matter experts, self and directed learning programmes, coaching and mentoring, technical training). Building reputation (e.g. media presence, public engagement). Publicity (campaigns and activities for different audiences). Leadership approaches/commitment. Feedback structures to assess the practicality and success of CSR and sustainability. Persistence. Provision of time and space to allow developmental change. Lessons learned. Continuous improvement (Zwetsloot, 2003) Good practice (Jenkins, 2006). Honest conversations (Miles, Munilla and Darroch, 2006; Beer and Eisenstat, 2004)

*Stakeholders*: internal and external stakeholders; Stakeholder theory (Mitroff, 1983; Freeman, 1983)

### Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner will be required to produce a **written report** or develop a **presentation** on corporate social responsibility and sustainability in organisational contexts.
2. The learner may be required to develop a **proposal** on how corporate social responsibility and sustainability is applied in an organisational setting.
3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

### Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

### Relationship with CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

<b>Personal Effectiveness</b>	<ul style="list-style-type: none"> <li>• Making decisions</li> <li>• Communicating and influencing</li> </ul>
<b>Interpersonal Excellence</b>	<ul style="list-style-type: none"> <li>• Providing purpose and direction</li> <li>• Developing people and capabilities</li> </ul>
<b>Organisational Performance</b>	<ul style="list-style-type: none"> <li>• Achieving results</li> </ul>

### Suggested reading/web resource materials

#### Recommended reading

- Asbury, S., and Ball, R. (2009). *Do the Right Thing: The Practical, Jargon-free Guide to Corporate Social Responsibility*. Abingdon, Oxon: Routledge.
- Chandler, D. (2016). *Strategic Corporate Social Responsibility: Sustainable Value Creation*. 4th ed. Thousand Oaks, CA: SAGE Publications.
- Moon, J. (2014). *Corporate Social Responsibility. A very short introduction*. Oxford: OUP.

#### Supplementary reading

- Barth, R., and Wolff, F. (2009). *Corporate Social Responsibility in Europe. Rhetoric and Realities*. Cheltenham: Edward Elgar Publishing Ltd.
- Beal, B.R. (2013). *Corporate Social Responsibility: Definition, Core Issues, and Recent Developments*.



Thousand Oaks, CA: SAGE Publications.

- Beer, M., and Eisenstat, R.A. (2004). *How to have an honest conversation about your business strategy*. Harvard Business Review, 82(2): 82-89.
- Bigg, T. ed. (2004). *Survival for a small planet: the sustainable development agenda*. Abingdon, Oxon: Routledge.
- Blackburn, W.R. (2016). *The Sustainability Handbook: The Complete Management Guide to Achieving Social, Economic and Environmental Responsibility*. Abingdon, Oxon: Routledge.
- Blowfield, M., and Murray, A. (2014). *Corporate Responsibility*. 3rd ed. Oxford: OUP.
- Brown, L. (2010). *Plan B 4.0: Mobilizing to Save Civilization*. Washington D.C.: Earth Polar Institute/ W.W. Norton & Co.
- Bruel, O. (2017). *Strategic Sourcing Management: Structural and Operational Decision Making*. Kogan Page.
- Carroll, A.B. (1979). *A Three-Dimensional Conceptual Model of Corporate Social Performance*. Academy of Management Review. 4(4), 497-505.
- Choi, T-M., and Cheng, T.C.E. eds. (2015). *Sustainable Fashion Supply Chain Management: From Sourcing to Retailing*. Cham, Switzerland: Springer.
- Crane, A., McWilliams, A., Matten, D., Moon, J., and Siegel, D.S. (2009). *The Oxford Handbook of Corporate Social Responsibility*. Oxford: OUP.
- Crane, A., Matten, D., and Spence, L. eds. (2013). *Corporate Social Responsibility. Readings and Cases in a Global Context*. Abingdon, Oxon: Routledge.
- Elkington, J. (1999). *Cannibals with Forks: The Triple Bottom Line of 21st Century Business*. Chichester: Capstone Publishing Ltd.
- Eweje, G., and Bathurst, R. (2018). *CSR, Sustainability, and Leadership*. Abingdon, Oxon: Routledge.
- Falck, O., and Heblich, S. (2007). *Corporate Social Responsibility: Going well by doing good*. Business Horizons, 50(3): 247-254.
- Freeman, R. E. (2010). *Strategic Management*. Cambridge: Cambridge University Press.
- Fleming, P., and Jones, M. (2012). *The End of Corporate Social Responsibility: Crisis and Critique*. London: SAGE Publications.
- Friedman, M. (1970). *The Social Responsibility of Business is to Increase its Profits*. The New York Times Magazine, September 13.
- Grant, D.B., Trautrim, A., and Wong, C.Y. (2017). *Sustainable Logistics and Supply Chain Management: Principles and Practices for Sustainable Operations and Management*. 2nd ed. London: Kogan Page.
- Gürtler, G., Lane, B., and Sendel, F. (2014). *The Easy Guide to ISO 26000*. Using the offered guidance on social responsibility in an easy, correct and efficient manner. 2nd ed. CreateSpace Independent Publishing Platform.
- Haski-Leventhal, D. (2018). *Strategic Corporate Social Responsibility: Tools and Theories for Responsible Management*. Los Angeles, CA: SAGE Publications.
- Idowu, S., and Pappasolomou, I. (2007). Are the corporate social responsibility matters based on good intentions or false pretences? An empirical study of the motivations behind the issuing of CSR reports by UK companies. *Corporate Governance: The international journal of business in society*, 7(2): 136-147.
- Jenkins, H. (2006). Small Business: Champions for Corporate Social Responsibility. *Journal of Business Ethics*, 67(3): 241-256.
- Leleux, B., and van de Kaaij, J. (2018). *Winning Sustainability Strategies: Finding Purpose, Driving Innovation and Executing Change*. 2019 ed. Basingstoke: Palgrave Macmillan.
- Londrigan, M., and Jenkins, J. (2018). *Fashion Supply Chain Management*. New York, NY: Bloomsbury Academic.
- Manners-Bell, J. (2017). *Supply Chain Ethics: Using CSR and Sustainability to Create Competitive Advantage*. London: Kogan Page.
- McKinnon, A., Cullinane, S., Browne, M. and Whiteing, A. (2010). *Green Logistics: Improving the Environmental Sustainability of Logistics*. Kogan Page.
- Miles, M.P., Munilla, L. and Darroch, J. (2006). *The Role of Strategic Conversations with Stakeholders in the Formation of Corporate Social Responsibility Strategy*. *Journal of Business Ethics*, 69(2): 195-205.
- Moratis, L., and Cochius, T. (2017). *ISO 26000: The Business Guide to the New Standard on Social*

*Responsibility*. Abingdon, Oxon: Routledge.

- Parguel, B., Benoît-Moreau, F., and Larceneux, F. (2011). How Sustainability Ratings Might Deter 'Greenwashing': *A Closer Look at Ethical Corporate Communication*. *Journal of Business Ethics*, August 2011: 102-15.
- Samar Ali, S., Kaur, R., and Marmolejo Saucedo, J.A. (2019). *Best Practices in Green Supply Chain Management: A Developing Country Perspective*. Bingley, Yorkshire: Emerald Publishing.
- Wicks, J. (2018). *The Price of Profit: Rethinking Corporate Social Responsibility*. Amazon Kindle Publishing.
- Willard, B. (2012). *The New Sustainability Advantage: Seven Business Case Benefits of a Triple Bottom Line*. 10th anniversary ed. Gabriola Island, BC: New Society Publishers.
- Zwetsloot, G. (2003). *From Management Systems to Corporate Social Responsibility*. *Journal of Business Ethics*, 44(2-3): 201-208.

#### **Journals**

- Corporate Social Responsibility and Environmental Management (Wiley Online)
- Social Responsibility Journal (Emerald Insight)
- International Journal of Corporate Social Responsibility (Springer)

#### **Other reference points**

JIGSAW <https://www.cranfield.ac.uk/som/research-centres/doughty-centre-for-corporate-responsibility>  
[International Organisational for Standardisation, ISO](#)

ManagementDirect resources require CMI membership and a username and password.

**Please note:** This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.



# APPENDIX 1

## Definitions

<b>Analyse</b>	Break the subject or complex situation(s) into separate parts and examine each part in detail; identify the main issues and show how the main ideas are related to practice and why they are important. Reference to current research or theory may support the analysis.
<b>Assess</b>	Provide a reasoned judgement or rationale of the standard, quality, value or importance of something, informed by relevant facts/rationale.
<b>Conduct</b>	Organise and perform a particular activity
<b>Create</b>	Originate or produce a solution to a problem.
<b>Develop</b>	Elaborate, expand or progress an idea from a starting point building upon given information.
<b>Differentiate</b>	Recognise or ascertain a difference to identify what makes something different.
<b>Discuss</b>	Give a detailed account of a topic or issue using a range of views/opinions/perspectives of a contrasting nature.
<b>Draw</b>	Present a conclusion or decision about what is likely to happen based on facts.
<b>Establish</b>	Discover, prove or show something to be true or valid by determining the facts.
<b>Evaluate</b>	Consider the strengths and weaknesses, arguments for and against and/or similarities and differences. The writer should then judge the evidence from the different perspectives and make a valid conclusion or reasoned judgement. Apply current research or theories to support the evaluation when applicable.
<b>Examine</b>	Inspect (something) thoroughly in order to determine its nature of condition.
<b>Formulate</b>	To devise or develop an idea or concept in a concise and systematic way.
<b>Guided Learning Hours (GLH)</b>	The activity if a Learner in being taught or instructed by – or otherwise participating in education or training under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.
<b>Identify</b>	Ascertain the origin, nature or definitive characteristics of something
<b>Immediate Guidance or Supervision</b>	the guidance or supervision provided to a Learner by a lecturer, supervisor, tutor or other appropriate provider of education or training –  a) with the simultaneous physical present of the Learner and that person, or  b) remotely by means of simultaneous electronic communication

<b>Justify</b>	Provide a rationale for actions and/or decisions. Your rationale should be underpinned by research, academic theory, data analysis or experience.
<b>Recommend</b>	Put forward proposals, an alternative or suggestion(s) supported by a clear rationale appropriate to the situation/context.
<b>Reflect</b>	Consciously contemplate, appraise or give balanced consideration to an action or issue.
<b>Rule of Combination</b>	A rule specifying the combination of unit which may be taken to form a particular qualification, any units which must be taken and any related requirements.
<b>Specify</b>	Identify or state a fact or requirement clearly and precisely in detail.
<b>Total Qualification Time (TQT)</b>	<p>The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification. Total Qualification Time is comprised of the following two elements –</p> <p>a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and</p> <p>b) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the immediate supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.</p>
<b>Total Unit Time (TUT)</b>	The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a unit.
<b>Use</b>	The action of using something for a particular purpose.

# APPENDIX 2

## Revisions to Document

The below table summarises any revisions made to this document since publication.

Revisions to Document	Rationale for Revision	Document Version	Date Revisions Made
Added new Level 5 Extended Diploma in Management and Leadership pathway and Unit 608 information	New qualification	Version 6	1 <sup>st</sup> August 2019
Amended unit title for 502 Principles of Developing, Managing and Leading Individuals and Teams to Achieve Success throughout syllabus	Consistency of 502 unit title	Version 5	17 <sup>th</sup> July 2019
Amendments to several units – See Appendix 3	To ensure units are valid and fit for purpose	Version 4	9 <sup>th</sup> May 2018
Update of unit word count guidelines – See “Assessment & Verification”	Word Counts updated following assessment development		
Inclusion of “GDPR” in Indicative Content	Update in legislation		
Update of Appendix 1 – Definitions (to include Discuss, Examine, Justify)	Excluded from original list		
Addition of new Unit 526	New unit		
Finalisation of syllabus (removal of “draft”)  Update to whole unit 521 Addition of Appendix 1 – Definitions  Addition of Appendix 2 – Revisions to Document		Version 3	29 <sup>th</sup> Sept 2017
Correction of word count		Version 2 (Draft)	18 <sup>th</sup> Sept 2017
First publication		Version 1 (Draft)	1 <sup>st</sup> Sept 2017

# APPENDIX 3

## Updates to Unit Content



### SUMMARY OF AMENDMENTS TO ASSESSMENT CRITERIA (AC)

The below table summarises the changes that have been made to units within the new CMI Level 5 Qualifications in Management & Leadership (2017). These amendments are in the current Syllabus online (version 4).

UNIT	LO/AC	ORIGINAL LO/AC	NEW LO/AC
501 – Principles of Management and Leadership in an Organisational Context	AC 2.4	Examine how management and leadership styles <b>are</b> adapted in different situations	Examine how management and leadership styles <b>can be</b> adapted in different situations
506 – Managing Equality, Diversity and Inclusion	LO3	Know how to develop <b>an Equality action plan to drive</b> equality, diversity and inclusion	Know how to develop <b>and implement a plan which supports</b> equality, diversity and inclusion within an organisation
	AC 3.1	Assess the process for developing an <b>Equality action plan</b>	Assess the process for developing <b>a plan which supports equality, diversity and inclusion within an organisation</b>
	AC 3.2	Analyse the purpose and methods of gathering data to inform the <b>Equality action plan</b>	Analyse the purpose and methods of gathering data and information to inform <b>a plan</b>
	AC 3.3	Recommend approaches to implementing the <b>Equality action plan</b>	Recommend approaches to implementing <b>a plan</b>
510 – Managing Conflict	AC 2.1	<b>Evaluate</b> processes for investigating conflict situations in the workplace	<b>Discuss</b> processes for investigating conflict situations in the workplace
511 – Principles of Recruiting, Selecting and Retaining Talent	AC 1.2	Evaluate <b>factors</b> which impact on recruitment and selection	Evaluate <b>organisational factors</b> which impact on recruitment and selection
514 – Managing Change	AC 2.1	Evaluate <b>models</b> of change management	Evaluate <b>the use of theoretical models</b> for managing change
516 – Planning, Procuring and Managing Resources	AC 2.3	Discuss sources of information used to plan resource requirements	Discuss sources of <b>data and</b> information used to plan resource requirements
518 – Managing Risk	AC 2.5	Assess methods for <b>communicating</b> identified risks to stakeholders	Assess methods for <b>reporting</b> identified risks to stakeholders

521 - Use of Data and Information to Inform Decision Making	AC 2.1	Evaluate the quality of data and information selected for decision making	Discuss criteria used for selection of data and information
	AC 2.2	Evaluate the use of tools and techniques for analysing and interpreting data and information	Evaluate the use of tools and techniques for analysing and interpreting data and information to support decision making
522 – Managing the Customer Experience	AC 1.4	Examine the impact of organisational and legal frameworks on the use of customer data and information	Examine the impact of organisational and legal frameworks on the management of the customer experience
523 – Principles of Marketing Products and Services	AC 3.1	Recommend strategies to support the marketing of a product or service	Recommend approaches to support the marketing of a product or service
	AC 3.2	Develop a plan to market a product or service using the marketing mix	Develop a tactical plan to market a product or service using the marketing mix
524 – Conducting a Management Project	AC 1.1	Develop a proposal to conduct a management project	Now removed from Unit 524
	AC 1.2	Develop the aim, objectives and scope of the approved management project	Develop the aim, objectives and scope of the proposed management project (New AC 1.1)
	AC 1.3	Establish research methodologies for the management project	Specify a research approach for the proposed management project (New AC 1.2)
	-	Not in original Unit 524	Specify the research methods to be used to collect data and information (New AC 1.3)
	AC 1.4	Evaluate the role and influence of stakeholders involved in the management project	Analyse the role of stakeholders involved in the management project
	AC 1.5	Analyse the factors that need to be considered when developing a plan for the management project	Examine the factors that need to be considered when developing a plan for the management project
	AC 2.1	Conduct research to inform the management project	Conduct research to deliver the management project
	AC 2.2	Analyse and interpret research findings using relevant methods	Analyse and interpret research findings using relevant tools and techniques
AC 2.3	Use research findings to develop options to meet the project aim	Use research findings to analyse options to meet the project aim	

» SUMMARY OF AMENDMENTS TO INDICATIVE CONTENT (BY UNIT AND AC)

The below table summarises amendments to the Indicative Content for units within the new CMI Level 5 Qualifications in Management & Leadership (2017). These amendments are in the current Syllabus online (version 4).

UNIT	LO/AC	ORIGINAL INDICATIVE CONTENT	NEW INDICATIVE CONTENT
506 – Managing Equality, Diversity and Inclusion	AC 1.1	Legislative requirements may include but are not limited to public versus private duties, equality impact assessment, practical measures, compliance with the Equality Act 2010, protected characteristics.	Legislative requirements may include but are not limited to public versus private duties, equality impact assessment, <b>reporting requirements (including Gender Pay Gap reporting)</b> , practical measures, compliance with the Equality Act 2010, protected characteristics. <b>It includes identifying those who are more likely to be discriminated against and how organisations can protect those from direct or indirect discrimination, harassment and victimisation.</b>
	AC 1.3	Approaches may include but are not limited to internal communication, awards, <b>learning and development, coaching and mentoring</b> , newsletters, blogs, discussion forums, case studies, champions.	Approaches may include but are not limited to <b>coaching, mentoring and sponsorship; access to development opportunities and the role of</b> internal communication; awards, newsletters, blogs, discussion forums, case studies, role models and champions.
	AC 2.1	Role and responsibilities may include but are not limited to preventing discrimination and harassment, promoting equality, diversity and inclusion, implementing policy and procedure, developing best practice.	Role and responsibilities may include but are not limited to <b>balanced recruitment / selection (diverse interview panels); performance management and reward decisions; promotion decisions; supporting flexible working; monitoring relevant processes;</b> preventing discrimination and harassment and challenging poor behaviour; promoting equality, diversity and inclusion, implementing policy and procedure, developing best practice.
	AC 3.1	<b>Equality action plan</b> may include but is not limited to policy and procedures, consultation process, time-bound targets, establish communication strategy, review processes, audit process, impact measures.	<b>Plan may be presented as a standalone document or its contents may be embedded into a wider organisational plan or strategy.</b> It may include but is not limited to policy and procedures, consultation process, time-bound targets, establish communication strategy, review processes, audit process, impact measures.
	AC 3.2	Methods may include but are not limited to by surveys, database reports, <b>participation, selection and achievement rates</b> , benchmarking.	Methods may include but are not limited to <b>progression data, organisational process metrics (e.g. recruitment and selection data)</b> , surveys, database reports, benchmarking.
	AC 4.1	Methods for monitoring may include but is not limited to <b>periodic reporting</b> , surveys, benchmarking activities, regional and national trends, quality standards, mystery shopper, analysis of customer and staff complaints, litigation, audits, improvement targets.	Methods for monitoring may include but are not limited to <b>organisational process data</b> , surveys, benchmarking activities, regional and national trends, quality standards, mystery shopper, analysis of customer and staff complaints, litigation, audits, and improvement targets
	AC 4.2	Methods for reporting may include but are not limited to <b>formal and informal reports</b> , newsletters and articles, briefings, motivational notices, case studies, blogs.	Methods for reporting may include but are not limited to <b>internal reports, external diversity reports</b> , newsletters and articles, briefings, motivational notices, case studies, blogs.

511 – Principles of Recruiting, Selecting and Retaining Talent	AC 1.2	<b>Factors</b> may include but not limited to budgets, wage and recruitment freezes, organisational growth, financial performance/forecasting, market research, business continuity, changing customer/stakeholder needs, equality targets, contract types (zero hours, full time, part time, permanent, short term contracting, use of contractors, sole traders, consultants and agencies).	<b>Organisational factors</b> may include but not limited to budgets, wage and recruitment freezes, organisational growth, financial performance/forecasting, market research, business continuity, changing customer/stakeholder needs, equality targets, contract types (zero hours, full time, part time, permanent, short term contracting, use of contractors, sole traders, consultants and agencies).
514 – Managing Change	AC 2.1	Theoretical models may be selected in relation to appropriateness for type of change and situation, complexity of change and organisation (Lewin, 1947, Three Step Change Management Model; Kotter, 1996, 8 Steps model; Burke and Litwin, 1992, Model of Organisational Change and Performance; Beckhard-Harris, 1987, Change Equation; Moss Kanter, 1983, The Change Masters; Hailey and Balogun, 2002, The Change Kaleidoscope).	Theoretical models may be selected in relation to appropriateness for type of change and situation, complexity of change and organisation ( <b>Oswick, 2015, Radical Change within Traditional Structures; Mayon White, 1993, Change Management Intervention Strategy; Nadler and Tushman, 1985, Organisational Congruence Model;</b> Lewin, 1947, Three Step Change Management Model; Kotter, 1996, 8 Steps model; Burke and Litwin, 1992, Model of Organisational Change and Performance; Beckhard-Harris, 1987, Change Equation; Moss Kanter, 1983, The Change Masters; Hailey and Balogun, 2002, The Change Kaleidoscope).
516 – Planning, Procuring and Managing Resources	AC 1.1	Resource use may include but is not limited to types of resources (human, goods, facilities, services, time, money), <b>economic use of resources (including financial resources), effectiveness and efficiency, continuity, risk and accountability, production cost savings, accurate identification of resource needs, legal and regulatory frameworks, ethical considerations, quality and effectiveness of resources, implications of over/under resourcing.</b>	Resource use may include but is not limited to types of resources (human, goods, facilities, services, time, <b>financial, assets, infrastructure</b> ).
	AC 1.2	Processes may include but are not limited to following organisational procedures and protocols, legal and ethical requirements, impact of resource use on environment or health and safety procedures on resource use, safe maintenance of resources, security of resources, concepts of budget holders, budget managers and authorised signatories, business continuity, risk management, <b>accountability</b> , value for money.	Processes may include but are not limited to following organisational procedures and protocols, legal and ethical requirements, impact of resource use on environment or health and safety procedures on resource use, safe maintenance of resources, security of resources, concepts of budget holders, budget managers and authorised signatories, business continuity, risk management, <b>authority and responsibility</b> , value for money, <b>Responsibility, Authority, Expertise, Work (RAEW)/Responsible, Accountable, Consulted, Informed (RACI)</b> (Crane, c.1970s).
	AC 2.2	Approaches may include but are not limited to <b>zero based or incremental budgeting approaches, stock re-ordering, capacity planning, forecasting, cost benefit analysis, return on investment (ROI) accounting methods, capital investment appraisals (payback, net present value), sensitivity analysis (modelling a range</b>	Approaches may include but are not limited to <b>GAP Analysis, capability and resource analysis (current and future)</b>

		of different cost and revenue scenarios).	
AC 2.3	Sources may include but are not limited to costing activities, management accounts, stock records, overtime records, agency cost records, feedback (e.g. customers, staff, suppliers, partners), audits (e.g. quality, time tracking), service level agreements.	Sources may include but are not limited to internal and external data and information.	
AC 2.4	Options may include but are not limited to purchase versus rental, purchase versus supply from internal department, purchase of branded versus generic products, feasibility of lead times and delivery dates, urgency of need, researching potential suppliers, competitive versus non-competitive tendering, multi-sourcing, inventory/stock management (Kanban/Just in Time systems, enterprise resource planning (ERP) systems), bulk buying, disaster planning, consideration of alternative procurement routes (requests for quotations or proposals, invitations to tender).	Options may include but are not limited to make or buy decisions, capacity planning, forecasting, cost benefit analysis (CBA), return on investment (ROI), capital investment appraisals (payback, net present value), sensitivity analysis, bulk buying.	
AC 3.1	Principles refers to codes of conduct, confidentiality, conflict of interest, quality standards (e.g. International Organisation for Standardisation - ISO), procurement policies and procedures, objectivity, fairness, transparency, openness, accountability, integrity.	Principles refers to company policies and procedures, World Trade Organisation (WTO) rules, European Journal (EJ) rules, Institute of Civil Engineers (ICE) and Chartered Institute of Purchasing Supply (CIPS), conditions of contract rules.	
AC 3.2	Stages may include but are not limited to identify business need, form procurement team, produce documentation, develop tender and evaluation criteria, pre-qualification, questions and long list, issue tender, tender briefing, initial evaluation of tender documentation, short list suppliers, presentations, supplier selection, negotiations, contract award, ongoing monitoring and review.	Stages may include but are not limited to purchase order, pre-qualification, tendering, bid valuation (single/two stage bid evaluation and open and closed bids), requirements management, feasibility studies, contract negotiation, contract award.	
AC 3.3	Criteria may include but are not limited to precise and comprehensive, defines product/service quality required, time/quality/cost, financial value of the contract (which may include factoring in inflation, depreciation), timescales, critical success factors, contingency planning to safeguard continuity of supply, sustainability	Criteria may include but are not limited to scenario based requirements, functional requirements, outcomes/performance based requirements.	
AC 3.4	Methods include but are not limited to formal e.g. tenders and trade associations and informal e.g. recommendations and referrals, comparing alternative products and services, pilots and trials, quality testing,	Methods include but are not limited to formal e.g. tenders and trade associations and informal e.g. recommendations and referrals, comparing alternative products and services, pilots and trials, quality testing, references and case or trade studies,	



		references and case studies.	<b>benchmarking.</b>
	AC 4.1	Strategies may include but are not limited to <b>multi-sourcing, inventory/stock management (Kanban/Just in Time, systems, enterprise resource planning (ERP) systems), bulk buying, disaster planning, business interruptions, consideration of alternative procurement routes, renegotiating contracts, prices and service levels, compensation, penalties, vertical and horizontal integration, terminate agreements.</b>	Strategies may include but are not limited to <b>scenario planning, capacity planning, Theory of Constraints (TOC), risk management, bulk buying, disaster/contingency planning, environmental scanning/intelligence.</b>
	AC 4.2	Methods may include but are not limited to budget monitoring of planned vs actual spend, <b>continuity of supply, key performance indicators (KPIs), stakeholder feedback, internal and external audits, quality standards, error rates, output, benchmarks, service level agreements (SLAs).</b>	Methods may include but are not limited to budget monitoring (planned vs actual spend), <b>Critical Success Factors (CSFs), Critical to Quality (CTQ), Cost of Poor Quality (CoPQ), scorecards, continuity of supply, key performance indicators (KPIs), stakeholder feedback, internal and external audits, quality standards, error rates, output, benchmarks, service level agreements (SLAs).</b>
	AC 4.3	Approaches may include but are not limited to recommendations, business case, use of data and information to inform decision making, business process improvement, renegotiating contracts, staff training, relationship building, shared services, compliance, formulate/improve policies and procedures.	Approaches may include but are not limited to <b>business case,</b> recommendations, business case, use of data and information to inform decision making, business process improvement, renegotiating contracts, staff training, relationship building, shared services, compliance, formulate/improve policies and procedures.
517 – Principles of Innovation	AC 2.2	Process may include but is not limited to research, design, development of business case (including objectives, success criteria and key performance indicators, timescales), <b>cost benefit analysis/investment appraisal,</b> scope, approval, develop, pilot/test, implement, feedback and monitoring, communicate, stakeholder engagement, review and evaluate.	Process may include but is not limited to <b>research,</b> design, development of business case (including objectives, success criteria and key performance indicators, <b>cost benefit analysis/investment appraisal,</b> timescales), scope, <b>approval,</b> develop, pilot/test, implement, feedback and monitoring, communicate, stakeholder engagement, review and evaluate.
518 – Managing Risk	AC 1.2	Governance includes but is not limited to management boards, committees, leadership and management systems, lines of authority and accountability, trustees, special interest groups, human resource management policies and procedures, staff development, risk reward culture, financial considerations, operational management processes and procedures for collection of data and information, risk and issues logs, risk management policies and procedures, technical considerations e.g. ICT systems, upgrades and applications, infrastructure and security (including	Governance includes but is not limited to <b>ISO31000,</b> management boards, committees, leadership and management systems, lines of authority and accountability, trustees, special interest groups, human resource management policies and procedures, staff development, risk reward culture, financial considerations, operational management processes and procedures for collection of data and information, risk and issues logs, risk management policies and procedures, technical considerations e.g. ICT systems, upgrades and applications, infrastructure and security (including cyber security).

		cyber security).	
	AC 1.3	Methods may include but are not limited to probability of occurrence and potential consequences e.g. likelihood and consequences risk matrices, financial management of risk, including future free cash flow, knowledge management approaches including competencies to manage business activities, competitor and environmental analysis, tasks and events, use of guidelines such as ISO 31000 (risk framework, principles and processes)	Methods may include but are not limited to RAID (risks, assumptions, issues, dependencies) logs (PRINCE2, c.2000), probability of occurrence and potential consequences e.g. likelihood and consequences risk matrices, financial management of risk, including future free cash flow, knowledge management approaches including competencies to manage business activities, competitor and environmental analysis, tasks and events, use of guidelines such as ISO 31000 (risk framework, principles and processes)
	AC 2.1	Ranking may include but is not limited to benchmarking, score card methods, industry good practice, use of Delphi techniques.	Ranking may include but is not limited to benchmarking, score card methods, industry good practice, simple prioritisation methods, formal methods (e.g. Delphi and nominal group techniques (NGT)).
	AC 2.4	Methods may include but are not limited to top down senior management influence, policy setting, implementation at operational/departmental/functional levels, bottom up processes, formal roles of governance (e.g. steering groups, committees, independent external auditors), risk management as a separate business function, or embedded within departments	Methods may include but are not limited to top down senior management influence, policy setting, implementation at operational/departmental/functional levels, bottom up processes, formal roles of governance (e.g. steering groups, committees, independent external auditors), risk management as a separate business function, or embedded within departments, RAID (risks, assumptions, issues, dependencies) logs (PRINCE2, c.2000).
	AC 2.5	Communicating may include but is not limited to written: letters, memos, reports, newsletters, noticeboards; verbal: telephone calls, video conferencing, briefings and meetings, presentations; digital: intranet, emails, blogs, instant messaging, discussion forums, posts on social media sites, web chat, avatars, skype, electronic forms, podcasts and webinars.	Reporting may include but is not limited to issues assumptions, risks, metrics (e.g. KPIs).
519 - Managing Quality and Continuous Improvement	AC 2.2	Stakeholders may include but are not limited to internal: team members, line managers, senior managers, board members; external: potential employees, customers, suppliers, pressure groups, government agencies and regulatory organisations, general public; connected: shareholders, suppliers, partners, contractors.	No longer in Indicative content
521 – Use of Data and Information to Inform Decision Making	AC 1.3	Legal frameworks refers to Data Protection Act (1998), Freedom of Information Act (2000), General Data Protection Regulation (applies from May 2018), Digital Economy Act (2017) and any other sector specific regulations.	Legal frameworks refers to Freedom of Information Act (2000), General Data Protection Regulation (GDPR, 2018), Digital Economy Act (2017) and any other sector specific regulations.
	AC 2.1	Quality refers to accuracy, validity, reliability,	Criteria refer to accuracy, validity, reliability, timeliness, currency, relevance,

		timeliness, currency, relevance, completeness, authenticity, use of data analytics and statistical analysis methods.	completeness, authenticity, use of data analytics and statistical analysis methods.
	AC 2.2	Tools and techniques may include but are not limited to strategic, tactical and operational, Cost Benefit Analysis (CBA), options appraisal, <b>key performance indicators (KPI)</b> , grid analysis, Decision Model (Vroom Yetton, 1973), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops ( <b>date</b> ), data mining, Structured Query Language (SQL), excel spreadsheets, charts and graphs.	Tools and techniques may include but are not limited to strategic, tactical and operational, Cost Benefit Analysis (CBA), options appraisal, grid analysis, Decision Model (Vroom Yetton, 1973), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops (c. 2000), <b>data mining, Structured Query Language (SQL), excel spreadsheets, charts and graphs.</b>
	AC 3.1	Methods may include but are not limited to formal, informal, verbal, non-verbal, electronic, written, visual, face to face, briefings, meetings, presentations, reports, charts, diagrams, infographics.	Methods may include but are not limited to formal, informal, verbal, non-verbal, electronic, written, visual, face to face, briefings, meetings, <b>data visualisation, dashboards</b> , presentations, reports, charts, diagrams, infographics.
523 – Principles of Marketing Products and Services	AC 3.1	<b>Strategies</b> may include but are not limited to customer/market segmentation, targeting, positioning (STP), market penetration, product development (including improvements to process or service delivery), new market entry, diversification – related and unrelated (Ansoff Growth Matrix, 1957), <b>cost leadership, differentiation, cost or differentiation focus (Porter’s Generic Strategies, c.1980)</b> , Co-creation (date), stakeholder relationship management and engagement (Egan, 2011) and internal/external communication.	<b>Approaches</b> may include but are not limited to customer/market segmentation, targeting, positioning (STP), market penetration, product development (including improvements to process or service delivery), new market entry, diversification – related and unrelated (Ansoff Growth Matrix, 1957), <b>Reach, Act, Convert, Engage (RACE) (Chaffey, 2010)</b> , Co-creation, stakeholder relationship management and engagement (Egan, 2011) and internal/external communication.
	AC 3.2	Marketing mix refers to 4Ps (McCarthy, c.1960) and 7Ps (Booms & Bitner, 1981).	Marketing mix refers to 4Ps (McCarthy, c.1960) and 7Ps (Booms & Bitner, 1981) <b>and must refer to SMART objectives.</b>
	AC 3.5	Methods may include but are not limited to key performance indicators (KPI), financial measures (e.g. return on investment (ROI)), market share, brand recall/recognition, loyalty, satisfaction, advocacy, net promoter score (NPS), campaign analytics and metrics, <b>Balanced Scorecard (Kaplan and Norton, 1992).</b>	Methods may include but are not limited to key performance indicators (KPI), financial measures (e.g. return on investment (ROI)), market share, brand recall/recognition, loyalty, satisfaction, advocacy, net promoter score (NPS), campaign and <b>digital</b> analytics and metrics.
524 – Conducting Management Projects	AC 2.2	Methods may include but are not limited to use of quantitative techniques e.g. software tools, statistical analysis and qualitative techniques e.g. Framework Analysis (Pope et al, 2000), Thematic Network	Tools and techniques may include but are not limited to <b>mono and multiple use of</b> quantitative techniques e.g. statistical analysis and qualitative techniques e.g. Framework Analysis (Pope et al, 2000), Thematic Network Analysis (Attride-Stirling, 2001), triangulation

		Analysis (Attride-Stirling, 2001), triangulation.	
	AC 2.3	<b>Develop</b> options refers to the use of tools such as Cost Benefit Analysis (CBA), options appraisal, key performance indicators (KPI), grid analysis, expectancy Theory (Vroom, 1964), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops.	<b>Analyse</b> options refers to the use of tools such as Cost Benefit Analysis (CBA), options appraisal, key performance indicators (KPI), grid analysis, Expectancy Theory (Vroom, 1964), Rational Decision Making (Kepner Tregoe, 1965), OODA Loops.

