

# CMI LEVEL 6 PROFESSIONAL MANAGEMENT AND LEADERSHIP PRACTICE

(RQF) Syllabus | March 2021 | Version 4



FEATURING NEW CHARTERED MANAGER APPRENTICESHIP PATHWAY

# VERSION CONTROL

For details in rational to the syllabus changes please refer to appendix 3 Revisions to Document.

| Document Version | Date Revisions Made |
|------------------|---------------------|
| Version 4        | March 2021          |
| Version 3        | November 2019       |
| Version 2        | June 2019           |
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# UNITS

## Unit Specifications

- 28** 601 Professional Management and Leadership Practice
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- 115** 525 Using Reflective Practice to Inform Personal and Professional Development

# INTRODUCTION

## About the Qualifications

### » QUALIFICATION OBJECTIVE

These qualifications are designed for individuals wishing to develop professional management and leadership practice, and who will have the knowledge, skills and behaviours to drive business activities in a senior management and leadership role.

Role and responsibilities may also include but are not limited to taking responsibility for people, projects, operations and/or services to deliver organisational success. They will have the professionalism to deliver impact, behave ethically and demonstrate a commitment to continual learning and development.

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

- Senior Manager
- Regional Manager
- Specialist Manager (with expertise in a specific business or technical function such as quality, finance, risk, marketing, sales IT, human resources etc.)
- Director

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 the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship ST0272/ST03
- 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 |
|----------|--|--------------------------------|
| 6A30     | CMI Level 6 Award in Professional Management and Leadership Practice | 603/4114/2                     |

|      |  |            |
|------|--|------------|
| 6C30 | CMI Level 6 Certificate in Professional Management and Leadership Practice | 603/4115/4 |
| 6D30 | CMI Level 6 Diploma in Professional Management and Leadership Practice     | 603/4116/6 |

## » KEY DATES

These qualifications are regulated from 1<sup>st</sup> February 2019 and the operational start date in CMI Centres is 1<sup>st</sup> February 2019. The qualification review date is 31<sup>st</sup> August 2024.

## » PROGRESSION OPPORTUNITIES

Upon successful completion of their qualification, learners are able to progress to further learning within the suite of Level 6 Qualifications in Professional Management and Leadership Practice - 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 learners may wish to further their personal and professional development by investigating the opportunity to become a Chartered Manager or enrolling on a higher level qualification with the CMI or on a Degree or Masters Programme at University.

Learners who are wishing to develop professional management and leadership practice will have knowledge, skills and behaviours to drive business activities in a senior management and leadership role:

- Senior Manager
- Regional Manager
- Specialist Manager (with expertise in a specific business or technical function such as quality, finance, risk, marketing, sales IT, human resources etc.)
- Director

## » 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 |   |
|-----------------------------------|---|
| 601                               | Professional Management and Leadership Practice |

### 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   |  |
| 602   | Developing, Managing and Leading Individuals and Teams |

- **Topic 2: Organisational Performance – Delivering Results**  
This section focuses on the skills, knowledge and competencies which are required by managers in a variety of roles.

| Theme: Developing Capabilities, Delivering Results, Driving Best Practice |                        |
|---|------------------------|
| Organisational Performance – Delivering Results (Day to Day Activities)   |                        |
| 603   | Organisational Culture |

<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)



|     |   |
|-----|---|
| 604 | Strategic Programme and Project Management            |
| 605 | Innovation and Change                                 |
| 606 | Developing and Leading Strategy                       |
| 607 | Procurement, Purchasing and Contracting               |
| 608 | Strategic Corporate Responsibility and Sustainability |
| 609 | Leading Quality Management                            |
| 610 | Principles and Practices of Policy Development        |
| 611 | Knowledge Management                                  |
| 612 | Coaching Skills for Leaders                           |
| 613 | Leading Equality, Diversity and Inclusion             |
| 614 | Principles and Practices of Ethical Decision Making   |
| 509 | Managing Stakeholder Relationships                    |
| 518 | Managing Risk   |
| 522 | Managing the Customer Experience                      |

- **Topic 3: Personal Effectiveness – Managing Self**

The final topic focuses on the learners own management skills.

|  |   |
|--|---|
| <b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b> |   |
| <b>Personal Effectiveness – Managing Self</b>                                    |   |
| 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.

### **CMI Level 6 Award in Professional Management and Leadership Practice**

Learners must complete at least one unit to a minimum of **50** TQT hours, 5 credits to achieve this qualification, selected from units 601-614, Group A. The minimum guided learning hours is 15.

| Unit No  | Unit Title   | GLH | TUT | CRD |
|--|--|-----|-----|-----|
| <b>Theme: Foundations for Excellence</b>   |  |     |     |     |
| <b>GROUP A</b>   |  |     |     |     |
| 601  | Professional Management and Leadership Practice        | 20  | 60  | 6   |
| <b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b> |  |     |     |     |
| <b>Interpersonal Excellence – Managing People and Developing Relationships</b>   |  |     |     |     |
| 602  | Developing, Managing and Leading Individuals and Teams | 19  | 60  | 6   |
| <b>Organisational Performance – Delivering Results (Day to Day Activities)</b>   |  |     |     |     |
| 603  | Organisational Culture                                 | 17  | 50  | 5   |
| 604  | Strategic Programme and Project Management             | 29  | 90  | 9   |
| 605  | Innovation and Change                                  | 22  | 70  | 7   |
| 606  | Developing and Leading Strategy                        | 20  | 60  | 6   |
| 607  | Procurement, Purchasing and Contracting                | 21  | 60  | 6   |
| 608  | Strategic Corporate Responsibility and Sustainability  | 20  | 60  | 6   |
| 609  | Leading Quality Management                             | 25  | 70  | 7   |
| 610  | Principles and Practices of Policy Development         | 20  | 60  | 6   |
| 611  | Knowledge Management                                   | 24  | 70  | 7   |
| 612  | Coaching Skills for Leaders                            | 15  | 70  | 7   |
| 613  | Leading Equality, Diversity and Inclusion              | 26  | 70  | 7   |
| 614  | Principles and Practices of Ethical Decision Making    | 18  | 60  | 6   |

## CMI Level 6 Certificate in Professional Management and Leadership Practice

Learners must complete any combination of units to a minimum of **130** TQT, 13 credits from Group A (Units 601-614). Learners may undertake additional units from Group A or B, to achieve this qualification. The minimum guided learning hours is 41.

| Unit No  | Unit Title  | GLH | TUT | CRD |
|--|---|-----|-----|-----|
| <b>Theme: Foundations for Excellence</b>   |   |     |     |     |
| <b>GROUP A</b>   |   |     |     |     |
| 601  | Professional Management and Leadership Practice                           | 20  | 60  | 6   |
| <b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b> |   |     |     |     |
| <b>Interpersonal Excellence – Managing People and Developing Relationships</b>   |   |     |     |     |
| 602  | Developing, Managing and Leading Individuals and Teams                    | 19  | 60  | 6   |
| <b>Organisational Performance – Delivering Results (Day to Day Activities)</b>   |   |     |     |     |
| 603  | Organisational Culture  | 17  | 50  | 5   |
| 604  | Strategic Programme and Project Management                                | 29  | 90  | 9   |
| 605  | Innovation and Change   | 22  | 70  | 7   |
| 606  | Developing and Leading Strategy   | 20  | 60  | 6   |
| 607  | Procurement, Purchasing and Contracting                                   | 21  | 60  | 6   |
| 608  | Strategic Corporate Responsibility and Sustainability                     | 20  | 60  | 6   |
| 609  | Leading Quality Management  | 25  | 70  | 7   |
| 610  | Principles and Practices of Policy Development                            | 20  | 60  | 6   |
| 611  | Knowledge Management  | 24  | 70  | 7   |
| 612  | Coaching Skills for Leaders   | 15  | 70  | 7   |
| 613  | Leading Equality, Diversity and Inclusion                                 | 26  | 70  | 7   |
| 614  | Principles and Practices of Ethical Decision Making                       | 18  | 60  | 6   |
| <b>GROUP B</b>   |   |     |     |     |
| <b>Personal Effectiveness – Managing Self</b>                                    |   |     |     |     |
| 525  | Using Reflective Practice to Inform Personal and Professional Development | 16  | 50  | 5   |

## CMI Level 6 Diploma in Professional Management and Leadership Practice

Learners must complete a combination to a minimum of 370 TQT hours, 37 credits to achieve this qualification, learners must achieve a minimum of 230 TQT hours from Group A and 140 TQT hours, 14 credits from either Group A or Group B. The minimum guided learning hours is 118.

| Unit No  | Unit Title   | GLH | TUT | CRD |
|--|--|-----|-----|-----|
| <b>Theme: Foundations for Excellence</b>   |  |     |     |     |
| <b>GROUP A</b>   |  |     |     |     |
| 601  | Professional Management and Leadership Practice        | 20  | 60  | 6   |
| <b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b> |  |     |     |     |
| <b>Interpersonal Excellence – Managing People and Developing Relationships</b>   |  |     |     |     |
| 602  | Developing, Managing and Leading Individuals and Teams | 19  | 60  | 6   |
| <b>Organisational Performance – Delivering Results (Day to Day Activities)</b>   |  |     |     |     |
| 603  | Organisational Culture                                 | 17  | 50  | 5   |
| 604  | Strategic Programme and Project Management             | 29  | 90  | 9   |
| 605  | Innovation and Change                                  | 22  | 70  | 7   |
| 606  | Developing and Leading Strategy                        | 20  | 60  | 6   |
| 607  | Procurement, Purchasing and Contracting                | 21  | 60  | 6   |
| 608  | Strategic Corporate Responsibility and Sustainability  | 20  | 60  | 6   |
| 609  | Leading Quality Management                             | 25  | 70  | 7   |
| 610  | Principles and Practices of Policy Development         | 20  | 60  | 6   |
| 611  | Knowledge Management                                   | 24  | 70  | 7   |
| 612  | Coaching Skills for Leaders                            | 15  | 70  | 7   |
| 613  | Leading Equality, Diversity and Inclusion              | 26  | 70  | 7   |
| 614  | Principles and Practices of Ethical Decision Making    | 18  | 60  | 6   |
| <b>GROUP B</b>   |  |     |     |     |
| 509  | Managing Stakeholder Relationships                     | 18  | 40  | 4   |
| 518  | Managing Risk  | 23  | 60  | 6   |
| 522  | Managing the Customer Experience                       | 22  | 50  | 5   |

**Personal Effectiveness – Managing Self**

|     |   |    |    |   |
|-----|---|----|----|---|
| 525 | Using Reflective Practice to Inform Personal and Professional Development | 16 | 50 | 5 |
|-----|---|----|----|---|

# APPRENTICESHIP PATHWAY

## Chartered Manager Degree Apprenticeship Standard Support Information

It must be noted that there is no mandated qualification required within the Chartered Manager Degree Apprenticeship Standard (ST0272/ST03).

However, the seven (7) units listed below can support training and employer providers in the development of their on-programme activities for their practising or aspiring managers who are enrolled on the Chartered Manager Degree Apprenticeship in order to enable them to gain the knowledge required. This knowledge and learning must then be applied in the workplace to enable apprentices to evidence the relevant skills and behaviours for EPA.

| Unit No  | Unit Title  | GLH | TUT | CRD |
|--|---|-----|-----|-----|
| <b>Theme: Foundations for Excellence</b>   |   |     |     |     |
| 601  | Professional Management and Leadership Practice                           | 20  | 60  | 6   |
| <b>Theme: Developing Capabilities, Delivering Results, Driving Best Practice</b> |   |     |     |     |
| <b>Interpersonal Excellence – Managing People and Developing Relationships</b>   |   |     |     |     |
| 602  | Developing, Managing and Leading Individuals and Teams                    | 19  | 60  | 6   |
| <b>Organisational Performance – Delivering Results (Day to Day Activities)</b>   |   |     |     |     |
| 604  | Strategic Programme and Project Management                                | 29  | 90  | 9   |
| 605  | Innovation and Change   | 22  | 70  | 7   |
| 606  | Developing and Leading Strategy   | 20  | 60  | 6   |
| 607  | Procurement, Purchasing and Contracting                                   | 21  | 60  | 6   |
| <b>Personal Effectiveness – Managing Self</b>                                    |   |     |     |     |
| 525  | Using Reflective Practice to Inform Personal and Professional Development | 16  | 50  | 5   |

# QUALIFICATION DELIVERY

## Information for Centres

CMI does not specify the mode of delivery for its qualifications at Level 6; therefore CMI Centres are free to deliver the Level 6 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.

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 partners may 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 | Prese-ntation | Mgt Project | Plan/ proposal | Budget and Management Commentary |
|-----|-----------------------------|--------|----------------------|-------|---------------------|-------------------------------------|---------------|-------------|----------------|----------------------------------|
| 601 | x                           | x      | x                    |       |                     | x                                   |               |             |                |                                  |
| 602 | x                           | x      | x                    |       | x                   | x                                   |               |             |                |                                  |
| 603 | x                           | x      | x                    |       | x                   | x                                   |               |             | x              |                                  |
| 604 | x                           | x      | x                    |       | x                   | x                                   |               |             |                |                                  |
| 605 | x                           | x      |                      |       | x                   | x                                   |               |             | x              |                                  |
| 606 | x                           | x      |                      |       | x                   | x                                   |               |             |                |                                  |
| 607 | x                           | x      |                      |       | x                   | x                                   |               |             |                |                                  |
| 608 | x                           | x      | x                    |       | x                   | x                                   | x             |             | x              |                                  |
| 609 | x                           | x      |                      |       | x                   | x                                   |               |             | x              |                                  |
| 610 |                             | x      |                      |       | x                   | x                                   |               |             |                |                                  |
| 611 | x                           | x      |                      |       | x                   | x                                   |               |             |                |                                  |
| 612 | x                           | x      | x                    |       | x                   | x                                   |               |             |                |                                  |
| 613 | x                           | x      | x                    |       |                     | x                                   | x             |             | x              |                                  |
| 614 | x                           | x      |                      |       | x                   | x                                   |               |             |                |                                  |
| 509 | x                           | x      | x                    |       | x                   | x                                   |               |             |                |                                  |
| 518 | x                           | x      | x                    | x     | x                   | x                                   |               |             |                |                                  |
| 522 | x                           | x      | x                    | x     | x                   | x                                   |               |             |                |                                  |
| 525 |                             | x      | x                    |       |                     | x                                   |               |             |                |                                  |

Group assessment is not a recognised assessment method for this qualification. Learners must provide evidence that 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 6. 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 |
|----------|---|----------------------|
| 601      | Professional Management and Leadership Practice                           | 3000-3500            |
| 602      | Developing, Managing and Leading Individuals and Teams                    | 3500-4000            |
| 603      | Organisational Culture  | 3000-3500            |
| 604      | Strategic Programme and Project Management                                | 3500-4000            |
| 605      | Innovation and Change   | 3500-4000            |
| 606      | Developing and Leading Strategy   | 3500-4000            |
| 607      | Procurement, Purchasing and Contracting                                   | 3500-4000            |
| 608      | Strategic Corporate Responsibility and Sustainability                     | 3000-3500            |
| 609      | Leading Quality Management  | 3500-4000            |
| 610      | Principles and Practices of Policy Development                            | 3500-4000            |
| 611      | Knowledge Management  | 3500-4000            |
| 612      | Coaching Skills for Leaders   | 3500-4000            |
| 613      | Leading Equality, Diversity and Inclusion                                 | 3500-4000            |
| 614      | Principles and Practices of Ethical Decision Making                       | 3000-3500            |
| 509      | Managing Stakeholder Relationships  | 2500-3000            |
| 518      | Risk Management   | 3500-4000            |
| 522      | Managing the Customer Experience  | 3500-4000            |
| 525      | Using Reflective Practice to Inform Personal and Professional Development | 2500-3000            |

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 the fee's guide for current pricing.

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

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

It's fast, comprehensive and free to members

ManagementDirect 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.

- 231 Management Checklists and 64 Management Thinker profiles
- One page overviews of key Management Models
- Multimedia resources – 200 Leader Videos
- CMI research and Professional Manager articles
- Authoritative definitions of management terms
- Over 11,000 articles and 9000 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 webinars 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:
  - o **'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 Apprenticeship Standard for the Chartered Manager Degree Apprenticeship ST0272/ST03
- Recommendations for Assessment which provides a range of suggested assessment activities for actual or aspiring managers and leaders
- Relationships to framework - the Apprenticeship Standard
- 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 6 units:

| Foundations for Excellence                                 |  |
|--|--|
| <b>601 Professional Management and Leadership Practice</b> | <p>An outstanding professional manager and leader is typified by someone who has the ability to select and apply knowledge, skills, values and behaviours effectively in their working role. Whilst many of these attributes can be developed through experiential learning, these can be sharpened and amplified through an in-depth exploration of the topic.</p> <p>The aim of this unit is to enable the professional manager and leader to consider the influence of an organisation's context on how individuals are managed and led. They will reflect on the values, behaviours, knowledge and skills required, not only to deliver successful organisational outcomes, but to lead individuals with confidence.</p> |

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|--|--|
| <p><b>602 Developing, Managing and Leading Individuals and Teams</b></p> | <p>Individuals and teams are a highly prized resource which, if developed, managed and led effectively, can transform an organisation's reputation, productivity and success.</p> <p>The aim of this unit is for the professional manager and leader to understand the principles for developing, managing and leading individuals and teams. On completion of the unit, learners will understand the multi-dimensional factors which influence the way individuals and teams are developed and led. They will examine the role of organisational structures for managing human resources and be given the opportunity to research classic and contemporary approaches to the management and development of individuals and teams. Ultimately, this unit will culminate in an assessment of the skills required to lead and develop individuals and teams in a manner that not only achieves results but is ethical, fair, empowering and collaborative.</p> |
| <p><b>603 Organisational Culture</b></p>                                 | <p>Culture matters. Beliefs, principles, ideologies, behaviours and values have the power to influence an organisation's success. Culture is emergent, it develops over time and is influenced by the cultural identity of staff and stakeholders and the approaches taken to lead and manage others. It is also influenced by an organisation's history, purpose, activities, vision, mission and values.</p> <p>The aim of this unit is to equip professional managers and leaders with an understanding of the role and impact of culture within organisations and the approaches to make and sustain cultural change.</p>  |
| <p><b>604 Strategic Programme and Project Management</b></p>             | <p>Programme and project management is an essential skill for a professional manager and leader to develop. Whilst a project is singular, programmes will encompass a range of projects. The reality of managing programmes and projects is complicated. There are a broad range of multi-dimensional issues which influence how these are led; not least the impact of stakeholder involvement, financing, resourcing and appetite for risk. Ultimately, the success of a programme or project is judged on the achievement of goals within the parameters of cost, quality, resources used and timescales.</p> <p>The aim of this unit is to equip professional managers and leaders with an understanding of how to proactively respond to the demands of project and programme management, regardless of their type, size and complexity.</p>  |
| <p><b>605 Innovation and Change</b></p>                                  | <p>The ability to drive innovation and change is an essential skill for a professional manager and leader. Innovation, defined simply as 'doing something new or different,' is a powerful catalyst for change. It can revolutionise an organisation's operational activities, create dynamic new opportunities, and contribute to the achievement of strategic goals. Change occurs in many forms and leaders must be able to respond to changes which are radical, incremental or evolutionary.</p> <p>This unit has been designed to enable the professional manager and leader to understand innovation and change within organisational contexts. It explores the rationale for innovation and change, such as the impact of technology and digitalisation. Most importantly it focuses on the knowledge, values and behaviours that ultimately will equip the professional managers and leaders to successfully drive innovation and change.</p>       |

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| <b>606 Developing and Leading Strategy</b>                    | <p>Organisational strategy is often seen as a blueprint which guides an organisation's path. It can be created to provide stakeholders with the organisation's direction for the future, as well as enabling an organisation to measure and monitor its success. Organisational strategy may evolve over time to respond to different circumstances, new opportunities or unexpected challenges. Ultimately, successful outcomes result from the way the organisational strategy is led, managed and implemented.</p> <p>The aim of this unit is to enable professional managers and leaders to understand approaches to developing organisational strategy and how to formulate and lead operational strategy to achieve a strategic aim.</p>   |
| <b>607 Procurement, Purchasing and Contracting</b>            | <p>The ability to procure, purchase and contract goods, services and capital items effectively is of paramount importance if an organisation is to succeed. For the professional manager and leader this knowledge and understanding is invaluable. It has the power to enhance decision making, strategic and operational planning and the effective delivery of outcomes within budgetary constraints.</p> <p>It is important to recognise that the terms 'procurement' and 'purchasing' are interpreted differently depending on the type of organisation. For the purpose of this unit, 'procurement' is recognised as the strategic activity that will be underpinned by 'purchasing' and 'contracting'.</p> <p>The aim of this unit is for managers and leaders to realise business objectives through competent, ethical and professional contracting, purchasing and procurement practices.</p>                        |
| <b>608 Strategic Corporate Responsible 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.</p> <p>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> |
| <b>609 Leading Quality Management</b>                         | <p>Effective quality management is critical to meeting stakeholder needs and expectations, developing trust and reputation. It impacts on profitability, processes and procedures and the achievement of strategic objectives. Quality is not something that occurs by chance. It is reliant on strategic and operational planning and the commitment and drive by professional managers, leaders, teams and individuals to make it a success.</p> <p>The aim of this unit is to enable professional managers and leaders to understand the rationale and approaches to quality management. Critically, the unit focuses on how quality and continuous improvement can be instilled into all aspects of working practice.</p>  |



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| <p><b>610 Principles and Practices of Policy Development</b></p> | <p>The principles laid down in organisational, corporate, functional and departmental policies have a direct bearing on the daily activities of an organisations workforce. Policy focuses on the activities which are of critical importance to an organisation. Policies can be used to set strategic direction. Policies also set expectations about the behaviours and values required by staff to work ethically and professionally within their roles and when representing the organisation.</p> <p>Policy writing is an art form which requires great skill. An in-depth understanding of the context in which policy is developed, the factors which drive the need for policy, and crucially, the influence of stakeholders in policy development is required to write effective policies.</p> <p>The aim of the unit is to enable professional managers and leaders to take a fresh look at the role policy plays within an organisation, know how policy can be developed and ultimately, cascaded successfully to its intended audience.</p>  |
| <p><b>611 Knowledge Management</b></p>                           | <p>The approach taken to manage knowledge within organisations has the power to impact on productivity, competitive advantage, succession planning and ultimately an organisation's success.</p> <p>Knowledge management is more than the use of information and communications technologies to exchange data and information. Knowledge management also focuses on strategy, experiential learning and context. It includes human interaction and understanding.</p> <p>On successful completion of the unit, professional managers and leaders will understand the impact of knowledge management on an organisation and the individuals working within it. Vitally, professional managers and leaders will develop a strategy to drive knowledge management in an organisational context.</p>   |
| <p><b>612 Coaching Skills for Leaders</b></p>                    | <p>Coaching is a powerful learning and development tool. Used effectively, it is able to optimise individual and team performance and the achievement of organisational goals. Coaching has rapidly become an essential leadership tool. It enables the professional manager and leader to support, motivate and empower individuals and teams in a conversational and insightful way. This contrasts with and complements the use of traditional directive leadership approaches.</p> <p>This unit focuses on these specific coaching skills, techniques and approaches that are required by leaders to develop the knowledge, skills and resourcefulness of individuals. It focuses on the benefits and types of coaching used by leaders in different contexts and how the application of coaching impacts in the organisational environment.</p> <p>A key part of this unit is for leaders to critically reflect on own their own ability to coach individuals and identify opportunities for improvement. In order to achieve this, learners will need to use coaching skills in their leadership practice.</p> |

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|---|---|
| <p><b>612 Coaching Skills for Leaders</b></p>                         | <p>Coaching is a powerful learning and developing tool. Used effectively, it is able to optimise individual and team performance and the achievement of organisational goals. Coaching has rapidly become an essential leadership tool. It enables the professional manager and leader to support, motivate and empower individuals and teams in a conversational and insightful way. This contrasts with the complements the use of traditional directive leadership approaches.</p> <p>This unit focuses on these specific coaching skill, techniques and approaches that are required by leaders to develop the knowledge, skills and resourcefulness of individuals. It focuses on the benefits and types of coaching used by leaders in different contexts and how the application of coaching impacted in the organisational environment.</p> <p>A ket part of this unit is for leaders to critically reflect on their own ability to coach individuals and identify opportunities for improvement. In order to achieve this, learners will need to use coaching skills in their leadership practice.</p> |
| <p><b>613 Leading Equality, Diversity and Inclusion</b></p>           | <p>The ability to lead equality, diversity and inclusion in an organisational context requires insight, knowledge and a commitment to valuing individuals regardless of their similarities and differences.</p> <p>Whilst an in-depth understanding of the legal and regulatory frameworks is essential, managers and leaders must constantly keep abreast of changes and influences which impact on how equality, diversity and inclusion is led and managed. To do this effectively, managers and leaders need to create an environment where individuals and teams feel able to have honest conversations and share their needs, expectations and opinions in an open and constructive way.</p> <p>The aim of this unit is to equip professional managers and leaders with the understanding and knowledge of how to lead equality, diversity and inclusion with confidence.</p>   |
| <p><b>614 Principles and Practices of Ethical Decision Making</b></p> | <p>The ability to make ethical decisions under pressure is a fundamental requirement of a professional manager and leader. Ethical decision making is not easy, especially when decisions are under the spotlight of stakeholder opinion, constrained by organisational, legal and regulatory requirements, where ambiguity exists, where risks are high or where the outcome of decisions will be unpopular.</p> <p>All decisions involve some form of value-based judgement and could involve ethical considerations. Whilst mechanistic decision making is the ability to select an action from different alternatives, ethical decision-making focuses on value-based judgements and a wider range of issues that are typically more complicated in nature.</p> <p>The aim of this unit is to equip professional managers and leaders with the understanding of how to make ethical decisions in different organisational contexts.</p>   |
| <p><b>509 Managing Stakeholder Relationships</b></p>                  | <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>  |

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| <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>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>525 Using Reflective Practice to Inform Personal and Professional Development</b> | <p>Reflective practice is an essential management tool which supports the development of knowledge, skills and behaviours in the workplace. 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 meaningful personal and professional development.</p> |

**Ofqual unit number** K/617/4450

**RQF level** 6

**Guided Learning Hours** 20

**Total unit time** 60

**Credits** 6

**Aims of unit**

An outstanding professional manager and leader is typified by someone who has the ability to select and apply knowledge, skills, values and behaviours effectively in their working role. Whilst many of these attributes can be developed through experiential learning, these can be sharpened and amplified through an in-depth exploration of the topic.

The aim of this unit is to enable the professional manager and leader to consider the influence of an organisation's context on how individuals are managed and led. They will reflect on the values, behaviours, knowledge and skills required, not only to deliver successful organisational outcomes, but to lead individuals with confidence.

**Keywords**

Management, leadership, influence, organisational context, reflection, personal values, drivers, skills, communication, collaboration, impact.

**Learning outcome 1**

**Understand the influence of organisational context on management and leadership practice**

**Assessment criteria**

1.1 Discuss the influence of organisational context on management and leadership practice with reference to theoretical concepts and contemporary thinking

**Indicative content**

*1.1 Organisational context:* 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.

*Theoretical concepts:* Values-driven Leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Responsible Leadership (Maak & Pless, 2006). Leadership as a Phenomenon (Lawler, 2005). Resonant Leadership (McKee, Boyatzis, & Goleman 2003). Five Practices of Exemplary Leadership (Kouzes & Posner, 1987). Situational Leadership (Hersey & Blanchard, 1969). Traditional Management Competencies (McBer & Boyatzis, 1996). Theory of Hierarchies (Maslow, 1943; 1987). Corporate Culture (Jacques, 1951). Ethical Leadership (Mendonca & Kanungo, 2007). Leadership Styles (Goleman, 1995). Charismatic Leadership (House, 1997).

*Contemporary thinking:* Entrepreneurial Leadership (Roebuck, 2014). Authentic Leadership (Goffee & Jones, 2011). The Servant Leader (Greenleaf, 1977). Distributed leadership (Gronn, 2000). Cross Cultural Leadership (Hofstede, 1991). Followership (Kelley, 1988). Transformational Leadership (Bass & Riggio, 2006).

## Learning outcome 2

### Understand the practice of professional management and leadership

#### Assessment criteria

- 2.1 Critically reflect on values and behaviours which underpin professional management and leadership practice
- 2.2 Discuss the knowledge and skills required for a professional manager and leader to deliver successful outcomes for an organisation
- 2.3 Critically appraise the use of communication to lead others with impact

#### Indicative content

*2.1 Values and behaviours:* Interplay between organisational values and behaviours (e.g. formally published standards) and personal values and behaviours.

*Values:* Integrity. Honesty. Objectivity. Impartiality. Inclusivity/openness. Authenticity. Ethical.

*Behaviours:* change and improve, making effective decisions, leading and communicating, collaborating and partnering, building capability for all, managing a quality service, delivering at pace. Motivation. Taking responsibility. Building trust with others. Seeks the views of others. Values diversity internally and externally. Resilience. Determination. Seeks new opportunities. Agile (flexible to the needs of the organisation). Creative. Innovative. Enterprising. Solution focussed. Responsive to business needs. Positive. Adaptable. Responsive to feedback and need to change. Open to new ways of working. Professional (e.g. sets an example, ethical, fair, consistent and impartial). Operates within organisational values and adheres to codes of conduct and ethics.

*2.2 Knowledge requirements (tailored to the needs of the professional manager and leader):* Ethics and responsibility. Governance and regulatory requirements. Knowledge management. Change management. Project and programme management. Corporate Social Responsibility. Financial management. Leadership. Strategy. Human resources (developing people and capabilities). Marketing. Quality Management. Supply chain management. Uses knowledge to make complex decisions (within limits of authority and in relation to the needs of business). Maintains currency of knowledge.

*Skills requirements:* Support the creation of an inclusive, high performance work culture. Delegates to others. Provides clear guidance, purpose and monitors progress. Able to manage stress and personal well-being. Able to manage time, set priorities, achieve results. Manages and chairs meetings. Promotes and enables learning. Experiential Learning Cycle (Kolb, 1984). Single and Double Loop Learning (Argyris, 1991).

Develops collaborative relationships. Approaches to stakeholder and supplier management. Contributes within a team environment. Builds rapport and trust. Develops networks and maintain relationships with people from a range of cultures, backgrounds and levels. Effectively influences and negotiates.

*2.3 Communication:*

- *Values and behaviours for communicating:* Uses active listening and open questioning to structure conversations and discussions. Able to manage challenging conversations. Gives effective/constructive feedback. Interpersonal skills, awareness of others. Effective listening skills, influencing techniques, negotiating and persuasion. Uses storytelling to articulate, translate and reinforce mission, vision, strategic aims and objectives. Builds rapport and trust, develop networks and maintain relationships with people from a range of cultures, backgrounds and levels. Communicates clearly, effectively and regularly.
- *Communications channels:* Use and application of different forms of communication (oral, non-verbal - written and digital channels and platforms for communication such as workshops, team meetings, away-days, conferences, formal presentations, formal and informal reporting, 360 feedback).
- *Theory and strategy:* Communication within a broader change strategy (Kotter, 1995). Auditing the communication strategy (Hargie & Tourish, 2000). Organisational 'silence 'why organisations don't communicate' (Morrison & Milliken, 2000). Different organisational communication strategies (Clampitt et al., 2000). Organisational gossip (Michelson & Mouly, 2000).

## Recommendations for assessment

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

1. The learner may be asked to write a **report** on the influence of an organisation's context on management and leadership practice
2. The learner may be asked to write an **account** on the principles which underpin professional management and leadership
3. The learner may produce a **reflective account** on their management and leadership practice to evidence their ability 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>• Managing yourself</li><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><li>• Building relationships and networks</li></ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>• Achieving results</li></ul>  |

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship ST0272/ST03:

| <b>Standard</b>  | <b>Knowledge</b>   | <b>Skills</b>   |
|------------------|--|---|
| F. Communication | F1. Different forms of communication (written, verbal, non-verbal, digital) and how to apply them                    | F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms                         |
|                  | F3. Interpersonal skills awareness including effective listening, influencing techniques, negotiating and persuasion | F5.1 Use active listening and open questioning to structure conversations and discussions, and able to challenge when appropriate |
|                  |  | F7. Apply influencing and persuading skills, to the dynamics and politics of personal interaction                                 |

|   |   |  |
|---|---|--|
| G. Leading People                         | G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches   | G4. Support the creation of an inclusive, high performance work culture  |
| H. Managing People                        |   | H5. Delegate to others, provide clear guidance and monitor progress  |
| I. Developing Collaborative Relationships | I1. Approaches to stakeholder and supplier management, developing engagement, facilitating cross functional working and negotiation   | I3. Build rapport and trust develop networks and maintain relationships with people from a range of cultures, backgrounds and levels<br>I4. Contribute within a team environment<br>I5. Effectively influence and negotiate, being able to have challenging conversations and give constructive feedback |
| J. Awareness of Self and Others           |   | J5. Manage stress and personal well-being, being confident in knowing core values and drivers  |
| K. Management of Self                     | K1. How to manage time, set goals, prioritise activities and undertake forward planning in a business environment with a focus on outcomes  |  |
| L. Decision Making                        | L2. The values, ethics and governance of your organisation  |  |
| Behaviours                                | M1 Takes responsibility (drive to achieve all aspects of work; demonstrates resilience and determination when managing difficult situations; seeks new opportunities underpinned by commercial acumen and sound judgement)<br>M2 Inclusive (Open, approachable, authentic and able to build trust with others Seeks the views of others and values diversity internally and externally)<br>M3 Agile (flexible to the needs of the organisation; is creative, innovative and enterprising when seeking solutions to business needs; positive and adaptable, responding well to feedback and need to change; open to new ways of working and new management theories)<br>M4 Professionalism (sets an example, and is ethical, fair, consistent and impartial; operates with organisational values and adheres to the CMI's Professional Code of Conduct and Practice) |  |

## Suggested reading/web resource materials

### Textbooks/eBooks

- Adair, J. E. (2009). *Not Bosses but Leaders: How to Lead the Way to Success*. London UK: Kogan Page.
- Arnott, D.H. (1995). The Five Lenses of Leadership. *The Journal of Leadership Studies*, 2: 137-141.
- Argyris, C. (2001). Breakthrough Leadership. *Harvard Business Review*, 79(11): 29-29.
- Avolio, B.J. and Gardner, W.L. (2005). Authentic Leadership Development: Getting to the root of positive forms of Leadership. *The Leadership Quarterly*, 16(3): 315-338.
- Bass, B.M. and Riggio, R.E. (2006). *Transformational Leadership* 2<sup>nd</sup> ed. New York, NY: Routledge.
- Bennis, W. (1989). *On Becoming a Leader*. New York, NY: Addison Wesley.
- Bennis, W. and Nanus, B. (1985). *Leaders: The Strategies for Taking Charge*. New York, NY: Harper & Row.
- Blake, R.R. and Mouton, J.S. (1964). *The Managerial Grid: The Key to Leadership Excellence*. Houston, TX: Gulf Publishing.
- Blanchard, K. and Johnson, S. (1982). *The One Minute Manager*. New York, NY: Harper Collins.
- Bones, C. (2011). *The Cult of the Leader*. Chichester: J. Wiley & Sons.
- Covey, S. (2004). *The 7 Habits of Highly Effective People*. London: Simon & Schuster Ltd.
- Denis, J.L., Langley, A., Rouleau, L. (2010) The Practice of Leadership in the Messy World of Organisations, *Leadership* 6(1): 67-88.
- Gordon, R. (2011). Leadership and Power. In A. Bryman, D. Collinson, K. Grint, B. Jackson, and M. Uhl-Bien (eds) *The Sage Handbook of Leadership*. London: Sage Publications.
- Graeff, C.L. (1983). The Situational Leadership Theory: A Critical View. *Academy of Management Review*, 8(2): 285-291.
- Grint, K. (2010). *Leadership: A Very Short Introduction*. Oxford: Oxford University Press.
- Institute of Business Ethics (2011). *Ethics in Decision-Making Good Practice Guide*. London, UK: Institute of Business Ethics.
- Judge, T.A. and Bono, J.E. (2000). 'Five-Factor Model of Personality and Transformational Leadership'. *Journal of Applied Psychology*, 85(5): 751-765.
- Kotter, J.P. (2012). *Leading Change*. Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.
- Kotter, J.P. (1990). *A Force for Change: How Leadership Differs from Management*. New York, NY: Free Press.
- Mullins, L.J. (2016). *Management and Organisational Behaviour*. 11<sup>th</sup> ed. Harlow: Pearson Education.
- Northouse, P. (2018). *Leadership: Theory and Practice*. 8th ed. London: Sage.
- Pedler, M., Burgoyne, J. and Boydell, T. (2013). *A manager's guide to self-development*. Maidenhead: McGraw-Hill.
- Roe, K. (2017). *Leadership Practice & Perspectives*. Oxford: OUP
- Spillane, James P. (2006) *Distributed leadership* 1<sup>st</sup> ed. San Francisco, CA: Jossey Bass.

### Journals

- Leadership Quarterly
- Harvard Business Review
- Leadership



- Professional Manager

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.

**Ofqual unit number** A/617/4453

**RQF level** 6

**Guided learning hours** 19

**Total unit time** 60

**Credits** 6

**Aims of unit** Individuals and teams are a highly prized resource which, if developed, managed and led effectively, can transform an organisation's reputation, productivity and success.

The aim of this unit is for the professional manager and leader to understand the principles for developing, managing and leading individuals and teams. On completion of the unit, learners will understand the multi-dimensional factors which influence the way individuals and teams are developed and led. They will examine the role of organisational structures for managing human resources and be given the opportunity to research classic and contemporary approaches to the management and development of individuals and teams. Ultimately, this unit will culminate in an assessment of the skills required to lead and develop individuals and teams in a manner that not only achieves results but is ethical, fair, empowering and collaborative.

**Keywords** Development, management, leadership, structure, human resources, theoretical approaches, policy, procedure, regulatory, legal requirements, learning, skills, success.

### Learning outcome 1

#### Understand the principles for developing, managing and leading individuals and teams

#### Assessment criteria

- 1.1 Critically examine the factors which influence the way individuals and teams are developed and led
- 1.2 Examine how organisational frameworks support the management and development of individuals and teams

#### Indicative content

##### *1.1 Factors which influence the way individuals and teams are developed and led:*

Internal factors: An organisation's vision, purpose, values and culture. Organisational culture (Schein, 1994). Myths, stories, systems, processes, structure (Johnson et al., 2011) Internal politics. Psychological Contract (Rousseau, 1989). Demographic of the workforce. Governance of organisation (e.g. public, private, third sector). Legal status of the organisation. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Hierarchy of organisational learning (Burgoyne & James, 2006).

External factors: Business environment, market, national characteristics of population (Hofstede, 2001). Culture of stakeholders, partners, competitors (Porter's Five Forces, 1979). Political, economic, social, technological, legal, environment, ethical (PESTLE/PESTLEE/PESTLED).

Leadership: Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Situational Leadership (Hersey and Blanchard, 1969). Ethical Leadership (Mendonca & Kanungo, 2007). Cross Cultural leadership (Hofstede, 1991).

1.2 *Organisational frameworks*: Human Resource Development (Ulrich & Brockbank, 2005). Policies and procedures for recruitment and selection, staff development, well-being, succession and pipeline planning, talent development. Regulatory and legislative requirements (e.g. Equality Act 2010, Health and Safety Act 1974, industry specific regulations - inclusive of subsequent changes, deletions and replacements).

## Learning outcome 2

### Know how to develop, manage and lead individuals and teams to achieve results

#### Assessment criteria

2.1 Critically assess approaches to team development

2.2 Evaluate approaches to the management and development of individuals

2.3 Critique the skills required to lead and develop individuals and teams to achieve results

#### Indicative content

2.1 *Approaches to team development*: Model of Team Development (Tuckman, 1965). Team Size (Dunbar's Number, 2010). Team Management Wheel (Margerison and McCann, 1995). Group and team difference (Katzenbach & Smith, 1993). Team Roles (Belbin, 1993). The Four T Model, (Roe, 2017).

2.2 *Management of individuals*: Goal setting including links to organisational objectives, key performance indicators (KPIs). Use of SMART. Performance Management such as the use of diagnostic and evaluation tools, personal development review (PDR), performance improvement plan (PIP), Personal Development Plan (PDP), 360° appraisal, peer review and self-review. Diversity Management.

*Development of individuals*: Formal and informal development activities (e.g. training courses, secondments, job shadowing, temporary promotion/role change). Approaches to development such as self-directed/distance learning. Social and collaborative learning. Face to face, blended or online learning. Group or individual learning. Coaching and/or mentoring. The OSCAR Coaching Model (Gilbert & Whittleworth, 2009). GROW Coaching Model (Whitmore, 2002). Use of technology as a learning tool (e.g. webinars, blogs, social and collaborative platforms, MOOCs, gamification, e-learning, assessment and feedback, mobile learning).

2.3 *Skills required to lead and develop individuals and teams to achieve results*: Ability to inform, communicate and articulate organisational vision and goals. Empowers/motivates others. Delegates, manages conflict, builds trust, resilience, takes responsibility (uses a solution focussed approach).

Works collaboratively, is ethical, fair and impartial (e.g. Development opportunities). Culturally, socially aware. Supportive, encouraging. Rewards and recognises performance. Uses emotional Intelligence (Goleman, 1995). Application of formal HRM/HRD processes (e.g. Performance Improvement Plans (PIP), procedures (e.g. capability and development).

#### Recommendations for assessment

Learners may approach the assessment in several 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 foundations for developing, managing and leading individuals and teams.
2. The learner may be asked to respond to a **scenario** based on how they would manage, lead and develop individuals and teams to achieve results.
3. 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 CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

|                                   |  |
|-----------------------------------|--|
| <b>Personal Effectiveness</b>     | <ul style="list-style-type: none"> <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> <li>• Building relationships and networks</li> </ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"> <li>• Achieving results</li> <li>• Managing resource and risk</li> </ul>  |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| Standard                                  | Knowledge  | Skills   |
|---|--|--|
| G. Leading Individuals                    | G2. Organisational culture and diversity management  | G3. Articulate organisational purpose and values   |
| H. Managing Individuals                   | H1. How to recruit, manage and develop individuals, using inclusive talent management approaches             | H4. Build teams, empower and motivate others to improve performance or achieve outcomes  |
|   | H2. How to use HR systems and processes to ensure legal requirements, health and safety and well-being needs | H6. Set goals and accountabilities   |
|   | H3. How to set goals and manage performance  |  |
| I. Developing Collaborative Relationships |  | I4. Contribute within a team environment<br><br>I5. Effectively influence and negotiate, being able to have challenging conversations and give constructive feedback |

## Suggested reading/web resource materials

### Textbooks/eBooks

- Adair, J. E. (2009). *Not Bosses but Leaders, How to Lead the Way to Success*. London, UK: Kogan Page.
- Belbin, R. M. (2011). *Team Roles at Work*. London: Taylor and Francis.
- Bennis, W. and Nanus, B. (2007). *Leaders: Strategies for Taking Charge*. New York, NY: Harper & Row.
- Blake, R.R. and Mouton, J.S. (1964). *The Managerial Grid: The Key to Leadership Excellence*. Houston, TX: Gulf Publishing.
- Covey, S.M.R. (2008). *The Speed of Trust: The One Thing that Changes Everything*. London: Simon & Schuster.
- Dunbar, R. (2011). *How Many Friends Does One Person Need? Dunbar's Number and Other Evolutionary Quirks*. London: Faber and Faber.
- Gilbert, A. and Whittleworth, K.J. (2009). *The OSCAR Coaching Model. Simplifying Workplace Coaching*. Redbrook, Monmouthshire: Worth Consulting.
- Goleman, D. (1996). *Emotional Intelligence: Why it Can Matter More Than IQ*. London: Bloomsbury Publishing.
- Handy, C. (2002). *The Age of Unreason. New Thinking For A New World*. New York, NY: Penguin Random House.
- Institute of Business Ethics (2011). *Ethics in Decision-making*. Good Practice Guide. London: Institute of Business Ethics.
- Katzenbach, J. R. and Smith, D.K. (2005). *Wisdom of Teams. Creating the High Performance Organisation*. Maidenhead: McGraw-Hill.
- Margerison, C.J. and McCann, R. (1995). *Team Management: Practical New Approaches*. 2nd ed. Oxford: Management Books 2000 Ltd.
- Mullins, L.J. (2016). *Management and Organisational Behaviour*. 11th ed. Harlow: Pearson Education.
- Northouse, P. (2018). *Leadership: Theory and Practice*. 8th ed. London: Sage.
- Pedler, M., Burgoyne, J. and Boydell, T. (2013). *A Manager's Guide to Self-Development*. Maidenhead: McGraw-Hill.
- Roe, K. (2017). *Leadership Practice & Perspectives*. Oxford: OUP.
- Schneider, W.E. (1994). *The Reengineering Alternative: A Plan for Making Your Current Culture Work*. New York, NY: McGraw Hill.
- Vroom, V.H. (1994). *Work and Motivation*. Hoboken, NJ: John Wiley & Sons.
- Whitmore, J. (2017). *Coaching for Performance: The Principles and Practice of Coaching and Leadership*. 25th Anniversary ed. London: Nicholas Brealey Publishing Limited.

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.

**Ofqual unit number** F/617/4454

**RQF level** 6

**Guided learning hours** 17

**Total unit time** 50

**Credits** 5

**Aims of unit** Culture matters. Beliefs, principles, ideologies, behaviours and values have the power to influence an organisation's success. Culture is emergent, it develops over time and is influenced by the cultural identity of staff and stakeholders and the approaches taken to lead and manage others. It is also influenced by an organisation's history, purpose, activities, vision, mission and values.

The aim of this unit is to equip professional managers and leaders with an understanding of the role and impact of culture within organisations and the approaches to make and sustain cultural change.

**Keywords** Culture, identity, influence, impact, theory, inter-relationships, leadership, barriers, vision, position, planning, change.

#### Learning outcome 1

#### Understand the role of culture within organisational contexts

#### Assessment criteria

- 1.1 Consider the impact of culture within different organisational contexts
- 1.2 Critically examine the factors which influence organisational culture
- 1.3 Critique the inter-relationship between culture and leadership

#### Indicative content

*1.1 Impact:* Individual, team behaviour. Organisational vision, values and mission. Reputation. Attitudes to risk and blame. Organisational performance. Organisational strategy. Gods of Management (Handy, 1978). Competing Values Framework (Quinn and Cameron, 2011).

*Culture:* Recognised definitions such as culture as a deep set of unconscious unwritten assumptions, shared throughout an organisation which are handed down over time and serve to sustain its identity (Schein, 1986, Johnson et al., 2011). 'The way we do things around here' (Deal and Kennedy, 2000).

*Organisational context:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

*1.2 Factors which influence organisational culture:*

*Internal factors:* Myths, stories, systems, processes, structure, internal politics, structure and demographic of the workforce (Cultural Web Johnson et al., 2011). The Three Levels of Culture (E Schein, 1992). Internal factors. (Deal and Kennedy, 1982). Internal influences (Hofstede, 1980). Toxic cultures (e.g. bullying, sexism, me first attitudes, hostility, infighting). Performance targets. Organisational climate e.g. short-term

peaks and troughs in operational activity, seasonality. Change e.g. projects, innovation, restructuring, new ways of working. Leadership change.

*External factors:* Business environment, market, national characteristics of population (Hofstede, 2001), demographics of the labour market, culture of stakeholders and partners, competitors. Political/legal and regulatory change. Economic factors. Emerging social, environmental, ethical concerns. Emerging technology, technological trends, and digitalisation.

*1.3 Leadership:* Value based leadership, Value-driven leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Responsible leadership (Maak and Pless, 2006). Transformational Leadership (Bass & Riggio, 2006). Ethical Leadership (Mendonca & Kanungo, 2007). Leadership Styles (Goleman, 1995). Distributed leadership (Gronn, 2000). Cross cultural leadership (Hofstede, 1991).

## Learning outcome 2

### Understand approaches required to make and sustain cultural change

#### Assessment criteria

2.1 Discuss the approaches to make and sustain cultural change

#### Indicative content

*2.1 Approaches to making cultural change:*

*Create vision:* Define. Stakeholder engagement. Establish roles and responsibilities.

*Evaluate current position:* Research, observation, analysis of organisational cultural drivers and barriers.

*Articulate vision:* Communication, engender support, persuasion, challenge perceptions.

*Develop a plan for implementation:* Select change management models and philosophy e.g. Three Stage Model of Change and Force Field Analysis (Lewin, 1947 & 1943). Transition Curve (Kubler-Ross, 1969). Eight Step Change Model (Kotter, 1996). The Change Masters (Hailey and Balogun, 2002). Change Equation (Gleicher, Beckhard and Harris, 1987). Radical Change within Traditional Structures (Oswick, 2015). Appreciative Inquiry (Bushe, 2011).

*Develop strategies:* policies, programmes, systems such as HRM and HRD systems, learning and development, reward and recognition.

*Implement plan:* Role modelling. Behaviours and personal example. Develop cultural awareness and support individuals and teams through transition.

*Strategies to monitor and evaluate outcomes:* Selection of relevant tools and techniques. Qualitative techniques to measure attitudes, knowledge, skills, behaviour; outcome evaluations; impact evaluations. Culture assessment instrument (e.g. Mannion et al., 2009, Jung et al., 2009).

*Strategies to sustain cultural change:* Effective feedback structures to assess the practicality and success of cultural change. Ongoing internal promotion and communication of success. Publish results of organisational change. Leadership commitment. Persistence. Provision of time and space to allow the cultural change to take place. Lessons learned. Adjustments and improvements to be made.

## 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 a **report** on the role of culture within organisational contexts.
2. The learner may be asked to write a **proposal** to make and sustain cultural change in an organisation.
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 each of the assessment criteria.

### Relationship with CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

- |                                   |                                       |
|-----------------------------------|---------------------------------------|
| <b>Interpersonal Excellence</b>   | ● Providing purpose and direction     |
|                                   | ● Building relationships and networks |
| <b>Organisational Performance</b> | ● Leading change and innovation       |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship ST0272/ST03:

| Standard                                  | Knowledge   | Skills  |
|---|---|---|
| I. Developing Collaborative Relationships | I1. Approaches to stakeholder, customer and supplier management, developing engagement, facilitating cross functional working and negotiation | I3. Build rapport and trust, develop networks and maintain relationships with people from a range of cultures, backgrounds and levels |
|   | I2. How to shape common purpose, as well as approaches to conflict management and dispute resolution  | I5. Effectively influence and negotiate, being able to have challenging conversations and give constructive feedback                  |
|   |   | I6. Work collaboratively with internal and external customers and suppliers   |

### Suggested reading/web resource materials

#### Textbooks/eBooks

- Alvesson, M. (2012). *Understanding Organizational Culture* 2<sup>nd</sup> ed. London: SAGE Publications.
- Ashkanasy, N.M., Wilderom, C.P.M. and Peterson, M.F. eds. (2010). *Handbook of Organizational Culture and Climate*. New York, NY: Sage Publications.
- Buelens, M., Sinding, K. and Waldstrøm, C. (2011). *Organisational Behaviour*. 4th ed., New York, NY: McGraw-Hill Education.
- Burnes, B. (2017). *Managing Change*. 7<sup>th</sup> ed. Harlow: Pearson - Coronet Books
- Cooper, C.L., Cartwright, S. and Earley, P.C. eds. (2001). *The International Handbook of Organizational Culture and Climate*. New York, NY: John Wiley & Sons.
- Deal, T.E. and Kennedy, A.A. (2000). *Corporate Cultures: The Rites and Rituals of Corporate Life*. Cambridge, MA: Perseus Books Group – Basic Books.
- Hayes, J. (2018). *The Theory and Practice of Change Management* 5<sup>th</sup> ed. London, Palgrave Macmillan.
- Hofstede, G. (2001). *Culture's Consequences: Comparing Values, Behaviours, Institutions and Organizations Across Nations*. 2<sup>nd</sup> ed. Beverly Hills, CA: SAGE Publications.



- Hofstede, G., Hofstede, G.J. and Monkov, M. (2010). *Cultures and Organisations: Software of the Mind*. 3<sup>rd</sup> ed. New York, NY: McGraw-Hill.
- Hofstede, G., Hofstede, G.J. and Pedersen, P. (2002). *Exploring Culture: Exercises, Stories and Synthetic Cultures*. London, UK: Nicholas Brealey Publishing.
- Kotter, J.P. (2008). *Sense of Urgency*. Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.
- Kotter, J.P. (2012). *Leading Change*. Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.
- Martin, Joanne. (1993). *Cultures in Organizations: Three Perspectives*. Oxford: Oxford University Press.
- Schein, E.H. (2016). *Organizational Culture & Leadership* 5th ed. San Francisco, CA: Jossey-Bass.
- Spillane, J.P. (2006). *Distributed Leadership*. San Francisco, CA: Jossey-Bass.
- Yukl, G. (2009). *Leadership in Organisations*, 5th ed. Saddle River, NJ: Prentice Hall.

### Journals

- Research in Organizational Behaviour
- Journal of Human Resources
- Leadership Quarterly
- Journal of Change Management
- Journal of Organisational Change Management

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.

**Ofqual unit number** L/617/4456

**RQF level** 6

**Guided learning hours** 29

**Total unit time** 90

**Credits** 9

**Aims of unit** Programme and project management is an essential skill for a professional manager and leader to develop. Whilst a project is singular, programmes will encompass a range of projects. The reality of managing programmes and projects is complicated. There are a broad range of multi-dimensional issues which influence how these are led; not least the impact of stakeholder involvement, financing, resourcing and appetite for risk. Ultimately, the success of a programme or project is judged on the achievement of goals within the parameters of cost, quality, resources used and timescales.

The aim of this unit is to equip professional managers and leaders with an understanding of how to proactively respond to the demands of project and programme management, regardless of their type, size and complexity.

**Keywords** Programmes, projects, scope, impact, strategy, organisational contexts, influence, approaches, structure, tools and techniques, leadership, success.

|  |
|--|
| <b>Learning outcome 1</b>  |
| <b>Understand programmes and project management in an organisational context</b>   |
| <b>Assessment criteria</b>   |
| 1.1 Investigate the scope and impact of programmes and projects within an organisational context<br>1.2 Critically assess the challenges of strategic programme and project management   |
| <b>Indicative content</b>  |
| <p><i>1.1 Scope of programmes and projects:</i> Development of physical assets, products, services, research, people development. Programmes or projects with specified or unspecified deliverables. PRINCE2 products.</p> <p>Programmes and projects in relation to: global, organisational, SMEs, departmental and team contexts. Use of project planning, project controls and reporting. Cost engineering. Requirements engineering and management. Systems Engineering (INCOSE). Quality Management (TQM). Finance, financial appraisals, budgeting. Purchasing, procurement and expediting. Invitation to Tender 'ITT' preparation and bid analysis and supplier pre-qualification activities. Contract management and negotiation. Stakeholder management (e.g. internal and external, client, customer, supplier, sub-contractor). Risk management and reporting. Business Strategy, Project Strategy. Project change control (e.g. ITIL - IT Infrastructure Library). Organisational change management. Time recording and reporting. Materials management. Document management and controls. Project document and drawing numbering systems.</p> |

- *Impact of programme and projects:* Costs, revenue, time, resource, quality, reputational risk, acquisition of skills, knowledge and experience. Behavioural change.
- *Organisational contexts:* Organisational context: 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.

*1.2 Challenges:* Organisational maturity. Impact of diversity, culture, CSR, social justice, team leadership and team building. Global and multinational and cross border organisations. Resourcing programmes and projects. Future proofing. Managing outsourced projects and programmes. Keeping pace with suppliers, consultants, partners capabilities. Managing large programmes and projects. Managing stakeholder expectations. Understanding the direct and indirect impact of projects and programmes on stakeholders.

## Learning outcome 2

### Understand factors and approaches for delivering a strategy for a programme or project management

#### Assessment criteria

- 2.1 Critically appraise factors which influence an organisation's strategy for programme and project management
- 2.2 Critically appraise the approaches for delivering programme and project management in an organisational context
- 2.3 Evaluate tools and techniques used for programme and project management in an organisational context

#### Indicative content

*2.1 The factors that influence an organisational strategy for programme and project management:* Programme and project management structures (e.g. programme board, project board, role of programme and project director, project managers). Funding. Alignment to organisational strategy and policy. Legal and regulatory requirements, governance, reporting structures.

*2.2 Approaches for programme and project management:* PRINCE2, PMI, APM, PMBOK.

#### *Project and programme activities:*

- *Clarify the type of programme or project:* For example, engineering, finance, HR, change.
- *Determine programme or project lifecycle and stages to use to achieve organisational objectives:* Classic engineering project life cycle, feasibility study, concept design, detail design, build/commission, operate and maintain, dispose and ICT systems development lifecycles 'SDLC' such as Waterfall (Royce et al., 1970). 'V' model. Agile. Rapid Application Development. SCRUM. Customisable off the shelf packages - COTs (e.g. Enterprise Resource Planning - ERP, Materials Resource Planning - MRP).
- *Establish aims, objectives, scope of programme or project:* Key Performance Indicators - KPIs. Cost/benefit analysis (e.g. Return on Investment - ROI, Net Present Value - NPV, Internal Rate of Return - IRR, Payback). Net social cost/benefit (public sector).
- *Set customer requirements:* MOD-INCOSE. Systems and Requirements Engineering.
- *Determine programme or project structure:* (e.g. Hierarchical, matrix). Work Break-down Structure - WBS (e.g. departmental, business area, strategic business unit, by discipline or technical areas of expertise). Use of contract/sub-contractors.
- *Establish governance of programme or project:* Role of Project Management Office - PMO (as required)
- Identify and gain approval from stakeholders, project and programme sponsors
- *Initiate programme or project, including an outline or detailed business case:* e.g. Project Initiation Documentation - PID. Planning activities (e.g. Gantt Charting, Activity on Arrow - AOA. Activity on Node - AON, Precedence Networks). Use of work breakdown structures and time box management. Scheduling and resource allocation. Identification of constraints (e.g. use of resource histogram's). Control and reporting against KPIs (e.g. percentage complete, people hours used, cost to complete, budgeted cost of work performed versus work performed, forecast hours to complete).

- *Project or programme review and closure: PIR - post implementation review.*

### 2.3 Tools and techniques used for programme and project management:

- *Programme and project management tools and techniques for: Work Breakdown Structure - WBS. Cost Time Resources - CTR. Quantity Adjusted Budgets - QABs. Planning Methods: Gantt Charts (Gantt, 1910), Activity on Arrow - AOA. Activity on Node - AON. Statistical techniques such as Monte Carlo Probability Sampling. Risk Management. Planning, controlling and reporting.*
- *Budgeting and control techniques: Budgeted cost of work performed 'BCWP'. Actual cost of work performed 'ACWP'. Cost variance 'CV' (Actual cost of work performed minus budgeted cost of work performed). Project budget 'PB' (agreed budget at cost of completion). Estimated cost at completion 'ECAC'. Performance index 'PI'. Cost to complete 'CT'. Budgeted cost of work scheduled 'BCWS'. Departmental progress charts 'DCPs'. Earned values 'EV'. People hours to go. Forecast people hours, budgeted people hours.*
- *Project Evaluation: Return on investment 'ROI'. Discounted cash flow 'DCF'. Return on assets 'ROA'. Internal rate of return 'IRR'. Payback. Hurdle rate, Weighted Average Cost of Capital 'WACC' plus a risk factor. Cost benefit analysis including net social cost benefit (public sector).*
- *Reporting Techniques: Work Break-down Structure 'WBS'. Resources (materials, people hours, physical assets). Percentage complete for each activity. Expenditure (e.g. Expenditure to date, current expenditure, current commitment, future commitment, variances -people hours and materials).*

## Learning outcome 3

### Know how to lead programmes and projects to achieve results

#### Assessment criteria

3.1 Critically appraise the professional skills required to lead programmes and projects to success

#### Indicative content

*3.1 Professional skills: Takes responsibility (drive to achieve, resilience and accountability, determination to manage difficult situations, seeks new opportunities, day to day leadership skills). 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, need for change, open to new ways of working). Professionalism (role model, enabler, fair, consistent, impartial, open and honest, operates within organisational values and codes of practice, ethical). Leadership Styles (Hersey & Blanchard, 1969). Knowledgeable. Understands challenges and barriers which may impede programme and project management, supports others through coaching and mentoring. OSCAR Coaching Model (Gilbert & Whittleworth, 2009). GROW Coaching Model (Whitmore, 2002). Clear focus, personal energy, personal presence, self-belief, commitment, empowerment, trust. Negotiation, influencing and communications skills, confidence to present actions and outcomes, chair meetings. Ability to manage conflict. Have difficult conversations. Use emotional intelligence (Goleman, 1998). Be collaborative, politically astute, aware of individual and organisational cultures, beliefs, diversity, history.*

#### 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** on programme and project management in organisational contexts.
2. The learner may be asked to produce a **management** report on how to develop a strategy for programme or project management in an organisational context.
3. The learner may be asked to write an **account** on how to lead programmes and projects.
4. 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 each of 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></ul>   |
| <b>Interpersonal Excellence</b>   | <ul style="list-style-type: none"><li>• Communicating and influencing</li><li>• Providing purpose and direction</li><li>• Developing people and capabilities</li></ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>• Building relationships and networks</li><li>• Managing resource and risk</li><li>• Achieving results</li></ul>                 |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>         | <b>Knowledge</b>   | <b>Skills</b>   |
|-------------------------|--|---|
| A. Operational Strategy |  | A5. Produce reports that clearly present information and data, using a range of interpretation and analytical processes<br>A6. Gain wide support to deliver successful outcomes   |
| B. Project Management   | B1. How a project moves through planning, design, development, deployment and evaluation<br>B2. Risk management models and reporting, risk benefit analysis and health and safety implications | B3. Plan, organise and manage resources in order to achieve organisational goals<br>B4. Identify key outcomes, develop and implement plans and monitor progress, and provide reports as required<br>B6. Proactively identify risk and create plans for their mitigation<br>B7. Use widely recognised project management tools |
| C. Business Finance     |  | C4. Manage budgets, control expenditure and produce financial reports   |
| F. Communication        | F1. Different forms of communication (written, verbal, non-verbal, digital) and how to apply them  | F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms   |

|   |  |  |
|---|--|--|
|   | <p>F2. How to maintain personal presence and present to large groups</p> <p>F3. Interpersonal skills awareness including effective listening, influencing techniques, negotiating and persuasion</p>   | <p>F5. Use active listening and open questioning to structure conversations and discussions, and able to challenge when appropriate</p> <p>F6. Manage and chair meetings and clearly present actions and outcomes</p> <p>F7. Apply influencing and persuading skills, to the dynamics and politics of personal interaction</p>   |
| G. Leading People                         | G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches  | <p>G3. Articulate organisational purpose and values</p> <p>G4. Support the creation of an inclusive, high performance work culture</p>   |
| H. Managing People                        | H3. How to set goals and manage performance  | <p>H5. Delegate to others, provide clear guidance and monitor progress</p> <p>H6. Set goals and accountabilities</p>   |
| I. Developing Collaborative Relationships | <p>I1. Approaches to stakeholder, customer and supplier management, developing engagement, facilitating cross functional working and negotiation</p> <p>I2. How to shape common purpose, as well as approaches to conflict management and dispute resolution</p> | <p>I3.2 Build rapport and trust, develop networks and maintain relationships with people from a range of cultures, backgrounds and levels</p> <p>I4. Contribute within a team environment</p> <p>I5. Effectively influence and negotiate, being able to have challenging conversations and give constructive feedback</p> <p>I6. Work collaboratively with internal and external customers and suppliers</p> |
| K. Management of Self                     | K1. How to manage time, set goals, prioritise activities and undertake forward planning in a business environment with a focus on outcomes   |  |
| L. Decision Making                        |  | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making  |

|            |   |
|------------|---|
| Behaviours | <p>M1 Takes responsibility (drive to achieve all aspects of work; demonstrates resilience and determination when managing difficult situations; seeks new opportunities underpinned by commercial acumen and sound judgement)</p> <p>M2 Inclusive (Open, approachable, authentic and able to build trust with others. Seeks the views of others and values diversity internally and externally)</p> <p>M3 Agile (flexible to the needs of the organisation; is creative, innovative and enterprising when seeking solutions to business needs; positive and adaptable, responding well to feedback and need to change; open to new ways of working and new management theories)</p> <p>M4 Professionalism (sets an example, and is ethical, fair, consistent and impartial; operates with organisational values and adheres to the CMI's Professional Code of Conduct and Practice)</p> |
|------------|---|

### Suggested reading/web resource materials

#### Recommended Reading

- Roe, K. (2017). *Leadership Practice & Perspectives*. Oxford: OUP.

#### Supplementary Reading

- Barker, S. (2014). *Brilliant Project Management: What the best project managers know, do, and say* 3<sup>rd</sup> ed. Harlow: Pearson.
- Bennett, N. and AXELOS. (2017). *Managing Successful Projects with PRINCE2* 6<sup>th</sup> ed. London: The Stationery Office.
- Douglass, B.P. (2015). *Agile Systems Engineering*. Burlington, MA: Morgan Kaufmann.
- Hastak, M. ed. (2015). *Skills & Knowledge of Cost Engineering* 6<sup>th</sup> ed. Morgantown, WV: AACE International.
- Gardiner, P.D. (2005). *Project Management: A Strategic Planning Approach* 5th ed. Basingstoke: Palgrave Macmillan.
- Gilbert, A. and Whittleworth, K.J. (2009). *The OSCAR Coaching Model. Simplifying Workplace Coaching*. Redbrook, Monmouthshire: Worth Consulting.
- INCOSE. (2015). *Systems Engineering Handbook: A Guide for System Life Cycle Processes and Activities* 4th ed. Hoboken, NJ: Wiley-Blackwell.
- Kerzner, H. (2017). *Project Management: A Systems Approach to Planning, Scheduling, and Controlling* 12<sup>th</sup> ed. London: John Wiley & Sons.
- Kossiakoff, A., Sweet, W.N., Seymour S.J. and Biemer, S.M. (2011). *Systems Engineering Principles and Practice* 2<sup>nd</sup> ed. Hoboken, NJ: Wiley-Blackwell.
- Maylor, H. (2010). *Project Management* 4th ed. London: Pearson.
- Project Management Institute. (2017). *A Guide to the Project Management Body of Knowledge (PMBOK Guide)* 6<sup>th</sup> ed. Newtown Square, PA: Project Management Institute
- Rad, P. and Levin, G. (2002). *The Advanced Project Management Office: A Comprehensive Look at Function and Implementation* 1st ed. Indianapolis, IN: CRC Press Ltd.

- Roberts, P. (2013). *The Economist Guide to Project Management: Getting it right and achieving lasting benefit*. 2<sup>nd</sup> ed. London: Economist Books.
- Sutherland, J. (2015). *Scrum: The Art of Doing Twice the Work in Half the Time*. New York, NY: Random House Business.
- Whitmore, J. (2017). *Coaching for Performance: The Principles and Practice of Coaching and Leadership*. 25<sup>th</sup> Anniversary ed. London: Nicholas Brealey Publishing Limited.

### Recommended Journals and Standards

Standards for Project Portfolio Management, Programme Management, and Project Management do exist, and clear definitions can be found within. The worldwide Project Management Institute (PMI) has developed and published the following standards (free for members):

- PRINCE2®, Maturity Model (P2MM). Cabinet Office. ([www.cabinetoffice.gov.uk](http://www.cabinetoffice.gov.uk))
- The Standard for Portfolio Management
- The Standard for Programme Management
- A Guide to the Project Management Body of Knowledge (PMBOK Guide) Fifth Edition
- Project Management Journal
- International Journal of Project Management, Published in collaboration with the Association for Project Management (APM) and the International Project Management Association (IPMA).
- PM World Journal - current edition - The PMWJ, a global resource for sharing knowledge related to Program and Project Management. Produced monthly by PM World, the PMWJ contains articles, papers, reports, stories and other original works related to projects and project management around the world.
- Project is the official journal of the Association for Project Management (APM).
- International Journal of Managing Projects in Business.
- The Journal of Modern Project Management.
- International Journal of Engineering Research.

### Cost Engineering

- The Cost Engineering Journal.
- Cost engineering Journal.
- Engineering Costs and Production Economics Journal.

### Web Sites

- <https://www.finance-ni.gov.uk/articles/roles-and-responsibilities-programme-manager>
- <https://www.apm.org.uk/body-of-knowledge/context/governance/programme-management/>
- <https://www.pmi.org/>
- <https://www.apm.org.uk/>
- <https://www.prince2.com/uk>
- <https://www.pmtoday.co.uk/>
- <https://www.incose.org/>
- <https://www.mitre.org/sites/default/files/publications/se-guide-book-interactive.pdf>
- [http://sebokwiki.org/wiki/System\\_Requirements](http://sebokwiki.org/wiki/System_Requirements)

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.



**Ofqual unit number** R/617/4460

**RQF level** 6

**Guided learning hours** 22

**Total unit time** 70

**Credits** 7

**Aims of unit**

The ability to drive innovation and change is an essential skill for a professional manager and leader. Innovation, defined simply as 'doing something new or different,' is a powerful catalyst for change. It can revolutionise an organisation's operational activities, create dynamic new opportunities, and contribute to the achievement of strategic goals. Change occurs in many forms and leaders must be able to respond to changes which are radical, incremental or evolutionary.

This unit has been designed to enable the professional manager and leader to understand innovation and change within organisational contexts. It explores the rationale for innovation and change, such as the impact of technology and digitalisation. Most importantly it focuses on the knowledge, values and behaviours that ultimately will equip the professional managers and leaders to successfully drive innovation and change.

**Keywords**

Innovation, change, organisational contexts, theory, contemporary thinking, leadership, behaviours, values, planning, process, impact, evaluation, investigation.

**Learning outcome 1**

**Understand innovation and change within an organisational context**

**Assessment criteria**

- 1.1 Explore the rationale for innovation and change within an organisational context
- 1.2 Investigate the leadership and management approaches, behaviours and values required to drive innovation and change
- 1.3 Critically appraise approaches to change with reference to traditional and contemporary thinking
- 1.4 Critically appraise approaches to innovation with reference to theoretical concepts

**Indicative content**

*1.1 Innovation and change:* Innovation is the activity of doing something new or different (e.g. a bright idea/serendipity). This creates interrelationships with change in terms of processes, people, organisational structures, the management of performance and use of technologies.

*The rationale for innovation and change:* Achievement of objectives, environmental, internal and situational factors, changing market positioning, entry to new markets products and services. New operational processes and procedures. Customer demands. Impact of data, information, knowledge capital and creativity. Stakeholder involvement (individuals, pressure groups, interest groups, media). Competitiveness, reputation, good practice, ethics, CSR, shifting cultures, diversity, emerging strategy, governance. Feedback, attrition, chaos and conversation. Improving organisational performance, systems, quality and efficiency, service delivery, processes. Organisational survival, consolidation. Response to

digitalisation/technological change/disruptive technologies (Christensen, 1997; Zeleny, 2009; World Bank, 2019). Finance and resourcing, legal/regulatory and organisational requirements.

*Organisational contexts:* Type and purpose of the organisation (operational, local, international, global, project/programme management, departmental and strategic business unit), Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

### 1.2 Leadership and management approaches:

*Leadership approaches and management models:* Authentic Leadership (Goffee and Jones, 2011). Entrepreneurial Leadership (Roebuck, 2014). Transformational Leadership (Bass & Riggio, 2006). Situational Leadership (Hersey and Blanchard, 1969). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Leadership Styles (Goleman, 1995). Charismatic Leadership (House, 1997). The Servant Leader (Greenleaf, 1977).

*Behaviours and values:* Inclusive, takes responsibility agile, flexible, creative (Amabile, 2012), innovative, enterprising, seeks solutions, positive and adaptable, responds well to feedback, open to new ways of working. Understands challenges and barriers which impede innovation and change, supports others through coaching and mentoring, personal energy, commitment, trust. Negotiation, influencing and communications skills (confidence to present actions and outcomes, chair meetings, ability to have difficult conversations). Use emotional intelligence (Goleman, 1998). Is collaborative.

### 1.3 Approaches to change:

*Traditional approaches to change:* Leadership-driven (top down) tried and tested, experience based, transactional, change agents. Focus on the past to act in the present, cultural change. Power through hierarchy, mission and vision, making sense through rationale argument.

*Traditional Models:* Three Stage Model of Change (Lewin, 1947). Force Field analysis (Lewin, 1948). Transition curve (Kubler-Ross, 1969). The Prosci change model 'ADKAR' (Hiatt, 2003). Eight Step Change Model (Kotter, 1996). The change equation (Beckhard-Harris, 1969). Navigating the transitions of change (Bridges, 1991). The four stages of major change (Longaker, 1993). Managing at the speed of change (Conner, 1992). The Change Masters (Hailey and Balogun, 2002).

*Contemporary and emerging approaches to change:* Acting in the present to impact the future: Top down and bottom up leadership, emergent, tropic, rhizomatic and spontaneous, power through connections and networks, shared purpose (Oswick, 2010). Purpose of a system is what it does 'POSIWID' (Beer, 2002). Making sense through emotional connections. Open approaches, sharing ideas, co-creating change. Relationships and networks. Riding the Waves of Change (Morgan, 1988). Outcomes driven. Co-creation. Open and closed systems. Inter and intra relations (Ulrich, 1983). Multiple perspectives analysis (Linstone, 1976). Boundary critique (Ulrich, 2002). Divergent and convergent thinking.

*Contemporary Models:* Radical Change within Traditional Structures (Oswick, 2015). Organisational congruence model (Nadler and Tushman, 1997). Managing change 'Systems Intervention Strategy' (Mayon-White, 1993). Appreciative Inquiry (Bushe et al., 1985).

*1.4 Approaches to innovation:* TRIZ 'inventive problem solving' (Altshuller, 1960). Open and closed innovation (Chesbrough, 2003). Commercialisation and viability of the process/idea/opportunity. Assessing the competition, using research to drive ideas. Ideas-driven innovation. Market/customer driven innovation. Analysis driven innovation. Continuous product and process improvement. Service design (Shostack et al., 1982). Design thinking, IDEO (Stefan & Nimgade, 2000, revised 2017). Synectics – creativity and problem solving (Arthur. D Little Invention Design Unit, 1950s; Gordon, 1961; Boland Jr. et al., 2008). Upgrading the business model (e.g. offer complementary services or products). Recruitment and employment of innovators. Networking and Communities of Practice (CoPs). Value proposition design (Osterwalder et al., 2010). The entrepreneur as a disruptor. The use of disruptive technologies and digital technologies (Christensen, 1985).

## Learning outcome 2

### Know how to drive innovation and change

#### Assessment criteria

2.1 Research and evaluate an opportunity for innovation and change

2.2 Formulate an implementation strategy and plan to manage the innovation and change process

## 2.3 Recommend approaches to review the impact of innovation and change

### Indicative content

**2.1 Opportunity for innovation and change:** Response to digitalisation, new/disruptive technologies (Brand, 2005). Markets, customer expectations. External and internal business drivers. Legal and regulatory requirements. Environmental factors. Corporate social responsibility CSR and sustainability. Economic opportunities. Availability of funding.

- **Research:** Evidence based research, use of primary, secondary, tertiary evidence. Mixed methods/use of qualitative, quantitative data and information. Sampling methodology, surveys, interviews, desk research. Observation and focus groups (Saunders, Thornhill and Lewis, 2012, Gill and Johnson, 2010). Generation and evaluation of options. Risk, impact and benefit analysis. Literature reviews. Comparative studies across organisations, countries, cultures. Analysis of legislation, policy, industry standards and the environment.
- **Evaluation:** Application of quantitative techniques, statistical analysis and qualitative techniques e.g. Framework Analysis (Pope et al., 2000). Thematic Network Analysis (Attride-Stirling, 2001). Systematic/systemic triangulation (Urich, 1983).
- **Decision making tools, techniques and models for research and evaluation:** The Combat Estimate (7 Questions) (Ministry of Defence). Attribute trade off models (MRD/ARM Analysis). Use of Logframes (U.S. Agency for International Development, 1969). The Pugh matrix (Pugh, 1980). Quality Function Deployment 'QFD' (Akao, 1966). Pareto analysis. Decision trees. Sensitivity and what if analysis. OODA loops (Boyd, 1985). Monte Carlo Simulation Method (Ulam, 1947). Six Thinking Hats (De Bono, 1986). Multi Voting/ Delphi Technique (Rand Corporation, Helmer et al., c1960).
- **Develop and evaluate options refers to the use of tools such as:** Cost Benefit Analysis. Options appraisal. Key Performance Indicators (KPI). Grid Analysis. Rational Decision Making (Kepner and Tregoe, 1965). Balanced Scorecard (Nolan and Norton, 1992) Benchmarking. Net Social Cost Benefit Analysis. Trade Off Analysis. Cross Impact Models (Gordon et al., 1996).
- **Presentation of results:** Reports, graphs, trends and averages, Pareto analysis, Regression Analysis – single and multiple. Spatial data (presented in pattern format). Use of tele-visual formats. Use of informatics and information science. Structured, Unstructured and Self Organising Maps 'SOMS'.

**2.2 Implementation strategy:** Big bang strategy (out with the old and in with the new). Prototyping, developing a pilot, parallel operations (run the new and old together).

- **An implementation plan to manage the change process: Key features (e.g. scope, objectives, actions, stages, milestones, resource requirements, learning and development). Establish roles and responsibilities. Set KPI's. Risk management. Quality assurance. Communication strategy and plan (internal and external communications, i.e. presentations, meetings and briefings, use of media, consultations, huddles, webinars, podcasts, conference calls, blog posts, letters, articles, case studies).**

Assessment and response to barriers and challenges (e.g. logistical barriers, working patterns such as remote/virtual working, shift working, finance, changing priorities, levels of commitment/motivation, delay tactics). Cultural dimensions of innovation (diversity, ethnicity and gender divide to entrepreneurial practice). Group Think (Janis, 1982).

Use of standard project management approaches (e.g. PRINCE2, PMI (Project Management Institute). APM (Association of Project Managers). PMBOK (Project Management Body of Knowledge).

**2.3 Approaches to review the impact of innovation and change:** Periodic reporting, surveys and questionnaires, interviews, benchmarking activities, mystery shopper, scorecards, data and metrics, audits, targets, workshops, observation, conversations. Post implementation reviews. Walk troughs.

### Recommendations for assessment

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

1. The learner may be asked to write a **report** on innovation and change in an organisational context.
2. The learner may be asked to develop a **proposal** to drive innovation and change within an organisational context.

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 each of the assessment criteria.

#### Relationship with CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

##### Personal Effectiveness

- Making decisions
- Communicating and influencing

##### Interpersonal Excellence

- Providing purpose and direction
- Developing people and capabilities
- Building relationships and networks

##### Organisational Performance

- Leading change and innovation
- Managing resource and risk
- Achieving results

#### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship ST0272/ST03:

| Standard                                 | Knowledge  | Skills   |
|--|--|--|
| A. Operational Strategy                  | A2. How to manage change in the organisation   |  |
| B. Project Management                    | <p>B1. How a project moves through planning, design, development, deployment and evaluation</p> <p>B2. Risk management models and reporting, risk benefit analysis and health and safety implications</p>  | <p>B3. Plan, organise and manage resources in order to achieve organisational goals</p> <p>B6. Initiate, lead and drive change within the organisation, identifying barriers/challenges and how to overcome them</p> <p>B7. Use widely recognised project management tools</p> |
| E. Digital business and new technologies | <p>E1. Approaches to innovation and digital technologies and their impact on organisations, and how their application can be used for organisational improvement and development</p> <p>E2. Innovation and digital technology's impact on data and knowledge management for analysing business decision-making</p> | E3. Identify service/organisational improvements and opportunities for innovation and growth, using qualitative and quantitative analysis of information and data and benchmarking against others  |

|  |  |  |
|--|--|--|
| <p>F. Communication</p>                | <p>F1. Different forms of communication (written, verbal, non-verbal, digital) and how to apply them</p> <p>F2. How to maintain personal presence and present to large groups</p>  | <p>F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms</p> <p>F6. Manage and chair meetings and clearly present actions and outcomes</p> |
| <p>G. Leading People</p>               | <p>G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches</p> <p>G2. Organisational culture and diversity management</p>  | <p>G4. Support the creation of an inclusive, high performance work culture</p> <p>G5. Enable others to achieve by developing and supporting them through coaching and mentoring</p>            |
| <p>J. Awareness of Self and Others</p> | <p>J2. How to use emotional and social intelligence, and active listening and open questioning to work effectively with others</p>   |  |
| <p>L. Decision Making</p>              | <p>L1. How to undertake research, data analysis, problem solving and decision-making techniques</p>  | <p>L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making</p>                             |
| <p>Behaviours</p>                      | <p>M1 Takes responsibility (drive to achieve all aspects of work; demonstrates resilience and determination when managing difficult situations; seeks new opportunities underpinned by commercial acumen and sound judgement)</p> <p>M2 Inclusive (Open, approachable, authentic and able to build trust with others Seeks the views of others and values diversity internally and externally)</p> <p>M3 Agile (flexible to the needs of the organisation; is creative, innovative and enterprising when seeking solutions to business needs; positive and adaptable, responding well to feedback and need to change; open to new ways of working and new management theories)</p> <p>M4 Professionalism (sets an example, and is ethical, fair, consistent and impartial; operates with organisational values and adheres to the CMI's Professional Code of Conduct and Practice)</p> |  |

## Suggested reading/web resource materials

### Recommended Reading

#### Leadership and Change

- Amabile, T. and Kramer, S. (2011). *The Progress Principle: Using Small Wins to Ignite Joy, Engagement, and Creativity at Work*. Brighton, MA: Harvard Business Review Press.
- Ashkenas, R., Ulrich, D., Jick, T. and Kerr, S. (2002). *The Boundaryless Organization: Breaking the Chains of Organizational Structure* 2nd ed. San Francisco, CA: Jossey Bass.
- Bower, J. Bower, J.L., and Christensen, C.M. (1995) *Disruptive Technologies: Catching the Wave*. Harvard Business Review, 73(1), pp. 43–53.
- Buelens, M., Sinding, K. and Waldstrøm, C. (2011). *Organisational Behaviour* 4th ed. New York, NY: McGraw-Hill Education.
- Burnes, B. (2017). *Managing Change*. 7th ed. Harlow: Pearson - Coronet Books.
- Christensen, C.M. and Overdorf, M. (2000). *Meeting the Challenge of Disruptive Change*. Harvard Business Review, March–April 2000.
- Cooperrider, D.L., Whitney, D. and Stavros, J.M. (2008). *The Appreciative Inquiry Handbook: For Leaders of Change* 2nd ed. Oakland, CA: Berrett-Koehler Publishers.
- Gilbert, C. and Bower, J.L. (2002). Disruptive Change: *When Trying Harder Is Part of the Problem*. Harvard Business Review. 80 (5), pp. 94–101.
- Grievies, J. (2010). *Organizational Change: Themes and Issues*. Oxford: Oxford University Press.
- Gordon, W. J. J. (1961). *Synectics: The development of creative capacity*. New York, NY: Harper & Row Publishers.
- Hayes, J. (2018). *The Theory and Practice of Change Management* 5th ed. London, Palgrave Macmillan.
- Hughes, M. (2010). *Managing Change: A Critical Perspective*. London: CIPD-Kogan Page.
- Kotter, J.P. (2012). *Leading Change*. Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.
- Kotter, J.P. (2008). *Sense of Urgency*. Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.
- Oswick, C. (2015). *Leadership is Dead*. Trust Me, PR Is Dead Robert Phillips (pp. 229–232). Random House.
- Schein, E.H. (2016). *Organizational Culture & Leadership* 5th ed. San Francisco, CA: Jossey Bass.
- Senge, P. (1999). *The Dance of Change. The Challenges of Sustaining Momentum in a Learning Organization*. London: Nicholas Brealey Publishing.
- Shaw, P. (2002). *Changing Conversations in Organizations: A Complexity Approach to Change*. London: Routledge.
- Watson, T. (2006). *Organizing and Managing Work* 2nd ed. Harlow: Pearson Education.

#### Innovation

- Alsos, G.A. and Hytti, U. (2018). *Research Handbook on Gender and Innovation*. Cheltenham: Edward Elgar Publishing Ltd.
- Boland, R.J., Collopy, F., Lyytinen, K. and Yoo, Y. (2008). *Managing as Designing: Lessons for Organization Leaders from the Design Practice of Frank O. Gehry*. Design Issues, 24(1), pp.10-25)
- Christensen, C. (1997). *The Innovator's Dilemma: When New Technologies Cause Great Firms to Fail* 1st ed. Brighton, MA: Harvard Business Review Press.
- Mazzarol, T. and Reboud, S. (2019). *The Realities of Small Business Risk: Risk, Disruptive Innovations and Commercialisation of Technology*. Prahran, VIC: Black Knight Books.
- Moolaert, F., MacCallum, D., Mehmood, A. and Hamdouch, A. (2014). *The International Handbook on Social Innovation: Collective Action, Social Learning and Transdisciplinary Research*. Cheltenham: Edward Elgar Publishing Ltd.
- Osterwalder, A., Pigneur, Y., Bernada, G., Smith, A. and Papadacos, T. (2014). *Value Proposition Design: How to Create Products and Services Customers Want*. Hoboken, NJ: John Wiley & Sons.
- Schweitzer, F. and Tidd, J. (2018). *Innovation Heroes: Understanding Customers as a Valuable Innovation Resource*. London: World Scientific Publishing Europe.
- Shearmur, R., Carrincazeaux, C., and Doloreux, D. eds. (2018). *Handbook on the Geographies of Innovation*. Cheltenham: Edward Elgar Publishing Ltd.

#### Supplementary Reading

- Brown, J. and Issacs, D. (2005). *The World Café: Shaping our Futures through Conversations that Matter*. San Francisco, CA: Berrett-Koehler Publishers.
- Bushe, G.R. and Marshak, R.J. (2009). *Revisioning organization development: diagnostic and dialogic premises and patterns of practice*. *Journal of Applied Behavioural Science*. 45(3), pp. 348–368.
- Gronn, P. (2002). *Distributed leadership as a unit of analysis*. *Leadership Quarterly*, 13(4), pp. 423–451.
- Lewin, K. (1947). *Frontiers in group dynamics*. *Human Relations*, 1(2), pp. 143–153.
- Owen, H. (2008). *Open Space Technology. A User's Guide*. San Francisco, CA: Berrett-Koehler.
- World Bank (2019). *World Development Report: The Changing Nature of Work*. Washington, DC: World Bank.

### Recommended Journals

- Journal of Change Management
- Journal of Organizational Change Management
- International Journal of Strategic Change Management
- Journal of Innovation and Entrepreneurship
- European Journal of Innovation Management
- International journal of Innovation Management
- Journal of Innovation & Knowledge

### Weblinks

- Use innovation to grow your business, © Crown copyright 2009, UK Gov.
- [www.prosci.com](http://www.prosci.com)
- [cipd.co.uk/knowledge/strategy/change/management-factsheet](http://cipd.co.uk/knowledge/strategy/change/management-factsheet)
- [cleverism.com/major-approaches-models-of-change-management/](http://cleverism.com/major-approaches-models-of-change-management/)

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.

**Ofqual unit number** Y/617/4461

**RQF level** 6

**Guided learning hours** 20

**Total unit time** 60

**Credits** 6

**Aims of unit** Organisational strategy is often seen as a blueprint which guides an organisation's path. It can be created to provide stakeholders with the organisation's direction for the future, as well as enabling an organisation to measure and monitor its success. Organisational strategy may evolve over time to respond to different circumstances, new opportunities or unexpected challenges. Ultimately, successful outcomes result from the way the organisational strategy is led, managed and implemented.

The aim of this unit is to enable professional managers and leaders to understand approaches to developing organisational strategy and how to formulate and lead operational strategy to achieve a strategic aim.

**Keywords** Organisational strategy, operational strategy, functional strategy, approaches, impact, inter-relationship proposal, outcomes, success.

### Learning outcome 1

#### Understand approaches to developing organisational strategy

#### Assessment criteria

- 1.1 Critically assess the inter-relationship between organisational strategy and functional and operational strategies
- 1.2 Evaluate factors which influence the development of organisational strategy
- 1.3 Critically appraise approaches to developing organisational strategy

#### Indicative content

*1.1 Inter-relationship:* Expectations, deliverables, resources and capabilities, finance, suppliers and partners, change to operational, strategy, policies and procedures, timescales, social impact (internal and external stakeholders). Ethical considerations (e.g. code of conduct, organisational values, culture, equality and diversity).

*Organisational strategies:* Growth, partnerships, alliances, new product/service/process development, time, retrenchment, consolidation. Limits to growth. Corporate Social Responsibility and Sustainability. Cost leadership, differentiation, product market strategy (Ansoff, 1957). Competitive strategies, divestment, mergers, acquisition, collaboration, diversification, business closure.

- *Levels of strategy:* Corporate. Business. Functional/Business Unit. Operational. Departmental.

*Functional strategies:* People Management strategy. Marketing, Sales, Finance, Governance/Legal and Regulatory, Information Systems (ICT), Customer Services, Procurement, Purchasing, Research and Development, Quality Assurance. Operations.



**Operational strategies:** Delivery of products or services. Facilities management. Service user engagement. Community engagement strategy. Volunteering. Technology/ICT. Sustainability. Workforce development. Communications. Supply chain/logistics/warehousing. Operations management. Service strategy. Service design and management. Insourcing/outsourcing. Process strategy. Process design. Quality Management.

**1.2 Factors which influence the development of organisational strategy:** Vision and mission. Organisational beliefs, values, ethics, cultures, equality and diversity. Organisational structures (Public, private, third sector). Size and purpose of organisation (local, global). Processes, governance. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). Stakeholder/customer involvement. Sources of power, control and legitimacy (economic, technical, political). Disruptive technologies/digital technologies (Christensen, 1985). Innovation. Government policy. Cost structures, finance, credit and drivers. Intellectual capital and development. Environment, sustainability, corporate social responsibility. Legal and regulatory frameworks. Industry specific standards. Management and leadership styles/approaches. Management expectations. Business models (Hamel & Prahalad, 1989). National standards (Care Quality Commission, Investors in People) and internal standards (service level agreements). Legal, legislation and regulatory requirements (e.g. GDPR, Equality Act 2010, Ofsted, Ofqual, Estyn).

**1.3 Approaches to developing organisational strategy:** May include but not limited to deliberate and emergent strategies (Mintzberg and Waters 1985). Resource based view of the growth of the firm (Penrose, 1959). Scenario planning (Ringland, 1995). Strategic Planning as a Top Down/Bottom up process (Johnson et al., 2011). The Five Ps of Strategy (Mintzberg, 1987).

## Learning outcome 2

### Know how to develop and lead operational strategy to achieve a strategic aim

#### Assessment criteria

2.1 Critically discuss a process to develop an operational strategy to achieve a strategic aim

2.2 Recommend approaches to leading operational strategy and achieving stakeholder buy-in

#### Indicative content

**2.1 Process to develop an operational strategy:** Gap analysis (current and future requirements). Resourcing (people/ equipment/assets). Marketing and sales strategies (i.e. 9P's of Marketing, market segmentation methods - customers, global and local, opportunities, channels to market, sales funnel strategy. Use of customer insights, sales and marketing data and analytics). Budgeting (costs and controls). Short and Long-Term co-ordination of strategy. Assessment/response to challenges and barriers. Implementation and delivery plan.

Monitoring and evaluation (e.g. review, audit, effectiveness, efficiency, efficacy, use of data analytics). Setting targets and monitoring performance against plans (e.g. soft and hard targets, key performance indicators, customer service charter, service level agreements, customer feedback, and stakeholder engagement). Continuous improvement cycle (e.g. quality audits and quality control). Recording and reporting.

**2.2 Approaches to leading operational strategy and getting stakeholder buy in to achieve a strategic aim:**

- **Selection of leadership approach:** *The Essence of Leadership (Lawler, 2005). Situational Leadership (Hersey and Blanchard, 1969). Ethical Leadership (Mendonca & Kanungo, 2007). Leadership Styles (Goleman, 1995). Distributed properties: A new architecture for leadership (Gronn, 2000). Transformational Leadership (Bass & Riggio, 2006).*
- **Approaches:** *Review, establishment of roles/responsibilities/accountability. Evaluation of current position (e.g. research, observation). Impact analysis (e.g. organisational barriers, individual and organisational cultures, beliefs, diversity, history, political contexts). Planning (e.g. approach to leading change). Learning and development (e.g. learning needs analysis). Reward and recognition.*
- **Stakeholder buy-in:** *Stakeholder management (Mitroff, 1983; Miles, 2012). Approaches to engender support, communicate, articulate operational strategy, shape common purpose, collaborate, persuade, negotiate, influence, challenge perceptions. Manage conflict (Thomas- Kilmann, 1997; Rahim, 2002). Build rapport, trust, use of Social Intelligence (Goleman, 2007).*

## 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 written **account** on the approaches to developing organisational strategies.
2. The learner may be asked to respond to a **management report** on developing and leading operational strategy to achieve a strategic aim.
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>     | • Communicating and influencing                        |
| <b>Interpersonal Excellence</b>   | • Providing purpose and direction                      |
| <b>Organisational Performance</b> | • Leading change and innovation<br>• Achieving results |

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>         | <b>Knowledge</b>   | <b>Skills</b>   |
|-------------------------|--|---|
| A. Operational Strategy | A1. How to develop and implement organisational strategy and plans, including approaches to resource and supply chain management, workforce development, sustainability, taking and managing risk, monitoring and evaluation and quality assurance | A3. Support the development of organisational strategies and plans<br><br>A4. Develop and deliver operational plans; set targets and key performance indicators, manage resources, and monitor and measure outcomes to establish operational effectiveness, efficiencies and excellence |

|   |  |   |
|---|--|---|
|   |  | A5. Produce reports that clearly present information and data, using a range of interpretation and analytical processes<br>A6. Gain wide support to deliver successful outcomes |
| C. Business Finance                       | C3. Commercial context in an organisational setting and how this change over time  |   |
| D. Sales and marketing                    | D1. How to create marketing and sales strategies<br><br>D2. How to segment and target relevant markets and customers (global and local), analysis of opportunities and ways to market            | D4. Use customer insight and analysis of data to determine and drive customer service outcomes and improve customer relationships   |
| G. Leading People                         | G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches<br><br>G2. Organisational culture and diversity management | G3. Articulate organisational purpose and values  |
| I. Developing Collaborative Relationships | I2. How to shape common purpose, as well as approaches to conflict management and dispute resolution   | I6. Work collaboratively with internal and external customers and suppliers   |
| J. Awareness of Self and Others           | J2. How to use emotional and social intelligence, and active listening and open questioning to work effectively with others  |   |
| L. Decision Making                        | L1. How to undertake research, data analysis, problem solving and decision-making techniques<br><br>L2. The values, ethics and governance of your organisation                                   | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making                     |

### Suggested reading/web resource materials

#### Recommended Reading

- Barney, J. (2010). *Gaining and Sustaining Competitive Advantage*. 4th ed. Harlow: Pearson Education.
- Clay, J., and Clay, M. (2015). *Sales Strategy for Business Growth*. London: Thorogood Publishing.
- Cusumano, M.A., and Gawer, A. (2019). *The Business of Platforms: Strategy in the Age of Digital Competition, Innovation, and Power*. Harper Business. New York, NY: Harper Business.

- Cusumano, M.A. and Markides, C.C. eds. (2001). *Strategic Thinking for the Next Economy*. Indianapolis, IN: Jossey-Bass.
- Donaldson, B., Cuevas, J.M., and Lemmens, R. (2015). *Sales Management: Strategy, Process and Practice*. 4th ed. Basingstoke: Palgrave Macmillan.
- Edgar, A. (2018). *Secrets of Successful Sales*. St Albans: Panoma Press.
- Golemann, D. (2007). Social Intelligence. *The New Science of Human Relationships*. London: Arrow.
- Grant, R.M. (2016). *Contemporary Strategy Analysis*. 9th ed. Chichester: John Wiley and Sons.
- Hanlon, A. (2019). *Digital Marketing: Strategic Planning and Integration*. Thousand Oaks, CA: SAGE Publications.
- Hooley, G., Piercy, N., Nicolaud, B., and Rudd, J. (2016). *Marketing Strategy and Competitive Positioning*. 6th ed. Harlow: Pearson.
- Johnson, G. and Scholes, K. (2000). *Exploring Public Sector Strategy*. London: Financial Times/Prentice Hall.
- Johnson, G., Whittington, R. Regnér, P., Scholes, K., and Angwin, D. (2017). *Exploring Strategy*. 11th ed. Harlow: Pearson Education Limited.
- Kaplan, R., and Norton, D. (2000). *The Strategy-Focused Organization: How Balanced, Scorecard Companies Thrive in the New Business Environment*. Brighton, MA: Harvard Business Review Press.
- Kingsnorth, S. (2019). *Digital Marketing Strategy: An Integrated Approach to Online Marketing*. 2nd ed. London: Kogan Page.
- Lynch, R. (2018). *Strategic Management*. 8th ed. London: Financial Times/Prentice Hall.
- Mintzberg, H. (2000). *The Rise and Fall of Strategic Planning*. London: Financial Times/Prentice Hall.
- Mintzberg, H. (2007). *Tracking Strategies: Towards a General Theory*. Oxford: OUP.
- Mintzberg, H., with Ahlstrand, B. and Lampel, J. (2008). *Strategy Safari: Your Complete Guide Through the Wilds of Strategic Management*. 2nd ed. London: Financial Times/Prentice Hall.
- Palmatier, R., and Sridhar, S. (2017). *Marketing Strategy: Based on First Principles and Data Analytics*. London: Palgrave.
- Stacey, R., and Mowles, C. (2015). *Strategic Management and Organisational Dynamics. The Challenge of Complexity to Ways of Thinking about Organisations*. 7th ed. London: Financial Times/Prentice Hall.
- Taylor, H. (2017). *B2B Marketing Strategy: Differentiate, Develop and Deliver Lasting Customer Engagement*. London: Kogan Page.

### Supplementary Reading

- Chandan, J and Lakshminarayan, S. (2015). *Fundamentals of Operations Management*. Dubuque, IA: Kendall Hunt Publishing.
- Greasley, A. (2013). *Operations Management*. 3rd ed. Chichester: John Wiley.
- Johnston, R., Clark, G. and Shulver, M. (2012). *Service Operations Management. Improving Service Delivery*. 4th ed. Harlow: Pearson.
- Pettigrew, A., Thomas, H. and Whittington, R. eds. (2006) *Handbook of Strategy and Management*. Thousand Oaks, CA: Sage Publications.
- Porter, M.E. (2008). *The Five Competitive Forces That Shape Strategy*. Harvard Business Review, Jan 86(1): 78-93.
- Reid, R.D. (2012). *Operations Management: An Integrated Approach*. 5th ed. Chichester: John Wiley and Son.
- Slack, N. and Brandon-Jones, A. (2018). *Operations and Process Management. Principles and Practice for Strategic Impact*. 5th ed. Harlow: Pearson.
- Slack, N. and Brandon-Jones, A., and Johnston, R. (2016). *Operations management*. 8th ed. Harlow: Pearson.
- Slack, N. and Lewis, M. (2017). *Operations Strategy*. 5th ed. Harlow: Pearson.

### Recommended Journals

- European Management Journal (Elsevier)
- Harvard Business Review (Harvard Business Publishing)
- Journal of Business Strategy (Emerald)
- Journal of Management Studies (John Wiley and Sons)
- Long Range Planning (Elsevier)
- Strategic Change (John Wiley and Sons)
- Strategy and Leadership (Emerald)
- Academy of Management Journal

- Academy of Management Review
- Business Strategy Review
- Sloan Management Review
- Strategic Management Journal

#### **Other Journals - Operations Management**

- Journal of Operations Management
- International Journal of Operations & Production Management
- Production and Operations Management
- International Journal of Production Research
- Manufacturing & Service Operations Management
- International Journal of Services and Operations Management

#### **Useful Web Sites:**

[www.ft.com](http://www.ft.com) (Financial Times)

[www.managers.org.uk](http://www.managers.org.uk) Chartered Management Institute

[www.sps.org.uk](http://www.sps.org.uk) Strategic Planning Society

[www.strategy-business.com](http://www.strategy-business.com) Strategy and Business

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.

**Ofqual unit number** D/617/4462

**RQF level** 6

**Guided learning hours** 21

**Total unit time** 60

**Credits** 6

**Aims of unit** The ability to procure, purchase and contract goods, services and capital items effectively is of paramount importance if an organisation is to succeed. For the professional manager and leader this knowledge and understanding is invaluable. It has the power to enhance decision making, strategic and operational planning and the effective delivery of outcomes within budgetary constraints.

It is important to recognise that the terms 'procurement' and 'purchasing' are interpreted differently depending on the type of organisation. For the purpose of this unit, 'procurement' is recognised as the strategic activity that will be underpinned by 'purchasing' and 'contracting'.

The aim of this unit is for managers and leaders to realise business objectives through competent, ethical and professional contracting, purchasing and procurement practices.

**Keywords** Contracts, purchasing, procurement, business objectives, internal, external influences, partners, consortia, policy, strategy, supplier/vendor selection, tenders, bids, negotiation, risk management, contract management.

### Learning outcome 1

#### Understand the principles of procurement, purchasing and contracting within organisational contexts

#### Assessment criteria

- 1.1 Critically appraise the factors which impact on procurement, purchasing and contracting within organisational contexts
- 1.2 Critically assess the interrelationship between strategic procurement and operational purchasing within an organisational context
- 1.3 Investigate how the application of procurement and purchasing processes can be utilised to achieve strategic objectives

#### Indicative content

##### *1.1 Factors which impact on procurement, purchasing and contracting:*

*Internal factors* (i.e. skills and know-hows of people to conduct contracting, purchasing and procurement): Policy and strategy in relation to supply chain and supply chain outsourcing, strategic alliances, partnerships and consortia. Organisational policy with respect to regulatory requirements, compliance, fraud, corruption, coercion, collusion, conflict of interest, codes of conduct, confidentiality, due diligence, environment and sustainability. Organisational structure and governance in relation to ethics, culture, diversity, Corporate and Social Responsibility (CSR), risk, roles, responsibilities, accountability, stakeholder engagement.

*External factors* (i.e. emerging technology, technology trends, digitalisation regulatory and legal frameworks): Global influence (i.e. multi-national corporations, culture/cultural difference, country of origin effects, host country effects, ethics, diversity and values, language and communications, governance, legal and regulatory). Finance (e.g. exchange rates, tariffs, customs and excise duties).

*Organisational context:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

*1.2 Interrelationship between strategic procurement and operational purchasing:* Finance. Risk management. Governance. Quality management. Interaction with project and programme management. Requirements management. Thru-life management. New product and/or capability development. Contracting and contract management. Inter-organisational relationships. Specification creep.

*1.3 Procurement and purchasing processes:* Identify business need. Add value (e.g. tangible and intangible benefits such as cost reduction, reputation, maintaining brand and image, process efficiency, continuous improvement). Identify procurement and purchasing strategic/operational policies. Design/develop/enable supply chain. Conduct research regarding new and/or existing suppliers (e.g. trade study). Identify capability to deliver requirements. Supplier/vendor selection (e.g. tender evaluation, due diligence, pre-qualification. Invitation to Tender – ITT. Requests for Proposal – RFP. Requests for Quotation – RFQ). Contract negotiation and award. Selection of contract type (e.g. simple contract, purchase order, contract under seal). Methods for managing procurement and purchasing processes, manual or computerised (e.g. ERP/MRP systems). Commercial systems (e.g. SAP, Oracle, SAGE). Performance management of purchasing and procurement processes.

## Learning outcome 2

**Know how to apply the principles of procurement, purchasing and contracting to achieve an operational requirement**

### Assessment criteria

- 2.1 Develop a proposal to manage the tender and bidding process to meet a specified operational requirement
- 2.2 Recommend the type of contract required to meet a specified operational requirement
- 2.3 Propose an approach to contract management to achieve an operational requirement

### Indicative content

*2.1. Proposal to manage the tender and bidding process:* Use of open and closed bids. Single or two stage bid process. Technical and commercial compliance. Finance and cost information (e.g. standard pricing, pricing structures and quantities, commodities trading, bulk buying cost plus, open book, ever green, hybrid unit pricing). Bid evaluation and assessment. Stakeholder involvement (e.g. internal and/or external). Supply chain management (e.g. use of intermediaries, management of first and second tier suppliers). Methods to submit the proposal (i.e. Electronic Data Interface - EDI, "E" purchasing and procurement such as Purchase to Pay – P2P). Use of Materials Resource Planning – MRP. Enterprise Resource Planning – ERP. Use of manual or computerised operational procurement and purchasing processes (e.g. Commercial systems such as SAP, Oracle, SAGE). Authorisation and approval processes.

*2.2 Recommendation:* With reference (as applicable) to legal and regulatory frameworks (e.g. local and international laws and standards, suppliers, partners, consortia, alliances).

*Type of contract:* Simple contracts (i.e. purchase order). Contracts under seal (i.e. multi-stage process involving negotiation of technical and commercial conditions such as Public Finance Initiative - PFI). Franchise. Joint venture. Profit sharing. Self-funding. Special Purpose Vehicle - SPV.

*2.3 Approaches to contract management:* Manage and/or develop relationships with selected suppliers/vendors. Set performance goals (e.g. KPIs). Track performance, evaluate outcomes. Manage thru-life costs and value for money. Supplier Relationship Management - SRM (e.g. Conflict management and resolution, disputes, changes to contract).

## 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** on the principles of procurement, purchasing and contracting within organisational contexts.
2. The learner may be asked to write a **management report** on how the principles of procurement, purchasing and contracting can be applied to achieve an operational requirement.
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>● Developing people and capabilities</li><li>● Building relationships and networks</li></ul>               |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>● Leading change and innovation</li><li>● Managing resource and risk</li><li>● Achieving results</li></ul> |

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>     | <b>Knowledge</b>   | <b>Skills</b>   |
|---------------------|--|---|
| C. Business Finance | <p>C1. Financial strategies, including budgets, financial management and accounting, and how to provide financial reports</p> <p>C2. Approaches to procurement and contracting, and legal requirements</p> <p>C3. Commercial context in an organisational setting and how this changes over time</p> | C4. Manage budgets, control expenditure and produce financial reports |

## Suggested reading/web resource materials



## Recommended Reading

- Bailey, P., Farmer, D., Crocker, B., Jessop, D. and Jones, D. (2015). *Procurement Principles and Management*. 11th ed. Harlow: Pearson.
- Christopher, M. (2016). *Logistics and Supply Chain Management*. Creating Value-Adding Networks. 5th ed. Harlow: Pearson Education.
- Chudy, M. and Castedo, L. (2017). *Procurement with SAP MM: Business User Guide* 2nd ed. Boston, MA: Rheinwerk Publishing Inc.
- Chopra, S. (2019). *Supply Chain Management: Strategy, Planning and Operation*. 7th ed. Harlow: Pearson Education.
- Hackett, M. and Statham, G. eds. (2016). *The Acqua Group Guide to Procurement, Tendering and Contract Administration*. 2nd ed. Chichester: John Wiley and Sons.
- Hodges Silverstein, S. and Sager, T. (2015) *Legal Procurement Handbook*. USA: Buying Legal Council.
- Jackson, P., Crocker, B., and Carter, R. (2016). *101 Models of Procurement and Supply Chain Management*. Cambridge, UK: Cambridge Academic.
- Johnsen, T.E., Howard, M. and Miemczyk, J. (2019). *Purchasing and Supply Chain Management*. 2nd ed. Abingdon: Routledge.
- Lysons, K. and Farrington, B. (2016). *Procurement and Supply Chain Management*. Harlow: Pearson Education.
- Manners-Bell, J. (2017). *Supply Chain Ethics: Using CSR and Sustainability to Create Competitive Advantage*. London: Kogan Page.
- Manners- Bell, J. (2019). *The Logistics and Supply Chain Innovation Handbook: Disruptive Technologies and New Business Models*. London: Kogan Page.
- Monczka, R.M., Handfield, R.B., Giunipero, L.C., Patterson. J.L. and Waters, D. (2015). *Purchasing and Supply Chain Management*. 6th ed. Boston, MA: Cengage Learning.
- O'Brien, J. (2016). *Negotiation for Procurement Professionals: A Proven Approach that Puts the Buyer in Control*. 2nd ed. London: Kogan Page.
- Semple, A. (2015). *A Practical Guide to Public Procurement*. Oxford: OUP.
- Van Weele, A.J. (2018). *Purchasing and Supply Chain Management* 7th ed. Boston, MA: Cengage Learning.

## Contract Management Books

- Carter, R., Kirby, S. and Oxenbury, A. (2012). *Practical Contract Management*. Cambridge, UK: Cambridge Academic.
- Corey, J.J. Jr. (2015). *Contract Management and Administration for Contract and Project Management Professionals*. Fuquay Varina, NC: JJ Corey.
- IACCM. (2013). *Fundamentals of Contract and Commercial Management (IACCM Series)*. Norwich: Van Haren Publishing.
- IACCM. (2014). *Contract and Commercial Management: The Operational Guide (IACCM Series. Business Management)*. IACCM and Norwich: Van Haren Publishing.
- Powell, G. (2016). *Construction Contract Preparation and Management: From concept to completion*. 2nd ed. London: Palgrave / Springer Nature Ltd.
- Sammons, P. (2017). *Contract Management: Core Business Competence*. London: Kogan Page.

## Journals

- International Journal of Procurement Management
- Journal of Purchasing & Supply Management
- Recent Journal of Purchasing & Supply Management Articles
- International Journal of Procurement Management

## Web Sites

- <https://www.cips.org>
- <https://www.ioscm.com>

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.

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**Strategic Corporate Social Responsibility and Sustainability**

**Ofqual unit number** H/617/4463

**RQF level** 6

**Guided learning hours** 20

**Total unit time** 60

**Credits** 6

**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.

**Learning outcome 1**

**Understand corporate social responsibility and sustainability in organisational contexts**

**Assessment criteria**

- 1.1 Discuss organisational approaches to corporate social responsibility and sustainability
- 1.2 Critically assess enablers, constraints and barriers to corporate social responsibility and sustainability
- 1.3 Present a case for organisational commitment to corporate social responsibility and sustainability

**Indicative content**

*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).  
*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).

*\* Please note: CSR and sustainability are contested areas depending on definitions and understanding they 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, Benoit-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>   |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Chartered Manager Degree Apprenticeship (ST0272/ST03):

| Standard | Knowledge | Skills |
|----------|-----------|--------|
|----------|-----------|--------|

|                                 |  |  |
|---------------------------------|--|--|
| A. Operational Strategy         | Aa. How to develop and implement organisational strategy and plans, including approaches to resource and supply chain management, workforce development, sustainability, taking and managing risk, monitoring and evaluation and quality assurance | A3. Support the development of organisational strategies and plans   |
|                                 |  | A6. Gain wide support to deliver successful outcomes   |
| B. Project Management           | B4. Identify key outcomes, develop and implement plans and monitor progress, and provide reports as required   |  |
| C. Business Finance             | C3. Commercial context in an organisational setting and how this change over time  |  |
| F. Communication                | F1. Different forms of communication (written, verbal, non-verbal, digital) and how to apply them  | F7. Apply influencing and persuading skills, to the dynamics and politics of personal interaction  |
|                                 |  | F3. Interpersonal skills awareness including effective listening, influencing techniques, negotiating and persuasion   |
| G. Leading People               | G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches  | G3. Articulate organisational purpose and values   |
|                                 |  | G2. Organisational culture and diversity management  |
|                                 |  | G4. Support the creation of an inclusive, high performance work culture<br>G5. Enable others to achieve by developing and supporting them through coaching and mentoring |
| J. Awareness of Self and Others | J2. How to use emotional and social intelligence, and active listening and open questioning to work effectively with others  | J4. Understand impact on others  |
| L. Decision Making              | L1. How to undertake research, data analysis, problem solving and decision-making techniques   |  |
|                                 |  | L2. The values, ethics and governance of your organisation   |

### 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 Papasolomou, 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.

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- 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 Organisation 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.

**Ofqual unit number** M/617/4465

**RQF level** 6

**Guided learning hours** 25

**Total unit time** 70

**Credits** 7

**Aims of unit**

Effective quality management is critical to meeting stakeholder needs and expectations, developing trust and reputation. It impacts on profitability, processes and procedures and the achievement of strategic objectives. Quality is not something that occurs by chance. It is reliant on strategic and operational planning and the commitment and drive by professional managers, leaders, teams and individuals to make it a success.

The aim of this unit is to enable professional managers and leaders to understand the rationale and approaches to quality management. Critically, the unit focuses on how quality and continuous improvement can be instilled into all aspects of working practice.

**Keywords**

Quality management, stakeholders, structures, principles, continuous improvement, purpose, procedures, strategic objectives.

**Learning outcome 1**

**Understand the factors which influence organisational approaches to quality management**

**Assessment criteria**

- 1.1 Critically assess organisational approaches to quality management in relation to different perspectives and schools of thought
- 1.2 Appraise the impact of multi-dimensional issues on quality management within organisational contexts

**Indicative content**

*1.1 Approaches to quality management (people centred or mechanistic): Continuous improvement. Six Sigma (Motorola, 1986). Statistical Process Control 'SPC' (Shewhart, 1920), Deming/PDCA Cycle (Deming, 1950s). LEAN methods (Krafcik, 1988; FW Taylor, 1911; Lillian Gilbreth, 1920; Tsuneo Ono, 1929). Total Quality Management 'TQM' (Feigenbaum et al., circa 1980). Public/Third Sector approaches (e.g. PQASSO, Investing in Volunteers 'ViM').*

*Different perspectives and schools of thought: Short term improvements to quality management: Reactive, dramatic improvement, involving a select few (Kaizen Blitz). Long term improvements to quality management: Long lasting, slow small steps, incremental, applied to everybody (Kairyo, Kaizen/Ba, circa 1960). Continuous self-development to achieve leadership potential.*

*1.2 Multi-dimensional issues: barriers, enablers, constraints, cultural issues.*

- *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).*

Internal and external factors such as current business environment, customer needs. Organisational requirements for quality management (e.g. industry norms, regulations, requirements for governance).



Organisational requirements for new quantitative and qualitative outcomes. Management and leadership styles.

## Learning outcome 2

### Know how to lead quality management to achieve strategic objectives

#### Assessment criteria

- 2.1 Discuss how quality management can be developed to achieve strategic objectives in an organisational context
- 2.2 Develop a proposal to lead quality management at an operational level
- 2.3 Consider how individuals and teams can be supported to instil the principles of quality and continuous improvement into all aspects of working practice

#### Indicative content

*2.1 The development of quality management may include but is not limited to:* Establishing aims and objectives (e.g. strategic, operational, departmental, functional). Critical Success Factors (Daniel / McKinsey & Co., 1961). Critical Decisions, Critical Assumptions, Assumption Based Planning (ABP) (Rand Corporation, circa 1960). Key Performance Indicators 'KPIs'. Gain stakeholder buy-in (e.g. individuals, teams, managers, leaders, senior managers, board members; external: customers, pressure groups, government agencies; connected: suppliers, partners, contractors). Balance of power, value, impact, power/interest, stakeholder analysis (Freeman, 1984; Eden and Ackerman, 1998).

*2.2 Proposal in relation to either a new or existing operational activity to include:*

- *Business planning – overarching business plan for quality management:* 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 stakeholder involvement. Seek perspectives on priorities and strategies. Identify and manage risk. Set measurable objectives (e.g. KPIs). Develop high-level improvement implementation plan (key milestones and dates) and strategy (e.g. prototyping, parallel operations, big bang or pilot project). Plan to manage, lead, monitor and evaluate outcomes of improvements.
- *Operational planning (including an evaluation of options) to introduce or improve quality management:*
- *Selection of approaches to training, learning and development (e.g. formal, informal).* Online learning, secondments and temporary promotion/role change, job shadowing, benchmarking against other industry sectors, quality circles.
- *Selection of tools and techniques for quality management (quality controls and assurance): Assurance:* International Organization for Standardization: ISO 9001: 2015.
- *Diagnostic techniques* (e.g. influence diagrams). Rational Decision Making (Kepner and Tregoe, 1965). Soft Systems Methodology 'SSM' (Checkland, circa 1970). Appreciative Enquiry (Cooperrider and Srivastva, circa 1980). Multi Voting/ Delphi Technique (Rand Corporation, Helmer et al., c.1960). Mind mapping (Buzan et al., c.1950).
- *Analytical techniques:* 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 Mudas, Toyota, circa 1950). Pareto analysis. Quality Functional Deployment 'QFD' (1966, Japan). Deming/PDCA Cycle (Deming, 1950s). Kano Model (Kano, 1980). Six Sigma (Motorola, c. 1986). Rapid Improvement Workshop. Voice of the Customer.
- *Analysis and presentation of results:* Histograms, bar charts, variance analysis, data analysis and visualisation. Statistical methods (e.g. Statistical Process Control 'SPC'), Cost of Poor Quality 'CoPQ' (IBM et al., 1987).
- *Manufacturing techniques:* 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.
- *Plan for implementation:* Scope, objectives, actions, stages, milestones, resources, timescales, responsibilities, key performance indicators, communications, risk, quality, human resources, and team

development. Standard project management approaches such as PRINCE2. PMI (Project Management Institute). APM (Association of Project Managers). PMBOK (Project Management Body of Knowledge). Use of Gantt Charts and Critical Path Analysis. Plan for use of national and international standards (e.g. ISO 9001: 2015, API, DIN, AFNOR).

- *Select implementation strategy for quality management:* Big bang strategy (out with the old and in with the new). Prototyping. Development of a pilot. Parallel operations (running new and existing operations for a time period).
- *Plan for monitoring and review:* Identify qualitative and quantitative methods (e.g. Periodic reporting, surveys and questionnaires, interviews, benchmarking activities, scorecards, data and metrics, audits, targets, observation, conversations. Performance Improvement Reviews 'PIR').

*2.3 Strategies to instil the principles of quality and continuous improvement:* Communities of practice, subject matter experts, self and directed learning, technical training, motivational techniques, reward and recognition, expectations of role and requirements. Recognise enablers and blockers. Force Field Analysis (Lewin, c. 1940). Collaborative working, coaching and mentoring, role modelling. Winning hearts and minds (challenging assumptions and beliefs, influencing, overcoming barriers and conflict). Adapt management and leadership styles to individual and team needs.

### 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 a **report** or **reflective account** on the factors which influence organisational approaches to quality management.
2. The learner may be asked to write a **report** or proposal on how to lead quality management to achieve strategic objectives.
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>• Managing yourself</li><li>• Making decisions</li></ul>   |
| <b>Interpersonal Excellence</b>   | <ul style="list-style-type: none"><li>• Providing purpose and direction</li><li>• Developing people and capabilities</li><li>• Building relationships and networks</li></ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>• Managing resource and risk</li><li>• Achieving results</li></ul>   |

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| Standard                | Knowledge  | Skills  |
|-------------------------|--|---|
| A. Operational Strategy | A1. How to develop and implement organisational strategy and plans, including approaches to resource and supply chain management, workforce development, sustainability, taking and managing risk, monitoring and evaluation and quality assurance | <p>A3. Support the development of organisational strategies and plans</p> <p>A4. Develop and deliver operational plans; set targets and key performance indicators, manage resources, and monitor and measure outcomes to establish operational effectiveness, efficiencies and excellence</p> <p>A5. Produce reports that clearly present information and data, using a range of interpretation and analytical processes</p> <p>A6. Gain wide support to deliver successful outcomes</p> |
| B. Project Management   |  | <p>B1. How a project moves through planning, design, development, deployment and evaluation</p> <p>B1.1 Analyse the key stages of a project and demonstrate the application of these</p> <p>B4. Identify key outcomes, develop and implement plans and monitor progress, and provide reports as required</p> <p>B5. Proactively identify risk and create plans for their mitigation</p>   |
| G. Leading People       |  | G5.1 Enable others to achieve by developing and supporting them through coaching and mentoring  |
| H. Managing People      | H3. How to set goals and manage performance  | <p>H4. Build teams, empower and motivate others to improve performance or achieve outcomes</p> <p>H6. Set goals and accountabilities</p>  |
| L. Decision Making      |  | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making   |

## Suggested reading/web resource materials

### Suggested Reading

- Cowley, M. and Domb, E. (1997). *Beyond Strategic Vision: Effective Corporate Action with Hoshin Planning*. Abingdon: Routledge.
- Deming, W.E. (2012). *The Essential Deming: Leadership Principles from the Father of Quality*. New York, NY: McGraw-Hill.
- Eaton, M. *The Lean Practitioner's Handbook*. London: Kogan Page.
- Gladwell, M. (2002). *The Tipping Point: How Little Things Can Make a Big Difference*. New ed. London: Abacus/Little, Brown Book Group.
- Gladwell, M. (2009). *Outliers: The Story of Success*. London: Penguin Books.
- Goldratt, E.M. (2004). *The Goal: A Process of Ongoing Improvement* 3rd ed. Abingdon: Routledge.
- Greasley, A. (2013). *Operations Management*. 3<sup>rd</sup> ed. Chichester: John Wiley.
- Hamilton, B. and Wardwell, P. (2013). *The e2 Continuous Improvement System: Managing & Sustaining your Lean Transformation through the "e2 everybody, everyday" Approach to Lean*. Amazon Media.
- Hewitt, D., and Ainslie, V. (2018). *Quality Management Systems A guide to ISO 9001: 2015 Implementation and Problem Solving*. 2<sup>nd</sup> ed. Sydney, NSW: Phoenix Proofreading.
- Hoyle, D. (2017). *ISO 9000 Quality Systems Handbook-updated for the ISO 9001: 2015 standard: Increasing the Quality of an Organization's Outputs*. Abingdon, Oxon: Routledge.
- Imai, M. (2012). *Gemba Kaizen: A Commonsense Approach to a Continuous Improvement Strategy* 2nd ed. New York, NY: McGraw-Hill.
- Kato, I. and Smalley, A. (2011). *Toyota Kaizen Methods: Six Steps to Improvement*. New York, NY: Taylor and Francis.
- Liker, J.K. (2004). *The Toyota Way: 14 Management Principles from the World's Greatest Manufacturer*. New York, NY: McGraw-Hill.
- Miller, J., Wroblewski, M. and Villafuerte, J. (2013). *Creating a Kaizen Culture*. New York, NY: McGraw-Hill.
- Narusawa, T. and Shook, J. (2009). *Kaizen Express: Fundamentals for Your Lean Journey*. Boston, MA: Lean Enterprise Institute.
- Ohno, T. (2013). *Taiichi Ohno's Workplace Management*. New York, NY: McGraw Hill.
- Rother, M. (2009). *Toyota Kata: Managing People for Improvement, Adaptiveness and Superior Results*. New York, NY: McGraw Hill.
- Slack, N., Brandon-Jones, A., and Johnston, R. (2016). *Operations management* 8<sup>th</sup> ed. Harlow: Pearson.
- Wheeler, D. J. (2000). *Understanding Variation: The Key to Managing Chaos*. 2<sup>nd</sup> ed. Knoxville, TN: SPC Press.
- Womack, J. and Jones, D. (2015). *Lean Solutions: How Companies and Customers Can Create Value and Wealth Together*. New York, NY: Simon and Schuster.

### Recommended Journals

- Total Quality Management & Business Excellence
- Total Quality Management and Organizational Performance
- Total Quality Management and Business Excellence
- The TQM Journal
- Quality Management Journal (ASQ)
- Quality management in health care

- International Journal of Productivity and Quality Management
- Quality & Quantity
- International Journal of Applied Quality Management

#### Supplementary Journals

- Quality progress
- Journal for quality and participation
- Journal of quality technology
- Quality engineering
- Software quality professional
- Quality approaches in higher engineering
- Quality management forum

#### Useful papers

- Fisher, N. (2009). Homer Sarasohn and American Involvement in the Evolution of Quality Management in Japan, 1945-1950. *International Statistical Review*, 77: 276-299.
- Price, B. (1989). Frank and Lillian Gilbreth and the Manufacture and Marketing of Motion Study, 1908-1924. *Business and economic history* Second series, volume eighteen.
- Phelps, L.D., Parayitam, S. and Olson, B.J. (2007). Edwards Deming, Mary P. Follett and Frederick W. Taylor: Reconciliation of differences in Organizational and Strategic Leadership. *Academy of Strategic Management Journal*, 6:1-14.
- Dalrymple, J.F. (2018). *From F Winslow Taylor to W Edwards Deming, - Over a Century of Progress?* Melbourne, Victoria, Australia: Centre for Management Quality Research, RMIT University.  
<http://mams.rmit.edu.au/35zkk9ztt0qn.pdf>
- Kolesar, P. (1994). What Deming Told the Japanese in 1950. *Quality Management Journal*, 2: 9-24.

#### External Weblinks

- [CQI](#)
- [EFQM Leading Excellence](#)
- [European Organisation for Quality](#)
- [International Organisational 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 \(June 2012\)](#)

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.

**Ofqual unit number** T/617/4466

**RQF level** 6

**Guided learning hours** 20

**Total unit time** 60

**Credits** 6

**Aims of unit** The principles laid down in organisational, corporate, functional and departmental policies have a direct bearing on the daily activities of an organisation's workforce. Policy focuses on the activities which are of critical importance to an organisation. Policies can be used to set strategic direction. Policies also set expectations about the behaviours and values required by staff to work ethically and professionally within their roles and when representing the organisation.

Policy writing is an art form which requires great skill. An in-depth understanding of the context in which policy is developed, the factors which drive the need for policy, and crucially, the influence of stakeholders in policy development is required to write effective policies.

The aim of the unit is to enable professional managers and leaders to take a fresh look at the role policy plays within an organisation, know how policy can be developed and ultimately, cascaded successfully to its intended audience.

**Keywords** Policy drivers, rationale, purpose, limitations, inter-relationships, procedures, instructions, flexibility, formulation, implementation, policy cascade, review, ethics, diversity.

### Learning outcome 1

#### Understand the context in which a policy is developed

#### Assessment criteria

1.1 Discuss the context in which policy is developed

#### Indicative content

##### 1.1 *Context:*

- Policy drivers: internal and external, global, international, national, regional, local influences. Level of commitment to and acceptability of policy change (long and short term). Roles of corporate and functional policy (i.e. human resources, finance, production, operations, marketing, sales, customer services, purchasing, procurement, warehousing, supply chain). Size and structure of organisation. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).
- *Relationship between policy and strategy:* Achievement of objectives, such as compliance, safety and security, values, long and short-term commitment. Relationship to procedures, activities, work instructions and standards (local and international standards e.g. ISO9001:2015, ISO 14001). Role of autonomy within organisations, departments/divisions with respect to policy development (e.g. Head Office sets policy - business units across the country interpret the policy to reflect local conditions). Limitations of policy (scope and coverage).

- *Issues of policy development:* Tensions in policy making (e.g. competing perspectives, different schools of thought in policy making, operational and delivery constraints, challenging and improving policy, individual ambitions versus grand visions, short-termism, resource allocation). Consideration of issues in regard to policy cascade and implementation (e.g. inability to cover all eventualities at an operational level). Policy dependence on individuals to use judgements, make decisions in the context of organisational governance and operational procedures. Individual and team insensitivity to policy change.

## Learning outcome 2

### Know how to develop, implement and evaluate policy

#### Assessment criteria

- 2.1 Develop a policy to achieve a specific organisational aim
- 2.2 Develop an implementation strategy and plan to support the introduction of a policy to an operational level
- 2.3 Recommend approaches to evaluate the effectiveness of policy at an operational level

#### Indicative content

**2.1 Policy:** Related to an aspect of an organisation (e.g. products, services, function, department, division, Strategic Business Unit 'SBU') or creation of Policy Zero (a policy to write policies).

- *Justification for policy development:* Rationale for policy development, constraints, limitations, alternatives to development of policy. Intelligence gathered, impact of stakeholder involvement. Benchmarking. Decision making process used.
- *Stages of developing a policy:* Identify the corporate policy area and/or business function for which policy needs to be written, identify the owner/sponsor. Scope the policy (e.g. policy content against a policy brief and/or Policy Zero). Identify inter-relationship (cross reference related policies including policy alternatives). Agree requisite level of approval and authorisation. Identify stages to maintain and review policy.
- *Stakeholder consultation:* Identify consultation groups (i.e. managers, operational staff, customers, expert groups, subject matter experts). Conduct stakeholder analysis (Cameron, Crawley et al., 2010; Turner, Kristoffer and Thurloway, 2002). Power/interest (Freeman, 1984; Eden and Ackerman, 2000). Review of policy content (e.g. interpretation of policy, understanding of key aims, removing ambiguity, relationship to functional and departmental policies and procedures, national and international standards).
- *Intelligence gathering:* Evidence based research and evaluation on current and future environment. Application of qualitative and quantitative methods. Sense making and creative thinking techniques. Use of decision-making tools and techniques.
- *Models of decision making:* The rational model and the model of bounded rationality (Simon, 1979). The Incrementalist view (Lindblom, 1959). The organisational procedures view (March, 1988). The political view. The individual differences perspective (Keen and Morton, 1978). Naturalistic decision-making (Klein, 1998). The multiple perspectives approach (Mitroff and Linstone, 1993).
- *Tools, techniques:* The estimate process 'The 7 Questions' (Ministry of Defence). Attribute trade off models (MRD/ARM Analysis). The Pugh Matrix (Pugh, 1980). Quality Functional Deployment 'QFD' (1966). Pareto analysis. Decision trees. Sensitivity and what if analysis. OODA loops (Boyd J, 1985). Monte Carlo Simulation Method (Stanislaw, U c.1940). Six Thinking Hats (De Bono, 1986). Multi Voting/Delphi Technique (Rand Corporation, Helmer et al., c1960).
- *Creation of the policy document:* Use of 'Policy zero' or 'Policy brief' (Guidelines on format, structure and content and stages to follow to develop policy in an organisational context). Structure and format of written policy document. Use of house style/language. Confidentiality, access (restricted, unrestricted, public, private domains). Levels of authorisation and approval.

**2.2 Implementation strategy and plan:** Pilot implementation, soft launch, 'Big Bang', phasing in, prototyping, parallel operation, establish measurable and qualitative measures of success (KPIs). Organisational Maturity (CMMI maturity model). Methods of policy cascade to operational business units. Design of communication channels to aid policy cascade across an organisation, design of feedback loops. Communications theory (Shannon and Weaver, 1947). Ashby's Law of Requisite Variety (Ashby, c.1960). Transduction Theory (Stafford Beers circa c.1960). Mechanisms to amplify key message and attenuation of noise (filtering out superfluous communications). Strategies for stakeholder engagement (individuals impacted by policy at different levels). RAEW-RACI Analysis (Crane, Fiat et al., c.1970). Methods to present the policy (e.g. marketing and communications). Response to organisational barriers, constraints, risks (e.g. change management). Resource requirements for policy implementation.

**2.3 Approaches to evaluate the effectiveness of policy:** Formulate measures that constitute success (i.e. KPIs, Objectives, Goals, Critical Success Factors 'CSFs', timescales). Review of data and information, qualitative and quantitative outcomes, short and long consequences of policy change/implementation. Individual, group and peer scrutiny. Lessons learned. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). Receptiveness to policy. Cross impact analysis/ models (Theodore Gordon and Olaf Helmer, 1966).

### 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 a **report** on the context in which a policy is developed.
2. The learner may be asked to develop, implement and evaluate a **policy** of own design.
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> </ul>  |
| <b>Interpersonal Excellence</b>   | <ul style="list-style-type: none"> <li>● Communicating and influencing</li> </ul>   |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"> <li>● Providing purpose and direction</li> <li>● Leading change and innovation</li> <li>● Managing resource and risk</li> <li>● Achieving results</li> </ul> |



### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| Standard                                  | Knowledge  | Skills  |
|---|--|---|
| A. Operational Strategy                   |  | A3. Support the development of organisational strategies and plans<br>A6. Gain wide support to deliver successful outcomes                                  |
| D. Sales and marketing                    |  | D4. Use customer insight and analysis of data to determine and drive customer service outcomes and improve customer relationships                           |
| F. Communication                          |  | F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms   |
| I. Developing Collaborative Relationships |  | I6. Work collaboratively with internal and external customers and suppliers   |
| L. Decision Making                        | L1. How to undertake research, data analysis, problem solving and decision-making techniques<br><br>L2. The values, ethics and governance of your organisation | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making |

### Suggested reading/web resource materials

#### Recommended Reading

- Gerston, N. (2010). *Public Policy Making. Process and Principles*. 3<sup>rd</sup> ed. Abingdon, Oxon: Routledge.
- Howlett, N. (2019). *Designing Public Policies: Principles and Instruments*. Abingdon, Oxon: Routledge.
- Howlett, M., Ramesh, M. and Perl, A. (2009). *Studying Public Policy: Policy Cycles and Policy Subsystems*. Don Mills, ON: OUP Canada.
- Jordan, A.J. and Turnpenny, J.R. eds. (2015). *The Tools of Policy Formulation: Actors, Capacities, Venues and Effects*. Cheltenham: Edward Elgar Publishing.
- P.G. Keen, and M.S. Scott-Morton, *Decision Support Systems: An Organisational Perspective, Reading, Addison-Wesley*, Massachusetts, 1978.
- Mishkin, F. (2009). *Monetary Policy and Strategy*. Cambridge, MA: MIT Press.
- Padgett, C. (2011). *Corporate Governance: Theory and Practice*. London: Palgrave Macmillan.
- Porter, E. and Coles, L. (2011). *Policy and Strategy for Improving Health and Wellbeing*. Exeter: Learning Matters Ltd.
- Tricker, B. (2015). *Corporate Governance: Principles, Policies, and Practices* 3<sup>rd</sup> ed. Oxford: Oxford University Press.
- Van Deusen, C., Williamson, S., and Babson, H.C. eds. (2007). *Business Policy and Strategy. The Art of Competition* 7<sup>th</sup> ed. Boca Raton, FL: CRC Press.

#### Recommended Journals

- Strategic Entrepreneurship Journal
- Journal of Public Policy
- Journal of Environmental Assessment Policy and Management,
- International Journal of Entrepreneurial Behaviour and Research
- Journal of International Business Studies
- Management Review

- Management Today
- People Management

### Supplementary Journals

- International Journal of Entrepreneurship and Innovation
- Academy of Management Review
- Journal of Management
- California Management Review
- MIT Sloan Management Review
- Harvard Business Review
- HR Magazine

### External Weblinks

- NESTA
- The European Commission
- UK Research and Innovation
- OFGEM
- [brainmates.com.au/brainrants/some-practical-tools-for-stakeholder-management/](http://brainmates.com.au/brainrants/some-practical-tools-for-stakeholder-management/)
- Innovation Union
- Department for Business Innovation and Skills

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.

**Ofqual unit number** F/617/4468

**RQF level** 6

**Guided learning hours** 24

**Total unit time** 70

**Credits** 7

**Aims of unit** The approach taken to manage knowledge within organisations has the power to impact on productivity, competitive advantage, succession planning and ultimately an organisation's success.

Knowledge management is more than the use of information and communications technologies to exchange data and information. Knowledge management also focuses on strategy, experiential learning and context. It includes human interaction and understanding.

On successful completion of the unit, professional managers and leaders will understand the impact of knowledge management on an organisation and the individuals working within it. Vivaly, professional managers and leaders will develop a strategy to drive knowledge management in an organisational context.

**Keywords** Knowledge management, intellectual capital, situational awareness, scope, purpose, impact, human and cultural dimensions, tools, techniques, technologies, strategy.

### Learning outcome 1

#### Understand knowledge management within organisational contexts

#### Assessment criteria

- 1.1 Investigate the scope and purpose of knowledge management in organisational contexts
- 1.2 Critically appraise models and approaches which underpin knowledge management in organisational contexts

#### Indicative content

##### 1.1 *Scope and purpose of knowledge management:*

- *The capture of experiential knowledge, data and information:* Socialisation, Externalisation, Combination, Internalisation (SECI) Model (Nonaka and Takeuchi, 1996). Data, Information, Knowledge, Wisdom 'DIKW' model (Ackoff, 1989).
- *Creation of new knowledge and understanding/innovation:* Human Resource Dimensions of Innovation and Knowledge Management. Knowledge and Know How (Collison and Parcell, 2004). People process and technology (Schneier, 1999).
- Single and Double Loop Learning (Argyris, 1991).
- *Use and storage of data and information:* Knowledge technologies (e.g. document management, ICT systems). Information security (Schneier, 1999)

- *Dissemination/transfer of data and information*: Tactics in an Information War (Boisot, 2000). Knowledge Sharing - or not (Max Boisot, 2000). Innovation Designing Through Knowledge Management. I space (Max Boisot, 2000). Succession/pipeline planning (Andersson, 2011).
- *The valuation of experiential knowledge, data, information and intellectual capital*: Tacit and explicit knowledge (Polanyi, 1958; 1966). Intellectual capital models. Cost of knowledge. Intellectual Property Rights. Impact of aims and objectives. Organisational performance. Maintaining competitive advantage.

*Organisational contexts*: type and purpose of the organisation (operational, local, international, global, project/programme management, departmental and strategic business unit), Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

*1.2 Models and approaches*: Dealing with Complexity (Kaufmann et al., c.2000). Knowledge, Knowledge Work and Organizations (Blackler, 1995, Quinn et al., 1996). Meta-Knowledge 'knowledge about knowledge' (Evans et al., 2011). Knowledge Embedded in Practice 'The Reflective Practitioner' (Schön, 1987). Organisational Sense making (Karl Weick, 1979). Information and Knowledge Cultures. Managing Knowledge in an Organisational Context (Blackler, 1980). Organisational Learning (Senge, 1996). Deep Smarts (Leonard and Swap, 2005). The Myth of Knowledge Transfer. Organisational Memory (Walsh and Ungson, 1991). Organizational Knowledge Types (Spender, 1996). Personal Learning (Cook and Brown, 1999). Intellectual Capital (Stewart, 1991). Communities of Practice (Lave and Wenger, 1998; Brown and Duguid, 1995, Leonard-Barton, 1995). Communications theory (Shannon and Weaver, 1947). The Hypertext Organisation (Nonaka I., Konno N, 1998). Tacit and Explicit knowledge (Polanyi, 1958; 1966).

## Learning outcome 2

### Understand the human and cultural dimensions of knowledge management

#### Assessment criteria

- 2.1 Critically appraise the human and cultural dimensions of knowledge management
- 2.2 Evaluate the impact of knowledge management on organisational learning

#### Indicative content

*2.1 Human and cultural dimensions of knowledge management*: The knowledge worker, individual knowledge context, knowledge production. Constraints and tensions regarding data protection and sharing, knowledge protection and sharing (e.g. sharing protocols and security, legislation such as GDPR (2018), impact of social media). Culture to facilitate knowledge sharing. Social Sciences (Constructivist Views) of Communications. Cultural Perspectives of Knowledge Management. Ethical issues (e.g. rights and responsibilities of the individual and the organisation). Professionalism (Freidson, 2004).

*2.2 The impact of knowledge management on organisational learning*: Single and Double Loop Learning (Argyris, 1991). Mode 1 and Mode 2 Knowledge (Gibbons et al., 1994). Organisational Learning (Senge, 1996). SECI Model (Nonaka and Takeuchi, 1996). Formal and informal knowledge. Boundary spanning, technical skill development, T-shaped skills (Guest, 1991). Knowledge, Knowledge Work and Organizations (Blackler, 1995, Quinn et al., 1996).

## Learning outcome 3

### Know how to develop a strategy to drive knowledge management in an organisational context

#### Assessment criteria

- 3.1 Develop a strategy to drive knowledge management in an organisational context
- 3.2 Recommend tools, techniques and technologies to manage knowledge

#### Indicative content

**3.1 Strategy:** Tailored to the aims and objectives of organisation. Approaches for document management, information systems, learning and development, monitoring and evaluation. Use of data and information management (e.g. use of Big Data). Development of new or existing resources and capabilities, knowledge work (Grant and Spender, 1996). Hypertext Organisation (Nonaka, 1994). Innovation and Knowledge Markets. Tactics in the Information War (Boisot, 2000). Boundary Spanning/ 'T' skills (Ernst and Chrobot-Mason, 2011). Resources and Capabilities (Grant et al., c.1995). Competitive Advantage – the PEARL model (Waistell, 2015). Distinctive capabilities (Kay, 1993). Dynamic capabilities and strategic management (Teece, Pisano and Shuen, 1997).

**3.2 Tools and techniques:** Casual and Cognitive Maps (Eden and Ackerman, 1990). Competency Modelling (McBer, Boyatiz, Spencer and Spencer, 1980). Concept Maps (Gains and Shaw, 1970). Concept Mapping (Novak, 1970). Concept Structures (Sowa, 1984). Context and 'I/O' (input and output) diagramming. Decision Explorer (Eden and Ackerman, 1990). Decision Trees. Deep and Surface Language – problem solving methodology (Synectics). Influence Diagrams. Metaphors. The Multiple Perspectives Approach (Mitroff and Linstone, 1993). Rules, Epistemologies, Taxonomies and Ontologies. Mind mapping (Tony Buzan, 1974). Systems maps, thinking and complexity (Open University/Futurelearn). Balanced Scorecard (Kaplan and Norton, 1992). Intellectual Capital Index (Roos and Roos, 1997). Big Data and Analytics (Ramanathan et al., 2017).

**Technologies (digital):** Internet, intranets, cloud, data bases, document management, work flow systems, business objects, artificial neural networks, pattern recognition. Case Based Systems (capturing, codifying/organising, using, updating). Search engines and browsers, avatars, intelligent agents, expert systems.

### 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 write a **report** on knowledge management within organisational contexts
2. The learner may write a **report** or **reflective account** on the human and cultural dimensions of knowledge management
3. The learner may develop a **strategy** to drive knowledge management in an organisational context.
4. 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> </ul>  |
| <b>Interpersonal Excellence</b>   | <ul style="list-style-type: none"> <li>● Communicating and influencing</li> </ul>                                   |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"> <li>● Developing people and capabilities</li> <li>● Achieving results</li> </ul> |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>         | <b>Knowledge</b> | <b>Skills</b>  |
|-------------------------|------------------|--|
| A. Operational Strategy |                  | A3. Support the development of organisational strategies and plans |

|   |   |   |
|---|---|---|
| E Digital business and new technologies | E1. Approaches to innovation and digital technologies and their impact on organisations, and how their application can be used for organisational improvement and development | E2. Innovation and digital technology's impact on data and knowledge management for analysing business decision-making<br><br>E2.1 Analyses the impact of innovation and digital technologies on data and knowledge management<br><br>E2.1 Demonstrate how this can be utilised for making business decisions |
| F. Communication                        |   | F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms   |
| G. Leading people                       | G2. Organisational culture and diversity management   |   |
| L. Decision Making                      | L1. How to undertake research, data analysis, problem solving and decision-making techniques  | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making   |

### Suggested reading/web resource materials

#### Recommended Reading

- Allee, V. (2002). *The Future of Knowledge: Increasing Prosperity through Value Networks*. Abingdon, Oxon: Routledge.
- Allee, V. (2013). *The Knowledge Evolution: Expanding Organizational Intelligence*. Abingdon, Oxon: Routledge.
- Amidon, D.M. (2009). *Innovation Strategy for the Knowledge Economy: The Ken Awakening*. Abingdon, Oxon: Routledge.
- Baird, L., and Henderson, J.C. (2001). *The Knowledge Engine. How to Create Fast Cycles of Knowledge to Performance and Performance to Knowledge*. San Francisco, CA: Berrett-Koehler Publishers.
- Boisot, M. (2000). *Is there a complexity beyond the reach of strategy?* *Emergence* 2(1): 114-134.
- Chatzkel, J. (2003). *Knowledge Capital: How Knowledge Based Enterprises Really Get Built*. Oxford: Oxford University Press.
- Collison, C. and Parcell, G. (2004). *Learning to Fly: Practical Knowledge Management from Leading and Learning*. 3<sup>rd</sup> ed. Chichester: Capstone Publishing/John Wiley.
- Davenport, T.H. and Prusak, L. (2000). *Working Knowledge: How Organizations Manage What They Know*. Boston: MA: Harvard Business School Press.

- Denning, S. (2011). *The Springboard: How Storytelling Ignites Action in Knowledge-Era Organisations*. Abingdon, Oxon: Routledge.
- Despres, C. and Chauvel, D. (2000). *Knowledge Horizons: The Present and the Promise of Knowledge Management*. Abingdon, Oxon: Routledge.
- Helms, R., Cranefield, J., and van Reijssen. eds. (2019). *Social Knowledge Management in Action: Applications and Challenges (Knowledge Management and Organizational Learning)*. Cham, Switzerland: Springer.
- Hislop, D., Bosua, R., and Helms, R. (2018). *Knowledge Management in Organizations: A Critical Introduction*. Oxford: OUP.
- Kermally, S. (2002). *Effective Knowledge Management: A Best Practice Blueprint (CBI)*. Chichester: John Wiley.
- Klein, D.A. ed. (1988). *The Strategic Management of Intellectual Capital. Resources for the Knowledge-based Economy*. Abingdon, Oxon: Routledge.
- Kluge, J., Stein, W. and Licht, T. (2001). *Knowledge Unplugged: The McKinsey & Company Global Survey on Knowledge Management*. Basingstoke: Palgrave.
- Leonard, D. and Swap, W. (2005). *Deep Smarts: How to Cultivate and Transfer Enduring Business Wisdom*. Boston, MA: Harvard Business School Press.
- Little, S. and Ray, T. eds. (2005). *Managing Knowledge: An Essential Reader*. 2nd ed. UK: London: The Open University in association with Sage Publications.
- Massingham, P. (2019). *Knowledge Management: Theory in Practice*. London SAGE Publishing.
- Mellor, R. (2011). *Knowledge Management and Information Systems: Strategies for Growing Organisations*. Basingstoke, Palgrave Macmillan.
- Mertins, K., Heisig, P., and Vorbeck, J. eds. (2003) *Knowledge Management: Concepts and Best Practices* 2<sup>nd</sup> ed. Berlin: Springer-Verlag.
- Milton, N. and Lambe, P. (2016). *The Knowledge Manager's Handbook: A Step-by-Step Guide to Embedding Effective Knowledge Management in your Organization*. London: Kogan Page.
- Morey, D., Maybury, M. and Thuraisingham, B. eds. (2002). *Knowledge Management: Classic and Contemporary Works*. New edition. Cambridge, MA: MIT Press.
- Newell, S., Maxine Robertson, M., Scarbrough, H. and Swan, J. (2009). *Managing Knowledge Work and Innovation*. 2<sup>nd</sup> ed. Basingstoke: Palgrave Macmillan.
- Newman, V. (2002). *The Knowledge Activist's Handbook: Adventures from the Knowledge Trenches*. Oxford: Capstone Publishing.
- Nonaka, I. (2008). *The Knowledge-Creating Company*. Boston, MA: Harvard Business School Publishing.
- North, K. and Kumta, G. (2018). *Knowledge Management: Value Creation Through Organizational Learning*. 2<sup>nd</sup> ed. Cham, Switzerland: Springer.
- Polanyi, M. (2009). *The Tacit Dimension*. Revised ed. Chicago, IL: University of Chicago Press.
- Truch, E. ed (2004). *Leveraging Corporate Knowledge*. Aldershot: Gower Publishing Limited.
- Wenger, E., McDermott, R., and Snyder, W. M. (2002). *Cultivating Communities of Practice. A Guide to Managing Knowledge*. Boston, MA: Harvard Business School Press.

#### **Recommended Journals**

- International Journal of Knowledge and Learning
- Journal of Information and Knowledge Management
- Journal of Knowledge Management Practice
- Journal of Intellectual Capital
- Knowledge and Innovation: Journal of the KMCI

- International Journal of Information and KM Systems
- International Journal of Applied Knowledge Management
- The Learning Organization

#### **Supplementary Journals**

- International Journal of Knowledge Management
- International Journal of Knowledge, Culture and Change Management
- International Journal of Learning and Intellectual Capital

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.



|                              |            |
|------------------------------|------------|
| <b>Ofqual unit number</b>    | J/617/4469 |
| <b>RQF level</b>             | 6          |
| <b>Guided learning hours</b> | 15         |
| <b>Total unit time</b>       | 70         |
| <b>Credits</b>               | 7          |

**Aims of unit**

Coaching is a powerful learning and development tool. Used effectively, it is able to optimise individual and team performance and the achievement of organisational goals. Coaching has rapidly become an essential leadership tool. It enables the professional manager and leader to support, motivate and empower individuals and teams in a conversational and insightful way. This contrasts with and complements the use of traditional directive leadership approaches.

This unit focuses on these specific coaching skills, techniques and approaches that are required by leaders to develop the knowledge, skills and resourcefulness of individuals. It focuses on the benefits and types of coaching used by leaders in different contexts and how the application of coaching impacts in the organisational environment.

A key part of this unit is for leaders to critically reflect on their own ability to coach individuals and identify opportunities for improvement. In order to achieve this, learners will need to use coaching skills in their leadership practice.

**Keywords**

Types, forms, individual, team, culture, benefits, coaching models, application, leadership styles, approaches, challenges, improvements.

**Learning outcome 1****Understand the benefits, types and application of coaching used by leaders****Assessment criteria**

- 1.1 Critique the types and forms of coaching used to empower individuals and teams to achieve success
- 1.2 Research the benefits of coaching for individuals, teams and organisations
- 1.3 Critically assess how coaching can be applied by leaders in different contexts

**Indicative content**

*1.1 Types and forms:* Performance coaching, leadership/executive coaching, career and developmental coaching. Formal (e.g. setting up a coaching engagement over a time-period) versus informal approaches (e.g. via a short conversation or delivered in response to a spontaneous need). Employing coaching models for a coaching conversation (e.g. GROW, OSCAR, CREATE). Virtual coaching, coaching as a development tool, coaching as a leadership skill. Coaching via mobile apps, microlearning. External coaches, coaching industry v internal coaches.

- *Coaching definitions: 'Unlocking a person's potential to maximise their own performance, helping them to learn rather than teaching them' (Whitmore, 2009). The 'art of facilitating the development, learning and enhanced performance of another' (Hill, 2004).*

**1.2 Benefits of coaching:** Potential improvements to business performance, competitiveness, improving knowledge capital, staff retention, creativity, development and dissemination of good practice, quality, efficiency, innovation, improved service delivery, enhanced relationships, productive and reflective conversations, individual and team development, succession planning, empowerment, resourceful staff, improved team and individual flexibility, adaptability, participation and responsiveness to change. Coaching versus mentoring and other development approaches, flexibility, and financial costs/savings. Responding to individual learning styles. Improvement of self-confidence, team engagement encourages reflective practice.

**1.3 Application of coaching:** empower individuals to become more resourceful, improve performance, resolve conflict (Thomas and Kilmann). Build relationships, share knowledge, communication. Motivation. Skills and knowledge development, career development, enhanced thinking, problem solving, emotional regulation. Formal and informal use of coaching. Ability of the leader to use coaching approach (Rogers et al. 2012). Readiness of the followers to be coached (Haden, 2013). The Coaching Spectrum (Downey, 2003).

**Inter-relationship between coaching and leadership styles:** Values-driven leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Responsible leadership (Maak and Pless, 2006). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Situational Leadership (Hersey and Blanchard, 1969). Ethical Leadership (Mendonca & Kanungo, 2007). Emotional intelligence (Goleman, 1995). Authentic Leadership (Goffee and Jones, 2011). Servant Leadership (Greenleaf, 1977). Distributed leadership (Gronn, 2000). Cross Cultural leadership (Hofstede, 1991). Transformational Leadership (Bass & Riggio, 2006).

**Coaching contexts:** individual coaching. Group and team coaching (Britton, 2013). Virtual, face-face, telephone, blended. Coaching Across Cultures (Rosinski, 2003). Organisational culture. (Handy, 1993).

## Learning outcome 2

### Know the skills, techniques and approaches required by leaders to coach

#### Assessment criteria

- 2.1 Discuss how leaders can coach individuals using a structured approach
- 2.2 Critically reflect on how coaching may be adapted to respond to individual need
- 2.3 Recommend strategies to overcome challenges and barriers which impact on coaching
- 2.4 Critically reflect on own ability to coach individuals and identify opportunities for improvement

#### Indicative content

##### 2.1 *Structured approach* (leader's planning and preparation for coaching):

- Appraise the need for coaching (as opposed to training, counselling, mentoring, more direction). Identify needs and expectations of coachee. Establish confidentiality and trust, empathy and rapport (agreement and boundaries). Identify themes to cover within coaching, goals and objectives.
- Create a conducive environment for coaching
- Select and review coaching model/models to meet the needs of the coachee
- Application of skills and techniques for coaching: communication skills, active listening. Questioning skills (open, closed, probing, facilitative, incisive questions, reflective, clarifying, solutions-based). Use of positive body language (interpret/ infer from the body language of others). Effective feedback. Use of acknowledgements. Use of silence to create space for coachee to think and determine own solutions. Non-judgmental. Reflection by coachee and coach.

##### 2.2 *Respond:* Adapt style of coaching (proactively or reactively).

*Individual need:* Unique situation such as a crisis, problem solving, dilemmas, lack of knowledge, confidence. Identified by the leader or coachee.

**2.3 Strategies:** leadership styles, communication strategy (celebration of success/key message), role modelling, coaching champions, engagement, planning, skills development (leader and coachee), evidence of results. Winning hearts and minds, challenging assumptions and beliefs, supporting team leadership, team work and development. Coaching culture.

### Challenges and barriers:

- **Organisational:** Organisational top-level support. Culture and governance. Provision of time and space to allow the coaching to take place, value of activity.
- **Operational:** lack of resources (e.g. money availability, difficulty in proving ROI/ making a business case). Time constraints (e.g. parameters, workload, time allocation, protecting time and space). Coaching supervision.
- **Individual (leader and coachee):** Perceived or actual skill deficit - confidence to coach. Willingness of the coachee. Lack of understanding and/or commitment to the process (coach and coachee). Lack of clarity of coaching role. Mis-matched expectations. Ineffective match between coach and coachee. Levels of openness, trust and honesty. Breach of confidentiality. Lack of progress. Appropriateness of coaching (e.g. would training, mentoring, counselling, therapy and/or formal/informal disciplinary measures be more relevant?).

**2.4 Reflect on own ability to coach:** Ability to apply a selected coaching model (reference to A.C. 1.1). Achievement of aims and objectives. Adjustments and improvements to practice, learning and development (formal and informal). Engagement with coaching supervision (e.g. peer, group, one-to-one). Skills (e.g. ability to communicate, actively listen, question, build rapport and trust). Competencies (e.g. preparation, techniques and approaches). Behaviours, values, beliefs, motivation. Mental toughness (Lyons, 2015). Emotional Intelligence (Goleman, 1995). Deep and surface learning. Use of feedback from coachee. Application of reflective learning tools. Reflective Cycle (Gibbs, 1995), Learning Cycle (Kolb, 1984).

### 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 a **report** or develop a presentation on the benefits, types and application of coaching used by leaders.
2. The learner may be asked to write an **account** on the skills, techniques and approaches required by leaders to coach
3. The learner may write a **reflective account** based on their own ability to coach individuals and identify opportunities for improvement.
4. 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>● 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><li>● Building relationships and networks</li></ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>● Leading change and innovation</li><li>● Achieving results</li></ul>  |

## Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| Standard                                  | Knowledge  | Skills   |
|---|--|--|
| F. Communication                          | <p>F1. Different forms of communication (written, verbal, non-verbal, digital) and how to apply them</p> <p>F3. Interpersonal skills awareness including effective listening, influencing techniques, negotiating and persuasion</p> | <p>F4. Communicate clearly, effectively and regularly using oral, written and digital channels and platforms</p> <p>F5.1 Use active listening and open questioning to structure conversations and discussions, and able to challenge when appropriate</p>                |
| G. Leading People                         | G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches  | <p>G4. Support the creation of an inclusive, high performance work culture</p> <p>G5. Enable others to achieve by developing and supporting them through coaching and mentoring</p>  |
| H. Managing People                        | H3. How to set goals and manage performance  | <p>H4. Build teams, empower and motivate others to improve performance or achieve outcomes</p> <p>H6. Set goals and accountabilities</p>   |
| I. Developing Collaborative Relationships | I2. How to shape common purpose, as well as approaches to conflict management and dispute resolution   | <p>I3. Build rapport and trust, develop networks and maintain relationships with people from a range of cultures, backgrounds and levels</p> <p>I5. Effectively influence and negotiate, being able to have challenging conversations and give constructive feedback</p> |
| J. Awareness of Self and Others           | <p>J1. How to be self-aware and recognise different learning styles</p> <p>J2. How to use emotional and social intelligence, and active listening and open questioning to work effectively with others</p>                           | <p>J3. Reflect on own performance, identifying and acting on learning and development needs</p> <p>J3. Understand impact on others</p>   |

## Suggested reading/web resource materials

### Recommended Reading

Textbooks/eBooks

- Arnold, J. (2016). *Coaching skills for leaders in the workplace*. 2nd ed. London: Robinson.
- Clutterbuck, D. (2016). *Coaching Supervision*. A Practical Guide for Supervisees. Abingdon, Oxon: Routledge.

- Clutterbuck, D., Megginson, D. and Bajer, A. (2016). *Building and Sustaining a Coaching Culture*. London: CIPD-Kogan Page.
- Cox, E., Bachkirova, T. and Clutterbuck, D. (2018). *The Complete Handbook of Coaching*. London: SAGE Publications.
- Downey, M. (2003) *Effective Coaching, Lessons from the Coaches Coach*, Orion Business, London, UK.
- Einzig, H. (2017). *The Future of Coaching – Vision, leadership and responsibility in a transforming world*. Abingdon, Oxon: Routledge.
- Gilbert, A. and Whittleworth, K.J. (2009). *The OSCAR Coaching Model. Simplifying Workplace Coaching*. Redbrook, Monmouthshire: Worth Consulting.
- Goleman, D. (1996). *Emotional Intelligence: Why it Can Matter More Than IQ*. London: Bloomsbury Publishing.
- Goleman, D. (2004). *Emotional Intelligence and Working with Emotional Intelligence*. London: Bloomsbury Publishing.
- Hill, P. (2004). *Concepts of Coaching - A Guide for Managers*. Oxford, UK: Chandos Publishing Institute of Leadership & Management.
- Keddy, J. and Johnson, C. (2011). *Managing Coaching at Work. Developing, Evaluating and Sustaining Coaching in Organizations*. London: Kogan Page.
- Landsberg, M. (2015). *The Tao of Coaching: Boost Your Effectiveness at Work by Inspiring and Developing Those Around You*. London: Profile Books Ltd.
- Neale, S., Spencer-Arnell, L. and Wilson, L. (2011). *Emotional Intelligence Coaching – Improving Performance for Leaders, Coaches and the Individual*. London: Kogan Page.
- Rock, D. (2008). *Quiet Leadership: Six Steps to Transforming Performance at Work*. New York, NY: Harper Collins.
- Rogers, J. with Whittleworth, K. and Gilbert, A. (2012). *Manager as a Coach: The New Way to Get Results*. Maidenhead: McGraw-Hill.
- Stanier, M.B. (2016). *The Coaching Habit: Say Less, Ask More and Change the Way You Lead Forever*. Toronto, ON: Crayons Press.
- Starr, J. (2016). *The Coaching Manual: The Definitive Guide to the Process, Principles and Skills of Personal Coaching*. 4th ed. Harlow: Pearson Education.
- Whitmore, J. (2009). *Coaching for Performance: Growing Human Potential & Purpose (4th Edition)*. London, UK: Nicholas Brealey Publishing Limited.
- Wildflower, L. (2013). *The Hidden History of Coaching. (Coaching in Practice)*. Maidenhead: Open University Press/McGraw-Hill Education.

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.

**Ofqual unit number** F/617/4471

**RQF level** 6

**Guided learning hours** 26

**Total unit time** 70

**Credits** 7

**Aims of unit** The ability to lead equality, diversity and inclusion in an organisational context requires insight, knowledge and a commitment to valuing individuals regardless of their similarities and differences.

Whilst an in-depth understanding of the legal and regulatory frameworks is essential, managers and leaders must constantly keep abreast of changes and influences which impact on how equality, diversity and inclusion is led and managed. To do this effectively, managers and leaders need to create an environment where individuals and teams feel able to have honest conversations and share their needs, expectations and opinions in an open and constructive way.

The aim of this unit is to equip professional managers and leaders with the understanding and knowledge of how to lead equality, diversity and inclusion with confidence.

**Keywords** Equality, diversity, inclusion, benchmarking, improvement, change, culture, legal and regulatory requirements, data and information, benchmarking, strategy, decision making.

|  |
|--|
| <b>Learning outcome 1</b>  |
| <b>Understand the context for leading equality, diversity and inclusion</b>  |
| <b>Assessment criteria</b>   |
| 1.1 Critically evaluate the opportunities and challenges of leading equality, diversity and inclusion in an organisational context   |
| 1.2 Discuss the legal and regulatory requirements for equality, diversity and inclusion in an organisational context   |
| <b>Indicative content</b>  |
| <p><i>1.1 Opportunities:</i> Reputational benefits, improved recruitment and retention of staff, diverse work force. Impact on organisational culture, customer satisfaction, corporate social responsibility. The Case for Equality, Diversity and Inclusion (Kirton et al. 2016). Definition and Values (Patrick &amp; Kumar, 2012). Organisational Behaviour (Buchanan, 2017). Systemic Change and Equity (Senge &amp; Scheetz, 2016). Valuing Diversity (Griggs, 1995). Super-diversity (Vertovec, 2007). Turning diversity into competitive advantage (Sutanto, 2010).</p> <p><i>Challenges:</i> Deliberate/unintended discriminatory behaviours within and outside of the work-place. Individual and cultural difference/changing perceptions (e.g. gender definitions). Socio-political and economic landscape (including migration). Impact of media (including social media). Emergence of different types of discriminatory practice (e.g. cyber bullying). Speed of changes (e.g. change in language and terminology). Changes in priorities and perceptions (e.g. national movements/internal networks focussing on specific topics i.e. mental health, sexual orientation, race and ethnicity). Positive action versus positive</p> |

discrimination. Organisational factors (culture, type, legal status, governance, resourcing and stakeholder needs and expectations).

*1.2 Legal and regulatory requirements:* Complexity of defining equality, diversity and inclusion. Legislative framework (Equality Act 2010). Protected characteristics. Types of discrimination. Prohibited conduct. Rights and responsibilities of employers and employees. Interrelationship with other legal and regulatory frameworks e.g. Prevent Strategy (2011), Modern Slavery Act (2015), Domestic Abuse & Violence Bill (consultation in draft, 2018), Equal Pay Act (1970), General Data Protection Regulation (GDPR) (2018). Acts relating to languages and national identity in the UK such as: Welsh Language Act (1993), Welsh Language Measure (2011), Gaelic Language (Scotland Act 2005).

*Organisational context:* 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).

## Learning outcome 2

### Know how to lead equality, diversity and inclusion in an organisational context

#### Assessment criteria

- 2.1 Critically assess how leaders can apply legal and regulatory requirements for equality, diversity and inclusion in an operational context
- 2.2 Critically examine approaches to leading a sustainable culture of equality, diversity and inclusion in an organisational context
- 2.3 Reflect on how the principles of equality, diversity and inclusion can be applied by leaders to make an ethical decision

#### Indicative content

##### *2.1 Application of legal and regulatory requirements\*:*

- *Policy:* Development of policies, strategies/procedures for implementation
- *Data and information:* gathering, monitoring, recording, reporting, disseminating, publishing. GDPR (2018).
- *Response to incidents, allegations, complaints:* Investigations, actions, recording, reporting, monitoring, lessons learned
- *Benchmarking:* Comparison against national statistics, past performance, sector, competitor performance
- *Action planning:* Target setting (i.e. positive representation, equal pay, participation). Training. Identification and response to barriers (reasonable adjustment, special consideration).
- *Tools, frameworks and awards:* Equality impact assessment, equality duty, organisational charters, codes of ethics. The Equality Mark. Investors in Diversity Award. Leaders in Diversity Award.
- *Operational context:* Specific to an organisation (e.g. Service delivery, recruitment and selection, learning and development, customer service, facility management, finance and resourcing).

*\* Please note: The application of legal and regulatory requirements will be dependent on the context of an organisation. Its purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture, values, ethics. Type (operational, local, international, global, project/programme based, departmental and strategic business unit).*

##### *2.2 Approaches to leading a sustainable culture of equality, diversity and inclusion:*

- *Leadership styles:* Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Cross Cultural Leadership (Hofstede, 1991). Values-Driven Leadership (Gentile, 2014). Leading with Integrity (Blanchard, 2011). Responsible Leadership (Maak and Pless, 2006). Ethical Leadership (Mendonca &

Kanungo, 2007). Six Leadership Styles (Goleman, 1995). Charismatic Leadership (House, 1997). Authentic Leadership (Goffee and Jones, 2011). Transformational Leadership (Bass & Riggio, 2006).

- **Communication strategies:** Creating environments where people can talk. Safe, honest conversations. Use of shared experiences, stories/storytelling, use of challenging questions. Focus on stakeholder needs and expectations. Use of influence and persuasion. Acknowledgment and response to problems/ethical dilemmas (e.g. personal belief versus expected practice, custom and practice issues, conscious and unconscious bias, poor practice, use of banter). Promotion of good practice, reward and recognition.
- **Sustaining:** On-boarding/induction. Continual professional development (creative strategies for engaging staff). Targeted training. Lessons learned. Developmental conversations. Pipeline planning. Coaching or mentoring. Positive action. Promotion of corporate social responsibility. Use of sponsorship. Role modelling. Monitoring and evaluation, developing opportunities for improvement.

**2.3 Ethical decision making:** Response to discriminatory behaviours/actions (e.g. allegations, complaints, intimidation, harassment, gender pay gap, unfair treatment or access. Victimisation, bullying, indirect or direct discrimination. Physical abuse, verbal abuse. Failure to implement policy). Use of research and data analysis. Application of policy and procedure. Compliance with legal and regulatory requirements (e.g. Equality Act 2010). Use of experts and networks (e.g. ACAS, ECHR). Applications of problem solving/decision-making techniques/models. Scope of decision/problem, options for consideration/impact on individuals/organisations/communities. Likely outcome of decisions made or failure to act. Rationale for decisions made.

### 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. Written **report** on the context for leading equality, diversity and inclusion
2. **Proposal** or **report** on how to lead equality, diversity and inclusion in an organisational context
3. Exemplar of decision making which upholds the principles of equality, diversity and inclusion
4. The learner may produce a **reflective account** on the principles and practices of equality, diversity and inclusion to evidence their ability 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> <li>• Building relationships and networks</li> </ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"> <li>• Achieving results</li> </ul>  |

### Relationship with other frameworks and occupational standards



This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>                           | <b>Knowledge</b>  | <b>Skills</b>   |
|---|---|---|
| A. Operational Strategy                   |   | <p>A3. Support the development of organisational strategies and plans</p> <p>A4. Develop and deliver operational plans; set targets and key performance indicators, manage resources, and monitor and measure outcomes to establish operational effectiveness, efficiencies and excellence</p> <p>A5. Produce reports that clearly present information and data, using a range of interpretation and analytical processes</p> <p>A6. Gain wide support to deliver successful outcomes</p> |
| B. Project management                     |   | B4. Identify key outcomes, develop and implement plans and monitor progress, and provide reports as required  |
| F. Communication                          | F3. Interpersonal skills awareness including effective listening, influencing techniques, negotiating and persuasion  | <p>F5. Use active listening and open questioning to structure conversations and discussions, and able to challenge when appropriate</p> <p>F7. Apply influencing and persuading skills, to the dynamics and politics of personal interaction</p>  |
| G. Leading People                         | <p>G1. Different inclusive leadership styles and models, how to develop teams and support people using coaching and mentoring approaches</p> <p>G2. Organisational culture and diversity management</p> | G5. Enable others to achieve by developing and supporting them through coaching and mentoring   |
| H. Managing People                        | H3. How to set goals and manage performance   | H6. Set goals and accountabilities  |
| I. Developing Collaborative Relationships |   | I3. Build rapport and trust, develop networks and maintain relationships with people from a range of cultures, backgrounds and levels   |
| J. Awareness of self and others           |   | J4. Understand impact on others   |

|                    |  |   |
|--------------------|--|---|
| L. Decision making | L1. How to undertake research, data analysis, problem solving and decision-making techniques | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making |
|                    | L2. The values, ethics and governance of your organisation                                   |   |

### Suggested reading/web resource materials

#### Textbooks/eBooks

- Abramovich, G., and Mercer Traavik, L.E. (2017). Support for diversity practices in Norway: Depends on who you are and whom you have met. *European Management Journal*, 35 (4), 454-463.
- Barr, D., and Campbell, C. (2011). *Ethics in Decision-Making. (Good Practice Guide)*. London: Institute of Business Ethics.
- Buchanan, D and Huczynski, A. (2016). *Organizational Behaviour An Introductory Text*, (9th ed.) Harlow: Prentice Hall
- Carlsson, M., & Rooth, D-O. (2007). Evidence of ethnic discrimination in the Swedish labor market using experimental data. *Labor Economics*, 14: 716–729.
- Chen, M., & MacMillan, I. (1992). Non response and delayed response to competitive moves: the roles of competitor dependence and action irreversibility. *Academy of Management Journal*, [online] 35(3) 359–370. available from <https://doi.org/10.5465/256486> [15 August 2018]
- Daniels, K., & MacDonald, L. (2005). *Equality, Diversity and Discrimination: A Student Text*. London: CIPD-Kogan Page.
- Eagly, A.H., & Carli, L.L. (2007). Women and the labyrinth of leadership. *Harvard Business Review*, 85(9): 62–71, 146.
- Fujimoto, Y., Härtel, C., and Azmat, F. (2013). Towards a diversity justice management model: integrating organizational justice and diversity management. *Social Responsibility Journal*, [online] 9(1), 148–166. available from <https://doi.org/10.5465/256486> [15 August 2018]
- Goyal, S. (2009). Diversity in the Workplace. *HRM Review* [online]. available from [http://thestrategist.in/wp-content/uploads/2014/11/HRM-REVIEW\\_Dimension-of-Diversity.pdf](http://thestrategist.in/wp-content/uploads/2014/11/HRM-REVIEW_Dimension-of-Diversity.pdf) [15 August 2018]
- Greenwald, A.G., & Banaji, M.R. (1995). Implicit social cognition: attitudes, self-esteem, and stereotypes. *Psychological Review*, 102(1): 4–27.
- Griggs, L. B. (1995). Valuing diversity: Where from . . . where to? In L. B. Griggs and L-L. Louw (eds.), *Valuing diversity: New tools for a new reality* (pp. 1-14). New York, NY: McGraw-Hill
- Hall, N.R., Crisp, R.J., & Suen, M. (2009). Reducing implicit prejudice by blurring intergroup boundaries. *Basic and Applied Social Psychology* 31(3): 244–254.
- IIsaac, C., Lee, B., & Carnes, M. (2009). Interventions that affect gender bias in hiring: a systematic review. *Academic Medicine: journal of the Association of American Medical Colleges*, 84(10), 1440.
- Kalev, A., Dobbin, F., & Kelly, E. (2006). Best Practices or Best Guesses? Assessing the Efficacy of Corporate Affirmative Action and Diversity Policies. *American Sociological Review*, 71:589-617.
- Kirton, G., and Greene, A-M. (2016). *The Dynamics of Managing Diversity. A critical Approach*. 4<sup>th</sup> ed. Abingdon, Oxon: Routledge.
- Kreitz, P. (2008). Best Practices for Managing Organizational Diversity. *The Journal of Academic Librarianship* [online] 34(2), 101-120. available from <https://doi.org/10.1016/j.acalib.2007.12.001> [15 August 2018]
- Kumra, S., and Manfredi, S. (2012). *Managing Equality and Diversity: Theory and Practice*. Oxford: OUP.

- Moss-Racusin, C.A., Dovidio, J.F., Brescoll, V.L., Graham, M. & Handelsman, J. (2012). Science faculty's subtle gender biases favor male students. *Proceedings of the National Academy of Sciences for the United States of America*, 109(41): 16474–16479.
- Mullins, L.J. (2016). *Management and Organisational Behaviour*. 11<sup>th</sup> ed. Harlow: Pearson Education. Chapter 5
- Parillo, V., and Donoghue, C. (2005). Updating the Bogardus social distance studies: a new national survey. *The Social Science Journal* [online] 42, 257– 271. available from <https://doi.org/10.1016/j.soscij.2005.03.011> [15 August 2018]
- Patrick, H., and Kumar, V. (2012). *Managing Workplace Diversity: Issues and Challenges*. *Sage Open*, 2(3), 346-351
- Scheetz, M. Senge, P. (2016). Systemic change and equity. The Equity-Centered Capacity Building Network (ECCBN).
- Sabharwal, M. (2014). Is Diversity Management Sufficient? Organizational Inclusion to Further Performance. *Public Personnel Management* [online] 43(2), 197-217. available from <https://doi.org/10.1177/0091026014522202> [7 September 2018].
- Shaban, A. (2016). Managing and Leading a Diverse Workforce: One of the Main Challenges in Management. *Procedia - Social and Behavioral Sciences* [online] 230 (2016) 76–84. available from <https://doi.org/10.1016/j.sbspro.2016.09.010> [15 August 2018]
- Steinpreis, R.E., Anders, K. and Ritzke, D. (1999). The impact of gender on the review of the curricula vitae of job applicants and tenure candidates: a national empirical study. *Sex Roles*, 41(7/8): 509–528.
- Sutanto, M. (2009). Turning Diversity into Competitive Advantage: A Case Study of Managing Diversity in the United States of America. *Jurnal Manajemen Dan Kewirausahaan* [online] 11(2) 154-160. available from <https://doi.org/10.9744/jmk.11.2.pp.%20154-160> [15 August 2018].
- Tsui, A., Egan, T., and O'Reilly, C. (1992). Being different: relational demography and organizational attachment. *Administrative Science Quarterly* [online] 37, 549–579. available from <https://www.jstor.org/stable/2393472> [15 August 2018]
- Uhlmann, E.L. and Cohen, G.L (2005). Constructed criteria redefining merit to justify discrimination. *American Psychological Society* 16(6): 474–480.
- Wentling, R. and Palma-Rivas, N. (1997). Diversity in the Workforce: A Literature Review. *Diversity in the Workforce Series Report #1* ERIC [online]. available from <https://eric.ed.gov/?id=ED414473> [15 August 2018]
- Ziegert, J. & Hanges, P. (2005). Employment discrimination: the role of implicit attitudes, motivation, and a climate for racial bias. *Journal of Applied Psychology*, 90: 553–562.
- Zogmaister, C., Arcuri, L., Castelli, L. and Smith, E.R. (2008) The impact of loyalty and equality on implicit in-group favouritism. *Group Processes and Intergroup Relations*, 11(4): 493–512.

#### Journals

- Equality, Diversity and Inclusion: An International Journal (Emerald): <https://www.emeraldinsight.com/journal/edi>
- International Journal of Law in Context <https://www.cambridge.org/core/journals/international-journal-of-law-in-context>
- Interdisciplinary Perspectives on Equality and Diversity <http://journals.hw.ac.uk/index.php/IPED/>

#### Useful websites

- [http://www.equalities.gov.uk/equality\\_act\\_2010.aspx](http://www.equalities.gov.uk/equality_act_2010.aspx)
- <http://www.gov.uk>
- <http://www.acas.org.uk>

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.

**Ofqual unit number** J/617/4472

**RQF level** 6

**Guided learning hours** 18

**Total unit time** 60

**Credits** 6

**Aims of unit** The ability to make ethical decisions under pressure is a fundamental requirement of a professional manager and leader. Ethical decision making is not easy, especially when decisions are under the spotlight of stakeholder opinion, constrained by organisational, legal and regulatory requirements, where ambiguity exists, where risks are high or where the outcome of decisions will be unpopular.

All decisions involve some form of value-based judgement and could involve ethical considerations. Whilst mechanistic decision making is the ability to select an action from different alternatives, ethical decision making focuses on value-based judgements and a wider range of issues that are typically more complicated in nature.

The aim of this unit is to equip professional managers and leaders with the understanding of how to make ethical decisions in different organisational contexts.

**Keywords** Decisions, ethics, skills, values, behaviours, tools, techniques, models, integrity, fairness, consistency, impartiality, objective, moral courage, understanding.

### Learning outcome 1

#### Understand ethical decision making within organisational contexts

#### Assessment criteria

- 1.1 Critically assess the influence of organisational context on decision making
- 1.2 Critically appraise personal values and behaviours required to make ethical decisions
- 1.3 Evaluate the challenges of ethical decision making

#### Indicative content

*1.1 Organisational context: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (e.g. Carnegie Mellon Maturity Index 'CMMI', 1990). Internal and external organisational drivers. Role and influence of customers, suppliers, partners, competitors and buyers. Approach to organisational strategies such as: Deliberate and Emergent Strategies (Mintzberg, 1985), Resource Based View of the Firm (Penrose et al., 1959; Spender et al., 2009), Scenario Planning (Ringland J, 1998). Data and information access (e.g. public or private domains) and/or classifications (e.g. restricted or unrestricted).*

1.2 *Personal values and behaviours: Emotional intelligence. Cognitive skills. Clear thinking. Mental agility. Data recall. Information management. Reflective practice. Dealing with uncertainty and ambiguity. Risk appetite. Ability to make and manage difficult or unpopular decisions. Accommodating. Collaborating. Avoiding. Competing. Compromising. Conflict Handling (Thomas and Kilmann, 1974; Borisoff and Victor, 1989). Dealing with Complexity (Kaufman et al., 2000).*

*Ethical Decisions: Moral, right, true. Integrity, fairness, consistency, impartiality, objective, moral courage, understanding, empathy, ethics, resilience, dealing with diversity, recognises corporate social responsibility (CSR). Risks, rewards, fracture lines/market break points (Morgan G, 1985). Insightful/understands the impact of decisions made. Ability to determine/apply conflict management, negotiation and conflict resolution, communicate decisions to others (i.e. design and use of communication channels). Dealing with communications noise, feedback (Shannon and Weaver, 1947). Social amplification and attenuation mechanisms (Ashby R, c1950).*

1.3 *Challenges: Decision making under pressure. Internal and external constraints (e.g. Resources, politics and stakeholders, legal and regulatory frameworks, availability of relevant data and information, finance and budgets, reputation, risk). Understanding different perspectives and courses of action (Linstone and Mitroff, 2000). An understanding or the strategic context/ bigger picture, recognising fracture lines and market breakpoints and taking a holistic 'helicopter view' (Morgan G, 1985). Multi-dimensional issues such as but are not limited to the influence and power of stakeholders, different perspectives, Cognitive Limits and Bias (Kahneman, 2016), Bounded Rationality (Simon, 1982), the challenge of impartiality (e.g. The observer and the observed phenomena (Mahoney, 1998). Situations when data or information may be incomplete, corrupted or lacks currency.*

## Learning outcome 2

### Know how to make an ethical decision

#### Assessment criteria

- 2.1 Critically appraise the types and sources of data and information available to inform ethical decision making
- 2.2 Recommend tools and techniques for ethical decision making
- 2.3 Present the justification for the ethical decision made

#### Indicative content

2.1 *Types of data and information: Qualitative, quantitative, structured, unstructured, spatial and non-spatial, meta data. Classes, groups, segments and domains.*

*Sources of data and information: Internal and external sources of data and information. Current and/or future sources of primary or secondary data and information (e.g. quantitative and qualitative methods).*

2.2 *Tools and techniques (Strategic):*

- *Management Information Systems. The estimate process 'The 7 Questions' (Ministry of Defence). Game theory (The prisoners' dilemma: The Rand Corporation). Cross impact analysis/ models (Gordon and Helmer, 1966). The Pugh Matrix (1980). Attribute trade off models Availability, Reliability, Maintainability (ARM Analysis) and Maintainability, Reliability, Dependability (MRD/ARM Analysis).*

*Tools and techniques (Operational):*

- *Decision trees. Sensitivity and what if analysis. National Decision Model (College of Policing, 2013). OODA loops (Boyd J, 1985). Decision action cycles. Ishikawa diagrams (before and after, Ishikawa, 1960). Monte Carlo Simulation (Stanislaw U, c.1940). 5 Whys (Taiichi Ohno, 1960s). Blue Sky Thinking. Weighted pros and cons. 6 Hat Thinking (De Bono, 1970). Root Cause Analysis. Critical Examination (BS 3138: 34004). Multi Voting/ Delphi Technique (Rand Corporation, Helmer et al., c1960). Pareto analysis.*
- *Models of decision making: The rational model and the model of bounded rationality (Simon, 1982). The Incrementalist view (Lindblom, 1959). The organisational procedures view (March, 1988). The political view. The Garbage Can Model (Cohen et al., 1972). The individual differences perspective (Keen and*

Morton, 1978). *Naturalistic decision making* (Klein, 1998). *The multiple perspectives approach* (Mitroff and Linstone, 1993).

2.3 *Justification: Rationale for selecting approach. Criteria for selecting data and information for decision making (e.g. relevance, currency, adequacy, reliability, timeliness, cost-effective, maintainability and robustness required to support different decision action cycles required by the organisation). Alternative approaches considered. Response to challenges faced (e.g. dilemma's, constraints, risk, impact likely or intended impact of decision made). Reflection in respects to lessons identified/learned.*

*Presentation of justification: Traditional/classical methods (i.e. narrative, thematic analysis, pie charts, histograms, trends and averages, regression analysis – single/multiple).*

*Emerging methods. Use of informatics and information science to present data and information. Presenting spatial data and information, tele-visual, animated (data and information is presented in terms of patterns). Other forms include structured, unstructured and self-organising maps (SOMs).*

### 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 produce a **report** or **reflective account** on ethical decision making in organisational contexts
2. The learner may write a **report** or **reflective account** entitled 'ethical decision making'
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></ul>                                    |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"><li>• Leading change and innovation</li><li>• Managing resource and risk</li></ul> |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| <b>Standard</b>    | <b>Knowledge</b>   | <b>Skills</b>   |
|--------------------|--|---|
| L. Decision Making | L1. How to undertake research, data analysis, problem solving and decision-making techniques | L3. Use evidence-based tools and ethical approaches to undertake problem solving and critical analysis, synthesis and evaluation to support decision making |

L2. The values, ethics and governance of your organisation

Behaviours

M4 Professionalism (sets an example, and is ethical, fair, consistent and impartial; operates with organisational values and adheres to the CMI's Professional Code of Conduct and Practice)

**Suggested reading/web resource materials**

**Recommended Reading**

- Akin, G., and Palmer, I. (2000). *Putting metaphors to work for change in organizations*. *Organizational Dynamics*, 28(3): 67-69.
- Barner, R. (2008). *The dark tower: Using visual metaphors to facilitate emotional expression during organizational change*. *Journal of Organizational Change Management*, 21(1),120-137.
- Barr, D., and Campbell, C. (2011). *Ethics in Decision-Making*. (Good Practice Guide). London: Institute of Business Ethics.
- Davison, J., McLean, C. and Warren, S. (2012). *Exploring the visual in organizations and management*. *Qualitative Research in Organizations and Management: An International Journal*, 7(1), 5-15.
- Ferrell, O., Fraedrich, J., and Ferrell, L. (2016). *Business Ethics: Ethical Decision Making & Cases*. 11th ed. Boston, MA: Cengage Learning.
- Guy, M. (2008). *Ethical Decision Making in Everyday Work Situations*. Westport, CT: Greenwood Publishing.
- Heracleous, L. and Jacobs, C.D. (2008). *Understanding organizations through embodied metaphors*. *Organization Studies*, 29(1), 45-78.
- Jaszay, C., and Dunk, P. (2005). *Ethical Decision-Making in the Hospitality Industry*. Harlow: Pearson.
- Kochenderfer, M.J. (2015) *Decision Making Under Uncertainty: Theory and Application*. Cambridge, MA: MIT.
- Kourdi, J. (2015). *Business Strategy: A Guide to Effective Decision-Making* 3rd ed. London: The Economist/Profile Books Ltd.
- Krogerus, M., and Tschäppeler, R. (2017). *The Decision Book: Fifty Models for Strategic Thinking*. New ed. London: Profile Books.
- McGrath, J. (2015). *The Little Book of Big Decision Models: The 70 most useful models to help you say Yes or No*. Harlow: Pearson Education.
- Morgan, G. (1985). *Riding the Waves of Change: Developing Managerial Competencies for a Turbulent World*. Chichester: John Wiley and Sons.
- Pettey, J.G. ed. (2013). *Nonprofit Fundraising Strategy. A Guide to Ethical Decision Making and Regulation for Nonprofit Organisations*. Hoboken, NJ: John Wily and Sons.
- Phillips-Wren, G., Carlsson, S., Respício, A., and Brézillon, P. eds. (2014). *DSS 2.0 – Supporting Decision Making with New Technologies*. Amsterdam: IOS Press BV.
- Rosenfeld, A., and Kraus, S. (2018). *Predicting Human Decision-Making: From Prediction to Action (Synthesis Lectures on Artificial Intelligence and Machine Learning)*. Williston, VT: Morgan and Claypool.
- Sanderson, C., and Gruen, R. (2006). *Analytical Models for Decision-Making. (Understanding Public Health)*. Maidenhead: Open University Press/McGraw-Hill.
- Schwarz, M. (2017). *Business Ethics: An Ethical Decision-Making Approach*. Oxford: Wiley-Blackwell.
- von Halle, B., and Goldberg, L. (2009). *The Decision Model: A Business Logic Framework Linking Business and Technology. (IT Management)*. Boca Raton, FL: Auerbach Publications.
- Warren, S. (2002). *Show me how it feels to work here: Using photography to research organizational aesthetics*. *ephemera*, 2(3), 224-245.

- Warren, S. (2008). Empirical challenges in organizational aesthetics research: Towards a sensual methodology. *Organization Studies*, 29(4), 559-580.
- Weirich, P. (2017). *Models of Decision-Making: Simplifying Choices*. Cambridge: Cambridge University Press.

#### Recommended Journals

- International Journal of Management and Decision Making
- Decision Analysis
- Harvard Business Review (Harvard Business Publishing)
- Journal of Management Studies (John Wiley and Sons)
- Long Range Planning (Elsevier)
- Strategic Change (John Wiley and Sons)
- European Management Review
- Journal of Business Research
- Management Decision
- Sloan Management Review
- Strategic Management Journal
- Technological Forecasting and Social Change

#### Supplementary Journals

- Academy of Management Review
- Business Strategy Review
- California Management Review
- Journal of Business Strategy (Emerald)
- Strategy and Leadership (Emerald)
- Journal of Management
- Academy of Management Journal
- European Management Journal (Elsevier)

ManagementDirect resources require CMI membership and a username and password.

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

**RQF level** 5

**Guided learning hours** 18

**Total unit time** 40

**Credits** 4

**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.

#### **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

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

**RQF level** 5

**Guided learning hours** 23

**Total unit time** 60

**Credits** 6

**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 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 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

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

**RQF level** 5

**Guided learning hours** 22

**Total unit time** 50

**Credits** 5

**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.

#### 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)

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|                              |  |
|------------------------------|--|
| <b>Ofqual unit number</b>    | F/616/3244   |
| <b>RQF level</b>             | 5  |
| <b>Guided learning hours</b> | 16   |
| <b>Total unit time</b>       | 50   |
| <b>Credits</b>               | 5  |
| <b>Aims of unit</b>          | 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. |
| <b>Keywords</b>              | 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

1.1 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, 1944), Transactional Analysis (Berne, 1961: 1964), 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 met. The following opportunities are recommendations for guidance purposes only.

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 CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

- |                                   |  |
|-----------------------------------|--|
| <b>Personal Effectiveness</b>     | <ul style="list-style-type: none"> <li>● Managing yourself</li> <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> <li>● Building relationships and networks</li> </ul> |
| <b>Organisational Performance</b> | <ul style="list-style-type: none"> <li>● Leading change and innovation</li> <li>● Managing resource and risk</li> <li>● Achieving results</li> </ul>                             |

### Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Chartered Manager Degree Apprenticeship: ST0272/ST03

| Standard                        | Knowledge   | Skills   |
|---------------------------------|---|--|
| J. Awareness of Self and Others | J.1 How to be self-aware and recognise different learning styles  | J.3. Reflect on own performance, identifying and acting on learning and development needs  |
|                                 | J.2 How to use emotional and social intelligence, and active listening and open questioning to work effectively with others | Understand impact on others<br><br>Manage stress and personal well-being, being confident in knowing core values and drivers   |
| K. Management of Self           |   | K.2 Create personal development plan, and use widely recognised tools and techniques to ensure the management of time and pressure effectively, and prioritisation and strategic alignment of activities |

### 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 / Team Inventory
- Berne (1961: 1964) 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 Wheel / Team Management Profile
- McIntyre (2011) Co-worker relationships
- Mullins (2013)
- Myers-Briggs (1944) Myers-Briggs Type Indicator
- Pedler, Burgoyne, Boydell (2007)
- Schön (1987) The Reflective Practitioner
- Tate (2014) DISC
- Torrington et al (2008)

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# 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>Appraise</b>      | Assess, estimate the worth, value, quality, performance. Consider carefully to form an opinion.  |
| <b>Assess</b>        | Provide a reasoned judgement or rationale of the standard, quality, value or importance of something, informed by relevant facts/rationale   |
| <b>Case</b>          | An instance of a particular situation; an example of something occurring. To provide a 'case for' includes presenting a set of facts or arguments drawn up for review, discussion, decision making.  |
| <b>Comment</b>       | Identify and write about the main issues, express an opinion, giving reaction to what has been read/observed.  |
| <b>Conduct</b>       | Organise and perform a particular activity   |
| <b>Consider</b>      | Take (something) into account (i.e. different ideas, perspectives, theories, evidence) when making a judgement   |
| <b>Credit (CRD)</b>  | Refers to credits which are calculated as one credit is equal to 10 hours of TUT   |
| <b>Create</b>        | To create something new, build, assemble, bring into existence, originate, innovate, create ideas, solutions.  |
| <b>Critically</b>    | Typically used to qualify verbs such as evaluate, assess, appraise, analyse and reflect. Give in-depth insight, opinion, debate, verdict based on a wide variety of sources, theory, research which may agree and contradict an argument                                 |
| <b>Critique</b>      | A detailed analysis and assessment of something, especially a literary, philosophical, or political theory   |
| <b>Define</b>        | To give a formal meaning   |
| <b>Develop</b>       | Elaborate, expand or progress an idea from a starting point building upon given information. Create something tangible or intangible.  |
| <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>                          | Consideration of strengths and weaknesses, arguments for and against and/or similarities and differences. Review of evidence from different perspectives to make valid conclusions or reasoned judgements. Application of research or theories to support the evaluation when applicable.       |
| <b>Explain</b>                           | To make something clear and understandable. Presentation of facts or ideas.   |
| <b>Examine</b>                           | Inspect (something) thoroughly in order to determine its nature of condition.   |
| <b>Explore</b>                           | Inquire into or discuss (a subject) in detail.  |
| <b>Formulate</b>                         | To draw up, put together, detail, work out map out, such as a policy, plan, strategy, idea. Formulae as a method of solving a problem (i.e. mathematics, ways of working).  |
| <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 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 –<br>a) with the simultaneous physical present of the Learner and that person,<br>or<br>b) remotely by means of simultaneous electronic communication |
| <b>Implementation</b>                    | The process of putting a decision or plan into effect, execution.   |
| <b>Investigate</b>                       | Carry out a systematic or formal inquiry to discover and examine the facts of (problem, options, incident, allegation etc.) so as to establish the truth.   |
| <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>Prepare</b>                           | To make or develop something ready which will happen in the future  |
| <b>Produce</b>                           | To make, create or form something. Put together, assemble, leads to an outcome/result.  |
| <b>Proposal</b>                          | A plan, action or suggestion, especially a formal or written one, put forward for consideration by others   |
| <b>Rationale</b>                         | Presentation of key reasons or a logical basis for a course of action or belief.  |
| <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>Research</b>                       | A detailed study or investigation of a subject in order to establish facts and reach new conclusions.   |
| <b>Review</b>                         | To examine, survey, reconsider a subject, theory or item.   |
| <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> <ul style="list-style-type: none"> <li>a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and</li> <li>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.</li> </ul> |
| <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

## Assessment Activity Definitions

| Activity             | Definition  |
|----------------------|---|
| Briefing paper       | A summary of facts pertaining to a particular issue or problem. Often includes a suggested course of action.  |
| Business case        | A formal document, presented in an oral or written format, which provides justification for an idea or project to address an identified business need or challenge.   |
| Case Study           | A description of an event, activity or problem outlining a real or hypothetical situation.  |
| Good practice guide  | A structured document produced with the purpose of supporting individuals to develop their practice in a particular area.   |
| Plan                 | A detailed outline providing an insight into a range of activities required to complete a task.   |
| Presentation         | Learners may present to an audience of stakeholders the outcomes of their studies. A recording of the presentation, speaker notes and/or slides may be used to provide evidence that a learner has the requirements some of the unit assessment criteria. |
| Profile              | An outline giving a description of a role or organisation.  |
| Proposal             | A formal document, presented in an oral or written format, which puts forward ideas or suggestions for consideration by others.   |
| Reflective Statement | Learners describe their actions in particular situations and reflect on the reasons for practicing in that way. This is particularly useful to provide evidence that they can evaluate their knowledge and practice.                                      |
| Report               | A structured document communicated or presented in an oral or written form and organised in a narrative, graphic or tabular form referring to a specific period, event or topic area.   |
| Research project     | A formal, written document, organised in a narrative, graphic or tabular form presenting  |

|                 |  |
|-----------------|--|
| report          | findings and recommendations.  |
| Scenario        | A written outline or a situation or setting, providing insight into a sequence of events or actions. |
| Written account | A written document presenting knowledge of facts or events.  |

# APPENDIX 3

## 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            |
|---|---|------------------|--------------------------------|
| Amended text relating to the Apprenticeship Pathway   | Explain there is no mandated qualification required within the Chartered Manager Degree Apprenticeship Standard | Version 4        | March 2021                     |
| Amended the GLH for the Diploma to 118  | Following a review the lower GLH combination was identified   |                  |                                |
| Unit 612 - TUT and Credit numbers increased, TUT from 50 to 70 & Credits from 5 to 7            | Review inline with Level 7 qualification review   |                  |                                |
| Included Assessment Activity Definitions  | To help Centres and Learners complete the assessments   |                  |                                |
| Included Credit Definition  | Was missing from original Definition List   |                  |                                |
| Unit 525 has been added as part of the Certificate offering in Group B                          | Add to extend the Certificate offering of units   | Version 3        | 11 <sup>th</sup> November 2019 |
| Amendment to the 601 unit title – updated. Professional Management and Leadership Practice      | To ensure unit title is correct and consistent  | Version 2        | 20 <sup>th</sup> June 2019     |
| Updated the set out number of hours assigned to Award, Certificate and Diploma for TQT and GLHs | To ensure what is expected is clear   |                  |                                |
| Updated the TUT for unit 612 on page 84 – 50 TUT  | Amendment required  |                  |                                |
| Unit 522 was not included under any of the themes on pages 6-7                                  | Amendment required  |                  |                                |
| First Publication   |   | Version 1        | February 2019                  |

