

# **Pearson**

# **BTEC Level 5**

# **Certificate/Diploma for**

# **Managers and Leaders**

## **Specification**

BTEC Professional qualification

First teaching August 2019

Issue 1

## **Edexcel, BTEC and LCCI qualifications**

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# 1 Introducing BTEC Professional qualifications

## What are BTEC Professional qualifications?

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BTEC Professional qualifications are available at Level 4 to Level 8 in a range of sectors, and are designed to provide professional work-related qualifications. They give learners the knowledge, understanding and skills that they need to prepare for employment. The qualifications also provide career development opportunities for those already in work. Consequently they provide a course of study for full-time or part-time learners in schools, colleges and training centres.

BTEC Professional qualifications provide much of the underpinning knowledge and understanding for the National Occupational Standards for the sector, where these are appropriate. They are supported by the relevant Standards Setting Body (SSB) or Sector Skills Council (SSC). A number of BTEC Professional qualifications are recognised as the knowledge components of Apprenticeships Frameworks.

On successful completion of a BTEC Professional qualification, learners can progress to or within employment and/or continue their study in the same or related vocational area.

## Sizes of BTEC Professional qualifications

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For all regulated qualifications, Pearson specifies a total estimated number of hours that learners will require to complete and show achievement for the qualification – this is the Total Qualification Time (TQT). The TQT value indicates the size of a qualification.

Within the TQT, Pearson identifies the number of Guided Learning Hours (GLH) that we estimate a centre delivering the qualification might provide. Guided learning means activities, such as lessons, tutorials, online instruction, supervised study and giving feedback on performance, that directly involve tutors and assessors in teaching, supervising and invigilating learners. Guided learning includes the time required for learners to complete external assessment under examination or supervised conditions.

In addition to guided learning, other required learning directed by tutors or assessors includes private study, preparation for assessment and undertaking assessment when not under supervision, such as preparatory reading, revision and independent research.

As well as TQT and GLH, qualifications can also have a credit value – equal to one tenth of the TQT, rounded to the nearest whole number.

TQT and credit values are assigned after consultation with employers and training providers delivering the qualifications.

BTEC Professional qualifications are generally available in the following sizes:

- Award – a qualification with a TQT value of 120 or less (equivalent to a range of 1–12 credits)
- Certificate – a qualification with a TQT value in the range of 121–369 (equivalent to a range of 13–36 credits)
- Diploma – a qualification with a TQT value of 370 or more (equivalent to 37 credits and above).

## 2 Qualification summary and key information

Qualification title	Pearson BTEC Level 5 Certificate for Managers and Leaders
Qualification Number (QN)	603/4865/3
Regulation start date	09/07/2019
Operational start date	01/08/2019
Approved age ranges	18+ 19+  Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please see <i>Section 6 Access and recruitment</i> .
Total qualification time (TQT)	366 hours
Guided learning hours (GLH)	170
Assessment	Internal assessment.
Grading information	The qualification and units are at a Pass grade.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification. However, centres must follow the information in our document, <i>A guide to recruiting with integrity and enrolling learners onto qualifications</i> , available on our website. See <i>Section 6 Access and recruitment</i> .
Funding	Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Apprenticeship funding rules can be found at <a href="http://www.gov.uk">www.gov.uk</a>

Qualification title	Pearson BTEC Level 5 Diploma for Managers and Leaders
Qualification Number (QN)	603/4866/5
Regulation start date	09/07/2019
Operational start date	01/08/2019
Approved age ranges	18+ 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please see <i>Section 6 Access and recruitment</i> .
Total qualification time (TQT)	580 hours
Guided learning hours (GLH)	253
Assessment	Internal assessment.
Grading information	The qualification and units are at a Pass grade.
Entry requirements	No prior knowledge, understanding, skills or qualifications are required before learners register for this qualification. Learners will need to be on an apprenticeship programme, or be otherwise employed in a role or function that involves the responsibility for managing teams and/or projects, and achieving operational or departmental goals and objectives. Centres must also follow the information in our document, <i>A guide to recruiting with integrity and enrolling learners onto qualifications</i> , available on our website. See <i>Section 6 Access and recruitment</i> .
Funding	Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Apprenticeship funding rules can be found at <a href="http://www.gov.uk">www.gov.uk</a>

Centres will need to use the Qualification Number (QN) when they seek public funding for their learners. The qualification title, unit titles and QN will appear on each learner's final certificate. Centres should tell learners this when recruiting them and registering them with Pearson. There is more information about certification in our *UK Information Manual*, available on our website, [qualifications.pearson.com](http://qualifications.pearson.com)

## 3 Qualification purpose

### Qualifications objectives

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The Pearson BTEC Level 5 Certificate for Managers and Leaders is a knowledge-based qualification for learners who are working in, or who are intending to work in, an operations/departmental manager job role. The qualification supports the off-the-job training and development of apprentices on the Operations/Departmental Manager Apprenticeship programme, and fits into the 20 per cent allocation for off-the-job learning. Apprentices who are undertaking this qualification are likely to be employed in a technician, associate professional or operational management role. They will already have core occupational competence and knowledge in the sector and aspire to make the transition from first-line manager to middle-management level. Other apprentices may be newly recruited to employment, returning to employment, commencing their first apprenticeship programme, or are an existing senior employee progressing in their role. The qualification is also for those individuals who are not on an apprenticeship programme but who wish to achieve a qualification to prepare for employment.

The qualification gives learners the opportunity to:

- develop the technical knowledge and understanding that underpins competence in the stated job role
- learn about a range of transferable skills and professional attributes that support successful performance in the workplace
- achieve a nationally-recognised Level 5 qualification
- develop confidence and readiness for the apprenticeship end-point assessment.

The Pearson BTEC Level 5 Diploma for Managers and Leaders aligns to the full knowledge, skills and behavioural content of the Operations/Departmental Manager Apprenticeship Standard. It is for learners who are working, or who are intending to work in, an operations/departmental manager job role. This larger qualification is particularly suitable for learners who are not in an apprenticeship and/or who are not eligible for an apprenticeship programme (i.e. they are already fully competent and in role), but who wish to recognise their abilities through an accredited qualification, based on standards written by employers.

## Apprenticeships

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The Pearson BTEC Level 5 Certificate/Diploma for Managers and Leaders qualifications are not mandatory requirements in the Operations/Departmental Manager Apprenticeship Standard. However, as they are aligned to the knowledge and behaviours outcomes of the Apprenticeship Standard, they provide structure for the off-the-job training element of the apprenticeship and build the foundation for learners to develop occupational competence in the job role.

*Annexe A* shows how the knowledge and behaviours from the Apprenticeship Standard are covered in the qualifications.

## Progression opportunities

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Learners who achieve the Certificate or Diploma may progress directly to employment, to further employment opportunities with their employer, or to a higher-level qualification/apprenticeship programme. Learners who have met all specified requirements of the Apprenticeship Standard can progress to achieving the full apprenticeship certification, which confirms competency in an operations/departmental manager job role.

With further training and development, learners can progress to more senior or complex management job roles. On completion of the Operations/Departmental Manager Apprenticeship, apprentices may choose to register as full members with a relevant leadership and management professional body.

## 4 Qualification structures

### Pearson BTEC Level 5 Certificate for Managers and Leaders

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Learners will need to complete all seven mandatory units before Pearson can award the qualification.

Unit number	Mandatory units	Level	Guided Learning Hours
1	Principles of Leadership	5	21
2	Principles of Management Information and Systems	5	23
3	Principles of Operational Planning and Change Management	5	28
4	Principles of Project Management	4	22
5	Principles of Recruiting, Managing and Developing High-performing Teams	4	24
6	Principles of Communication and Relationship Management	5	25
7	Principles of Personal Effectiveness in Management/Leadership	4	27

## Pearson BTEC Level 5 Diploma for Managers and Leaders

Learners will need to complete all eleven mandatory units before Pearson can award the qualification.

Unit number	Mandatory units	Level	Guided Learning Hours
1	Principles of Leadership	5	21
2	Principles of Management Information and Systems	5	23
3	Principles of Operational Planning and Change Management	5	28
4	Principles of Project Management	4	22
5	Principles of Recruiting, Managing and Developing High-performing Teams	4	24
6	Principles of Communication and Relationship Management	5	25
7	Principles of Personal Effectiveness in Management/Leadership	4	27
8	Managing Operations and Finance	5	26
9	Leading and Managing People	5	18
10	Managing Projects	4	21
11	Managing Own Performance	5	18

## 5 Centre resource requirements

As part of the approval process, centres must make sure that the resource requirements below are in place before offering the qualifications.

- Centres must have appropriate physical resources (for example IT, learning materials, teaching rooms) to support the delivery and assessment of the qualification.
- Staff involved in the assessment process must have relevant expertise and occupational experience. This includes having:
  - substantial knowledge and understanding of the subject areas appropriate to the level, breadth and content of the qualification(s) units. This may be evidenced through having a relevant qualification that is at an equivalent or higher level than the level of the qualification(s) being assessed
  - a qualification in teaching or assessing/ internal quality assurance or current (within 3 years) experience of assessing or internal verification.
- There must be systems in place that ensure continuing professional development (CPD) for staff delivering and assessing the qualifications.
- Centres must have appropriate health and safety policies in place that relate to the use of equipment by learners.
- Centres must have in place robust internal verification systems and procedures to ensure the quality and authenticity of learners' work as well as the accuracy and consistency of assessment decisions between assessors operating at the centre. For information on the requirements for implementing assessment processes in centres, please refer to Pearson Centre Guide to Quality Assurance for NVQs/ SVQs and Competence-based Qualifications and the Pearson Delivery Guidance and Quality Assurance Requirements for NVQs and SVQs and Competence-based Qualifications, available on our website.
- Centres must deliver the qualifications in accordance with current equality legislation. For further details on Pearson's commitment to the Equality Act 2010, please see *Section 6 Access and recruitment*. For full details of the Equality Act 2010 visit [www.legislation.gov.uk](http://www.legislation.gov.uk)

## 6 Access and recruitment

Our policy on access to our qualifications is that:

- they should be available to everyone who is capable of reaching the required standards
- they should be free from barriers that restrict access and progression
- there should be equal opportunities for all wishing to access the qualifications.

Centres must ensure that their learner recruitment process is conducted with integrity. This includes ensuring that applicants are given appropriate information and advice about the qualification to ensure that it will meet their needs.

Centres should review applicants' prior qualifications and/or experience, considering whether this profile shows that they have the potential to achieve the qualification.

We refer centres to the Pearson *Equality, diversity and inclusion policy*, which can be found in the support section of our website.

### **Prior knowledge, skills and understanding**

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No prior knowledge, understanding, skills or qualifications are required for learners to register for this qualification. However, learners who are undertaking this qualification are likely to be employed in a technician, associate professional or operational management role, already have core occupational competence and knowledge within the sector, and aspire to make the transition from first line manager to middle management level.

## Access to qualifications for learners with disabilities or specific needs

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Equality and fairness are central to our work. Pearson's *Equality, diversity and inclusion policy* requires that all learners have equal opportunity to access our qualifications and assessments, and that our qualifications are awarded in a way that is fair to every learner.

We are committed to making sure that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that characteristic
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be compared fairly to the achievement of their peers.

For learners with disabilities and specific needs, the assessment of their potential to achieve the qualification must identify, where appropriate, the support that will be made available to them during delivery and assessment of the qualification. Please see *Section 8 Assessment*, for information on reasonable adjustments and special consideration.

## 7 Programme delivery

Centres are free to offer these qualifications using any mode of delivery that meets learners' and employers' needs. It is recommended that centres make use of a wide range of training delivery methods, including direct instruction in classrooms, simulated demonstrations, research or applied projects, e-learning, directed self-study, field visits and role play. Whichever mode of delivery is used, centres must make sure that learners have access to the resources identified in the specification and to the subject specialists delivering the units.

Centres must adhere to the Pearson policies that apply to the different models of delivery. Our document, *Collaborative and consortium arrangements for the delivery of vocational qualifications policy*, is available on our website.

Those planning the programme should aim to enhance the vocational nature of the qualification by:

- spending time with employers to better understand their organisational requirements and the methods of training that are most suitable, taking into consideration their available resources and working patterns
- collaborating with employers to ensure that learners have opportunities in the workplace to implement the knowledge and skills developed through the training programme
- developing up-to-date and relevant teaching materials that make use of scenarios relevant to the sector and relevant occupations
- giving learners the opportunity to apply their learning in realistic practical activities
- having regular meetings with employers to discuss learner progress, providing feedback and agreeing how any issues will be resolved
- developing projects or assessments with input from employers
- using 'expert witness' reports from employers to support assessment
- making full use of the variety of experience of work and life that learners bring to the programme
- planning opportunities for the development and practising of skills on the job. On-the-job training presents an excellent opportunity to develop the learner's routine expertise, resourcefulness, craft skills and business-like attitude. It is therefore important that there is intentional structuring of practice and guidance to supplement the learning and development provided through engagement in everyday work activities. Learners need to have structured time to learn and practise their skills separately from their everyday work activities. Teaching and learning methods, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, could be used in this structured on-the-job learning.

Where legislation is taught, centres must ensure that it is current and up to date.

## 8 Assessment

All units in these qualifications are internally assessed through centre-devised assessments.

In administering internal assessments, centres need to be aware of the specific procedures and policies that apply to, for example, registration, entries and results. More information can be found in our *UK Information Manual*, available on our website.

### Language of assessment

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Assessments for all units are in English only.

A learner taking the qualifications may be assessed in British or Irish Sign Language where it is permitted for the purpose of reasonable adjustment.

Further information on the use of language in qualifications is available in our *Use of languages in qualifications policy* document, available on our website.

For further information on access arrangements, please see *Reasonable adjustments to assessments*, which appears later in this section.

### Internal assessment

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All units in these qualifications are internally assessed and subject to external standards verification. This means that centres set and mark the final summative assessment for each unit, using the examples and support that Pearson provides. Centres need to be, if they are not already, approved to offer the qualification before conducting assessments. *Section 10 Centre recognition and approval* gives information on approval for offering these qualifications.

### Assessment of knowledge units using assignments

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For internally-assessed units, the format of assessment is an assignment taken after the content of the unit, or part of the unit if several assignments are used, has been delivered. An assignment may take a variety of forms, including practical and written. An assignment is a distinct activity, completed independently by learners, that is separate from teaching, practice, exploration and other activities that learners complete with direction from tutors and assessors.

An assignment is issued to learners as an assignment brief with a defined start date, a completion date and clear requirements for the evidence that they need to provide.

Assignments can be divided into tasks and may require several forms of evidence. A valid assignment will enable there to be a clear and formal assessment outcome based on the assessment criteria.

## Designing effective assignments for knowledge units

Recommended assignments are provided in the *Further information for tutors and assessors* section of each knowledge unit. In designing assignments, centres need to work within the structure of the recommended assignments. They need to consider the following points when developing their assignment briefs.

- Centres may choose to combine all or parts of different units into single assignments provided that all units and all their associated learning outcomes are fully addressed in the programme overall. If this approach is taken, centres need to make sure that learners are fully prepared so that they can provide all the required evidence for assessment, and that centres are able to track achievement in the records.
- A learning outcome must always be assessed as a whole and should not be split into two or more assignments.
- The assignment must be targeted to the learning outcomes but the learning outcomes and their associated criteria are not tasks in themselves. Criteria are expressed in terms of the outcome shown in the evidence.
- Clear instructions must be provided to the learner about what they are required to do - normally set out through a series of tasks.
- Centres do not have to follow the order of the learning outcomes of a unit in developing assignments but later learning outcomes often require learners to apply the content of earlier learning outcomes, and they may require learners to draw their learning together.
- As assignments provide the final assessment, they will draw on the specified range of teaching content for the learning outcomes. The specified content is compulsory for teaching and learning. The evidence for assessment need not cover every aspect of the teaching content as learners will normally be given particular examples, case studies or contexts in their assignments. For example, if a learner is carrying out research on their employer organisation, then they will address all the relevant range of content that applies in that instance.
- The assignment brief must include vocational scenario, context or application for the tasks to be completed and a clear audience or purpose for which the evidence is being provided.

To ensure that final assessment decisions meet the required standard, assignments must be fit for purpose as a tool for measuring learning against the defined content and assessment criteria. Centres should make sure that assignments enable learners to produce valid, sufficient, authentic and appropriate evidence that relates directly to the specified criteria within the context of the learning outcomes and unit content.

An assignment that is fit for purpose and suitably controlled is one in which:

- the tasks that the learner is asked to complete provide evidence for a learning outcome that can be assessed using the assessment criteria
- the time allowed for the assignment is clearly defined and consistent with what is being assessed
- the centre has the required resources for all learners to complete the assignment fully and fairly
- the evidence the assignment will generate will be authentic and individual to the learner
- the evidence can be documented to show that the assessment and verification has been carried out correctly.

## **Forms of evidence**

Centres may use a variety of forms of evidence as long as they are suited to the type of learning outcome being assessed. For some units, the practical demonstration of skills is necessary and for others, learners will need to demonstrate their knowledge and understanding. The units give information on what would be suitable forms of evidence.

Centres may choose to use different suitable forms for evidence to those proposed. Overall, learners should be assessed using varied forms of evidence.

Some of the forms of evidence include:

- written tasks or reports
- projects
- time-constrained simulated activities with observation records and supporting evidence
- observation and recordings of practical tasks or performance in the workplace
- sketchbooks, work logbooks, reflective journals, workbooks
- presentations with assessor questioning
- witness testimony.

The form(s) of evidence selected must:

- allow the learner to provide all the evidence required for the learning outcomes and the associated assessment criteria
- allow the learner to produce evidence that is their own independent work
- allow a verifier to independently reassess the learner to check the assessor's decisions.

For example, when using performance evidence, centres need to think about how supporting evidence can be captured through preparation notes, reflective accounts, logbook records, recordings, photographs or task sheets.

Centres need to take particular care that learners are enabled to produce independent work. For example, if learners are asked to use real examples, then best practice would be to encourage them to use examples of their own experiences.

For information on the requirements for implementing assessment processes in centres, please refer to the following documents on our website:

- *Pearson Centre Guide to Quality Assurance for NVQs/ SVQs and Competence-based Qualifications*
- *Pearson Delivery Guidance and Quality Assurance Requirements for NVQs and SVQs and Competence-based Qualifications.*

## Assessment of skills units using portfolio

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All skills units in the Diploma qualification are assessed through an internally and externally quality-assured portfolio made up of evidence gathered during the course of the learner's work. Each skill unit has specified learning outcomes and assessment criteria. To pass each skills unit the learner must:

- achieve all the specified learning outcomes
- satisfy all the assessment criteria by providing sufficient and valid evidence for each criterion
- prove that the evidence is their own.

The learner must have an assessment record that identifies the assessment criteria that have been met. The assessment record should be cross-referenced to the evidence provided. The assessment record should include details of the type of evidence and the date of assessment. Suitable centre documentation should be used to form an assessment record.

## Forms of evidence

To achieve a skills unit, the learner must gather evidence showing that they have met the required standard specified in the assessment criteria and Pearson's quality assurance arrangements (see *Section 10 Quality assurance of centres*).

The evidence for the skills units can take a variety of forms as indicated below:

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- professional discussion (PD)
- authentic statements/witness testimony (WT)
- simulation (S) where a real-work context doesn't provide the opportunity for assessment, for example dealing with issues, problems or complaints
- expert witness testimony (EWT).

Learners can use the abbreviations in their portfolios for cross-referencing purposes. Learners must provide evidence of their achievement of the knowledge-based learning outcomes and the associated assessment criteria in skills units – achievement of these cannot be inferred from performance.

Centres must ensure that the assessment methods used are appropriate for the specific learning outcomes and assessment criteria. Guidance may need to be given to learners before the assessment is conducted to clarify the requirements of different command verbs. This will ensure that evidence provided has sufficient breadth and depth to meet the assessment requirements.

Learners can use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is not necessary for learners to have each assessment criterion assessed separately. They should be encouraged to reference evidence to the relevant assessment criteria. However, the evidence provided for each unit must reference clearly the unit that is being assessed. Evidence must be available to the assessor, the internal verifier and the Pearson standards verifier.

Any specific evidence requirements for a unit are given in the unit's *Assessment* section. Further guidance on the requirements for centre quality assurance and internal verification processes is available on our website at [qualifications.pearson.com](http://qualifications.pearson.com)

## Making valid assessment decisions

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### Authenticity of learner work

An assessor must assess only work that is authentic, i.e. learners' own independent work. Learners must authenticate the evidence that they provide for assessment through signing a declaration stating that it is their own work.

Assessors must ensure that evidence is authentic to a learner through setting valid assignments and supervising learners during assessment period. Supervision will usually include tutors overseeing the planning stage, supervising a proportion of the assignment and regular discussion with the learner during the assessment. Assessors must take care not to provide direct input, instructions or specific feedback that may compromise authenticity.

Assessors must complete a declaration that:

- the evidence submitted for this assignment is the learner's own
- the learner has clearly referenced any sources used in the work
- they understand that false declaration is a form of malpractice.

Centres may use Pearson templates or their own templates to document authentication.

During assessment, an assessor may suspect that some or all of the evidence from a learner is not authentic. The assessor must then take appropriate action using the centre's policies for malpractice. More information is given later in this section.

### Making assessment decisions using unit-based criteria

Assessment decisions for the qualifications are based on the specific criteria given in each unit.

Assessors make judgements using the assessment criteria and must show how they have reached their decisions in the assessment records. The assessor needs to make a judgement against each criterion that evidence is present and sufficiently comprehensive.

For example, the inclusion of a concluding section may be insufficient to satisfy a criterion requiring 'evaluation'.

Assessors should use the following information and support in reaching assessment decisions:

- the *Essential information for tutors and assessors* section of each unit, which gives further information on the requirements to meet the assessment criteria
- the centre's Lead Internal Verifier and assessment team's collective experience supported by the information provided by Pearson

- *Annexe B Glossary of verbs used in the assessment criteria for knowledge and understanding.*

When a learner has completed the assessment for a unit then the assessor will give an assessment outcome for the unit.

To achieve a Pass, a learner must have satisfied all the assessment criteria for the learning outcomes, showing appropriate coverage of the unit content and therefore attainment at the stated level of the qualification. The award of a Pass is a defined level of performance and cannot be given solely on the basis of a learner completing assignments. Learners who do not satisfy the assessment criteria for the units should be reported as Unclassified.

## **Dealing with late completion of assignments**

Learners must have a clear understanding of the centre's policy on completing assignments by the stated deadlines. Learners may be given authorised extensions for legitimate reasons, such as illness at the time of submission, in line with centre policies.

For assessment to be fair, it is important that learners are all assessed in the same way and that some learners are not advantaged by having additional time or the opportunity to learn from others.

If a late completion is accepted, then the assignment should be assessed normally using the relevant assessment criteria.

## **Issuing assessment decisions and feedback**

Once the assessor has completed the assessment process for an assignment, the outcome is a formal assessment decision. This is recorded formally and reported to learners.

The information given to the learner:

- must show the formal decision and how it has been reached, indicating how or where criteria have been met
- may show why attainment against criteria has not been demonstrated
- must not provide feedback on how to improve evidence
- must be validated by an Internal Verifier before it is given to the learner.

## **Resubmissions and retakes**

Learners who do not successfully pass an assignment are allowed to resubmit evidence for the assignment or to retake another assignment.

## Administrative arrangements for internal assessment

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### Records

Centres are required to retain records of assessment for each learner. Records should include assessments taken, decisions reached and any adjustments or appeals. Further information can be found in our *UK Information Manual*. We may ask to audit centre records, so they must be retained as specified.

### Reasonable adjustments to assessments

Centres are able to make adjustments to assessments to take account of the needs of individual learners, in line with the guidance given in the document *Pearson Supplementary guidance for reasonable adjustment and special consideration in vocational internally assessed units*. In most instances, adjustments can be achieved by following the guidance, for example allowing the use of assistive technology or adjusting the format of the evidence.

We can advise you if you are uncertain as to whether an adjustment is fair and reasonable. Any reasonable adjustment must reflect the normal learning or working practice of a learner in a centre or a learner working in the occupational area.

Further information on access arrangements can be found in the Joint Council for Qualifications (JCQ) document *Access Arrangements and Reasonable Adjustments*.

Both of the above documents are on the policy page of our website.

### Special consideration

Centres must operate special consideration in line with the guidance given in the Pearson document *Supplementary guidance for reasonable adjustment and special consideration in vocational internally assessed units*. Special consideration may not be applicable in instances where:

- assessment requires the demonstration of practical competence
- criteria have to be met fully
- units/qualifications confer licence to practice.

Centres cannot apply their own special consideration; applications for special consideration must be made to Pearson and can be made on a case-by-case basis only.

A separate application must be made for each learner. Certification claims must not be made until the outcome of the application has been received.

Further information on special consideration can be found in the Joint Council for Qualifications (JCQ) document *A guide to the special consideration process*.

Both of the documents mentioned above are on our website.

## Appeals against assessment

Centres must have a policy for dealing with appeals from learners. Appeals may relate to assessment decisions being incorrect or assessment not being conducted fairly. The first step in such a policy is a consideration of the evidence by a Lead Internal Verifier or other member of the programme team. The assessment plan should allow time for potential appeals after learners have been given assessment decisions.

Centres must document all learners' appeals and their resolutions. Further information on the appeals process can be found in the document *Enquiries and appeals about Pearson vocational qualifications and end point assessment policy*, available on our website.

## Dealing with malpractice in assessment

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Malpractice means acts that undermine the integrity and validity of assessment, the certification of qualifications and/or may damage the authority of those responsible for delivering the assessment and certification.

Pearson does not tolerate actual or attempted malpractice by learners, centre staff or centres in connection with Pearson qualifications. Pearson may impose penalties and/or sanctions on learners, centre staff or centres where malpractice or attempted malpractice has been proven.

Malpractice may occur or be suspected in relation to any unit or type of assessment within a qualification. For further details on malpractice and advice on preventing malpractice by learners, please see Pearson's *Centre Guidance: Dealing with Malpractice*, available on our website.

The procedures we ask you to adopt vary between units that are internally assessed and those that are externally assessed.

## Internal assessment

Centres are required to take steps to prevent malpractice and to investigate instances of suspected malpractice. Learners must be given information that explains what malpractice is for internal assessment and how suspected incidents will be dealt with by the centre. Our document *Centre guidance: Dealing with malpractice and maladministration in vocational qualifications* gives full information on the actions we expect you to take.

Pearson may conduct investigations if we believe a centre is failing to conduct internal assessment according to our policies. The above document gives further information and examples, and details the penalties and sanctions that may be imposed.

In the interests of learners and centre staff, centres need to respond effectively and openly to all requests relating to an investigation into an incident of suspected malpractice.

## Learner malpractice

The head of centre is required to report incidents of suspected learner malpractice that occur during Pearson examinations. We ask centres to complete JCQ Form M1 ([www.jcq.org.uk/malpractice](http://www.jcq.org.uk/malpractice)) and email it with any accompanying documents (signed statements from the learner, invigilator, copies of evidence, etc.) to the Investigations Processing team at [candidatemalpractice@pearson.com](mailto:candidatemalpractice@pearson.com).

The responsibility for determining appropriate sanctions or penalties to be imposed on learners lies with Pearson.

Learners must be informed at the earliest opportunity of the specific allegation and the centre's malpractice policy, including the right of appeal. Learners found guilty of malpractice may be disqualified from the qualification for which they have been entered with Pearson.

## Teacher/centre malpractice

The head of centre is required to inform Pearson's Investigations team of any incident of suspected malpractice by centre staff, before any investigation is undertaken. The head of centre is requested to inform the Investigations team by submitting a JCQ M2(a) form (downloadable from [www.jcq.org.uk/malpractice](http://www.jcq.org.uk/malpractice)) with supporting documentation to [pqsmalpractice@pearson.com](mailto:pqsmalpractice@pearson.com). Where Pearson receives allegations of malpractice from other sources (for example Pearson staff, anonymous informants), the Investigations team will conduct the investigation directly or may ask the head of centre to assist.

Incidents of maladministration (errors in the delivery of Pearson qualifications that may affect the assessment of learners) should also be reported to the Investigations team using the same method.

Heads of centres/principals/chief executive officers or their nominees are required to inform learners and centre staff suspected of malpractice of their responsibilities and rights, please see 6.15 of the Joint Council for Qualifications (JCQ) document *Suspected malpractice in examinations and assessments - Policies and procedures*.

Pearson reserves the right in cases of suspected malpractice to withhold the issuing of results/certificates while an investigation is in progress. Depending on the outcome of the investigation, results and/or certificates may not be released or they may be withheld.

We reserve the right to withhold certification when undertaking investigations, audits and quality assurances processes. You will be notified within a reasonable period of time if this occurs.

## Sanctions and appeals

Where malpractice is proven, we may impose sanctions or penalties.

Where learner malpractice is evidenced, penalties may be imposed such as:

- mark reduction for affected external assessments
- disqualification from the qualification
- debarment from registration for Pearson qualifications for a period of time.

If we are concerned about your centre's quality procedures we may impose sanctions, such as:

- working with centres to create an improvement action plan
- requiring staff members to receive further training
- placing temporary blocks on the centre's certificates
- placing temporary blocks on registration of learners
- debarring staff members or the centre from delivering Pearson qualifications
- suspending or withdrawing centre approval status.

The centre will be notified if any of these apply.

Pearson has established procedures for centres that are considering appeals against penalties and sanctions arising from malpractice. Appeals against a decision made by Pearson will normally be accepted only from the head of centre (on behalf of learners and/or members or staff) and from individual members (in respect of a decision taken against them personally). Further information on appeals can be found in our document *Enquiries and appeals about Pearson vocational qualifications and end point assessment policy*, available on our website. In the initial stage of any aspect of malpractice, please notify the Investigations Team (via [pqsmalpractice@pearson.com](mailto:pqsmalpractice@pearson.com)) who will inform you of the next steps.

## 9 Recognising prior learning and achievement

### Recognition of Prior Learning

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Recognition of Prior Learning (RPL) is a method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so do not need to develop through a course of learning.

Pearson encourages centres to recognise learners' previous achievements and experiences in and outside the workplace, as well as in the classroom. RPL provides a route for the recognition of the achievements resulting from continuous learning.

RPL enables recognition of achievement from a range of activities using any valid assessment methodology. If the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit, units or a whole qualification. Evidence of learning must be sufficient, reliable and valid.

Further guidance is available in our policy document *Recognition of prior learning policy and process*, available on our website.

## 10 Centre recognition and approval

Centres that have not previously offered BTEC Professional qualifications need to apply for, and be granted, centre recognition as part of the process for approval to offer individual qualifications.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by a new qualification and the conditions for automatic approval are met.

Guidance on seeking approval to deliver BTEC qualifications is given on our website.

### Approvals agreement

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All centres are required to enter into an approval agreement with Pearson, in which the head of centre or principal agrees to meet all the requirements of the qualification specification and to comply with the policies, procedures, codes of practice and regulations of Pearson and relevant regulatory bodies. If centres do not comply with the agreement, this could result in the suspension of certification or withdrawal of centre or qualification approval.

# 11 Quality assurance of centres

Quality assurance is at the heart of vocational qualifications and apprenticeships.

The centre assesses BTEC Professional qualifications and will use quality assurance to make sure that their managers, internal verifiers and assessors are standardised and supported. This also ensures learners are given appropriate opportunities that lead to valid and accurate assessment outcomes.

Pearson uses external quality assurance processes to verify that assessment, internal quality assurance and evidence of achievement meet nationally defined standards.

Our processes enable us to recognise good practice, effectively manage risk and support centres to safeguard certification and quality standards.

Our Standards Verifiers provide advice and guidance to enable centres to hold accurate assessment records and assess learners appropriately, consistently and fairly.

For the qualifications in this specification, the Pearson quality assurance model will consist of the following processes:

Centres will receive at least one visit from our Standards Verifier, followed by ongoing support and development. This may result in more visits or remote support, as required to complete standards verification. The exact frequency and duration of Standards Verifier visits/remote sampling will reflect the level of risk associated with a programme, taking account of the:

- number of assessment sites
- number and throughput of learners
- number and turnover of assessors
- number and turnover of internal verifiers
- amount of previous experience of delivery.

If a centre is offering a BTEC Professional qualification alongside other qualifications related to a similar Apprenticeship Standard, wherever possible, we will allocate the same Standards Verifier for both qualifications.

For further details please see the following handbooks available on our website:

- *Pearson Centre Guide to Quality Assurance for NVQ/SVQ and Competence-based Qualifications*
- *Pearson Delivery Guidance and Quality Assurance Requirements for NVQ/SVQ and Competence-based Qualifications.*

Following registration, centres will be given further quality assurance and sampling guidance.

# 12 Units

Each unit in the specification is set out in a similar way. This section explains how the units are structured. It is important that all tutors, assessors, internal verifiers and other staff responsible for the programme review this section.

Units have the following sections.

## **Unit number**

The number is in a sequence in the specification. Where a specification has more than one qualification, numbers may not be sequential for an individual qualification.

## **Unit title**

This is the formal title of the unit that will appear on the learner's certificate.

## **Level**

All units and qualifications have a level assigned to them. The level assigned is informed by the level descriptors defined by Ofqual, the qualifications regulator.

## **Unit type**

This indicates whether the unit is knowledge or skills-based.

## **Guided Learning Hours (GLH)**

This indicates the number of hours of activities that directly or immediately involve tutors and assessors in teaching, supervising, and invigilating learners, for example lectures, tutorials, online instruction and supervised study. Units may vary in size.

Pearson has consulted with users of the qualification and has assigned a number of hours to this activity for each unit.

## **Unit introduction**

This is designed with learners in mind. It indicates why the unit is important, what will be learned and how the learning might be applied in the workplace.

## **Learning outcomes**

The learning outcomes of a unit set out what a learner knows, understands or is able to do as the result of a process of learning.

## **Assessment criteria**

The assessment criteria specify the standard the learner is required to meet to achieve a learning outcome.

## **Unit content**

This section sets out the required teaching content of the unit and specifies the knowledge, understanding and skills required for achievement of the unit. It enables centres to design and deliver a programme of learning that will enable learners to achieve each learning outcome and to meet the standard determined by the assessment criteria.

Where it is designed to support apprenticeships, the unit content is informed by the knowledge and understanding requirements of the relevant Apprenticeship Standard.

## **Relationship between unit content and assessment criteria**

Content is compulsory except when shown as 'e.g.'. Although it is not a requirement that all of the content is assessed, learners should be given the opportunity to cover it all.

Learners should be asked to complete summative assessment only after the teaching content for the unit or learning outcomes has been covered.

## **Legislation**

Legislation cited in the units is current at time of publication. The most recent legislation should be taught and assessed internally.

## **Essential information for tutors and assessors**

This section gives information to support delivery and the implementation of assessment. It contains the following subsections.

- Essential resources – lists any specialist resources needed to deliver the unit. The centre will be asked to make sure that these resources are in place when it seeks approval from Pearson to offer the qualification.
- Assessment – provides recommended assignments and suitable sources of evidence for each learning outcome. It also gives information about the standard and quality of evidence expected for learners to achieve the learning outcome and pass each assignment. It is important that the information is used carefully, alongside the assessment criteria.

# Unit 1: Principles of Leadership

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>21</b>

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## Unit introduction

Effective leadership is the basis of successful teams and successful organisations. To be effective, leaders need to understand how leadership works in terms of the theories that underpin practice. They need to know how to lead in different types of organisational structure, and how individuals and teams can be developed to improve workplace performance. Leaders also need to understand the organisational culture in which they work and the interplay between culture and leadership style.

In this unit, you will investigate a range of leadership theories and styles, and how these shape leadership practice in organisations. You will look at ways to lead teams in different organisational structures, including remotely working and virtual teams, and teams using a matrix structure. You will address the use of delegation and the use of motivational techniques, coaching and mentoring to achieve results. Finally, you will explore organisational culture, the factors that influence it, and how different types of organisational culture affect leadership.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand different leadership theories and styles	1.1	Assess the impact of leadership theories on modern management practice
		1.2	Compare and contrast how different leadership styles are used in organisations
		1.3	Analyse the factors influencing the leadership approach used in an organisation
2	Understand how to lead teams in different types of organisational structure	2.1	Analyse the principles and practices of remote and virtual leadership
		2.2	Explain how to lead teams using a matrix structure
3	Understand how to achieve results using delegation	3.1	Explain the principles of effective delegation in the workplace
		3.2	Evaluate the use of delegation in a selected organisation
4	Understand how to motivate and support individuals to improve their performance	4.1	Explain how motivational techniques can be used to improve workplace performance
		4.2	Assess the use of different coaching approaches in supporting individuals and improving their performance in the workplace
		4.3	Analyse the role of mentoring in improving individual performance in the workplace
5	Understand the impact of organisational culture on leadership	5.1	Explain how different internal and external factors influence organisational culture
		5.2	Assess the effect of diversity on organisational culture
		5.3	Evaluate the impact of different types of organisational culture on leadership

## Unit content

What needs to be learned
<b>Learning outcome 1: Understand different leadership theories and styles</b>
<b>1A Leadership theories</b> <ul style="list-style-type: none"><li>• Theories of leadership characteristics and their advantages and disadvantages, to include:<ul style="list-style-type: none"><li>○ transformational leadership (Burns)</li><li>○ transactional leadership (Bennis, Bass)</li><li>○ charismatic leadership (Webb, Conger and Kanungo).</li></ul></li><li>• Situational theories (Hersey and Blanchard, Vroom and Yetton).</li><li>• Emotional leadership (Goleman's six styles – visionary, coaching, affiliative, democratic, pacesetting, coercive).</li></ul>
<b>1B Leadership styles</b> <ul style="list-style-type: none"><li>• The characteristics and positive and negative impacts of different leadership styles (autocratic, paternalistic, democratic, laissez-faire, transformational).</li><li>• Factors affecting the leadership approach, e.g. organisational structure and culture, personality of manager, employee diversity, sociological factors such as the demographics of the organisation's clients and the characteristics of the market in which the organisation operates.</li></ul>
<b>Learning outcome 2: Understand how to lead teams in different types of organisational structure</b>
<b>2A Leading remote and virtual teams</b> <ul style="list-style-type: none"><li>• Principles and practices of remote and virtual leadership, e.g.:<ul style="list-style-type: none"><li>○ effective team recruitment</li><li>○ facilitating shared understanding and a common purpose</li><li>○ strong communication strategy</li><li>○ setting clear goals</li><li>○ clear definition of roles and responsibilities</li><li>○ good technological support</li><li>○ developing a positive work culture.</li></ul></li></ul>
<b>2B Leading teams using a matrix structure</b> <ul style="list-style-type: none"><li>• Matrix structure: teams comprising individuals from several departments across an organisation; individuals reporting to more than one leader.</li><li>• Effective leadership of teams in a matrix structure, e.g.:</li></ul>

## What needs to be learned

- clear communication with team members and other leaders involved in matrix structure
- clarity on who has authority to make final decisions
- prompt identification and resolution of conflicting priorities arising between teams in matrix structure
- clarity on who is responsible for performance evaluation and professional development of team members.

## Learning outcome 3: Understand how to achieve results using delegation

### 3A Delegation

- Models of delegation, e.g. Tannenbaum and Schmidt continuum, Tuckman's four-stage model.
- Features of delegation, e.g. task definition, goal planning, team/person selection, assessment of team/person capability, rationale for the delegation, target setting.
- Monitoring tools and reporting techniques, e.g. activity management by observation, the use of checklists, updates and reports, self-assessment.
- Factors affecting the success of delegated activities, e.g. knowledge, experience and expectations of those involved, clarity of instructions, access to resources, time management.
- Benefits of appropriate delegation for the individual, team and the organisation, e.g.:
  - more productive use of leader's time as leader is able to focus on more important tasks
  - development opportunities for team members taking on new tasks
  - greater team cohesion
  - improved productivity.
- Risks of delegation for the individual, team and the organisation, e.g.:
  - tasks may not be completed to the standard required
  - loss of leader's time if leader needs to check and redo the work
  - potential burden on individuals doing extra work without adequate recompense
  - possible tensions within team if delegation is not perceived as fair or equal.

## What needs to be learned

### Learning outcome 4: Understand how to motivate and support individuals to improve their performance

#### 4A Motivational techniques

- Theories of motivation, e.g. Maslow's Hierarchy of Needs, Herzberg's Motivation-Hygiene Theory, McGregor's Theory X and Theory Y, Weiner's Three-Dimensional Theory of Attribution.
- Factors that motivate people to perform, e.g. praise; encouragement; recognition; celebration of achievement; clearly defined goals; open communication channels, including constructive feedback, development opportunities.
- Application of motivational techniques for individuals and teams in organisational contexts, e.g. private, public and third sectors.
- Advantages and disadvantages of different theories and factors, and how they can be used to support people at work and improve overall performance.

#### 4B Coaching

- Coaching in an organisational context: when used as a training and development activity and motivational tool, including the use of a training needs analysis and consideration of individual learning styles, e.g. Visual-Auditory-Kinaesthetic (VAK).
- Features of different coaching models and how they are used to structure coaching, e.g. directive, non-directive; ARROW, GROW, CLEAR and FUEL; the use of constructive feedback.
- Benefits of using coaching to improve performance at work, e.g.:
  - enhancement of morale, motivation and productivity
  - development of specific skills, aptitudes and knowledge
  - reduction in staff turnover.

#### 4C Mentoring

- Mentoring as a training and development activity that develops skills and knowledge in a job role and increases overall performance.
- Models of mentoring, e.g.:
  - Alred et al – three-stage model
  - Kram's four stages of the mentoring relationship
  - developmental versus sponsorship mentoring
  - work shadowing
  - job or work rotation
  - secondment.

## What needs to be learned

- Stages in mentoring, e.g. exploration, contracting, new understanding, action planning.
- Factors affecting the choice of mentoring approach, e.g. personal need/purpose of the mentee, experience of those involved, the availability of resources, proximity, access to technology, information security and record keeping, ethical considerations.
- Advantages and disadvantages of mentoring approaches used to improve performance in the workplace, e.g.:
  - benefits and costs
  - recognition of strengths and weaknesses
  - establishing priorities
  - identification of developmental needs
  - provision of information and advice
  - sharing of experiences
  - reaching common goals.

## Learning outcome 5: Understand the impact of organisational culture on leadership

### 5A Organisational culture

- Key theories, e.g. Handy's four types of culture, Edgar Schein's three levels of organisational culture.
- Internal influences on organisational culture:
  - influence of the founder
  - size and stage of development
  - organisational structure, policies and procedures
  - employee and management reward structures
  - style of leadership
  - working environment
  - nature of the work
  - attitudes to risk and innovation.
- External influences on organisational culture:
  - market/industries in which the organisation operates
  - social influences
  - legal influences

## What needs to be learned

- economic influences
- trading relationships.

### **5B Organisational diversity**

- Multicultural workforce.
- Nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

### **5C Impact of different types of organisational culture on leadership**

- Leadership styles favoured by different types of organisational culture, e.g. bureaucratic organisational cultures favour authoritarian leadership, entrepreneurial organisational cultures favour agile leadership.
- Possible tensions between values and leadership styles of individual leaders and wider organisational culture.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand different leadership theories and styles

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report that focuses on the impact of leadership theories on modern management practice, on the different leadership styles used in **two** contrasting organisations, and on the factors influencing the leadership approach used in an organisation of their choice (their employer organisation or, if they are not in employment, an organisation with which they are familiar).

The report will:

1. consider the extent to which **at least two** leadership theories impact on modern management practice and identify the theory that has the most positive effect (AC1.1)
2. give details of the similarities and differences between, and the differing reasons for, leadership styles used in **two** contrasting organisations (AC1.2)
3. examine in detail the relative importance of different factors that influence the leadership approach(es) used in a chosen organisation. Reference must be made to organisational structure and culture, employee diversity, personality of manager, and at least one relevant sociological factor (AC1.3).

## **Learning outcome 2: Understand how to lead teams in different types of organisational structure**

**To satisfy the assessment criteria for this learning outcome**, learners will produce presentation slides, with supporting speaker notes, focusing on how a selected organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar) leads remote and virtual teams and teams using a matrix structure. The context is a departmental manager conducting a training session. Learners are not required to deliver the presentation.

The presentation slides will:

1. examine in detail how at least two principles of remote and virtual leadership work in practice (AC2.1)
2. consider the extent to which the principles are effective in managing a team of people (AC2.1)
3. give detailed examples of how to lead teams using a matrix structure (AC2.2).

## **Learning outcome 3: Understand how to achieve results using delegation**

**To satisfy the assessment criteria for this learning outcome**, learners will produce training notes to share with other managers focusing on the role and importance of delegation for individual team members in a selected organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar).

The training notes will:

1. give detailed examples of how the principles of effective delegation can be applied in the workplace (AC3.1)
2. examine detailed examples and use evidence to make a judgement as to the effectiveness of the use of delegation in **two** contexts within the selected organisation (AC3.2).

## **Learning outcome 4: Understand how to motivate and support individuals to improve their performance**

**To satisfy the assessment criteria for this learning outcome**, learners will produce presentation slides, and supporting speaker notes, focusing on the role and importance of motivation and support for individuals in a team in a selected organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar). The context is a departmental manager training other managers. Learners are not required to deliver the presentation.

The presentation slides will:

1. give details of how and reasons why **at least two** motivational techniques could be used to improve workplace performance. Learners need to relate theories of motivation to the techniques used in the selected organisation. Learners must clearly show how specific techniques have been used to improve individual workplace performance (AC4.1)
2. review the use of **two** different coaching approaches in supporting individuals and improving their performance in the workplace, making suggestions for how these approaches could be improved (AC4.2)
3. examine in detail the role of **two** mentoring activities that could improve individual performance in the workplace, showing how the activities relate to different aspects of individual performance (AC4.3).

### **Learning outcome 5: Understand the impact of organisational culture on leadership**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report for the directors of an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), in the role of departmental manager, focusing on the influence that organisational culture has on leadership.

The report will:

1. give details of how and reasons why **at least two** different internal and **at least two** different external factors influence organisational culture (AC5.1)
2. review the effect of diversity on the organisational culture of **at least two** organisations, one of which (if they are in employment) must be their employer organisation (AC5.2)
3. examine detailed examples and use evidence to make a judgement on the impact of **at least two** different types of organisational culture on leadership (AC5.3).

# Unit 2: Principles of Management Information and Systems

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>23</b>

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## Unit introduction

Operational management encompasses a wide range of activities that contribute to the production of goods and services in organisations. This unit focuses on the supporting information and processes that underpin operational management.

You will explore the information that managers use to make decisions. This includes data analysis and ensuring the security of data. You will address the creation, planning and management of budgets, and will investigate how financial forecasting is undertaken and its benefits for organisations and managers.

Alongside this, you will consider the management systems that underpin day-to-day activities in organisations. You will look at the purposes and characteristics of management systems and the processes that make up these systems. You will also investigate how efficiency can be improved, including the use of technology. Finally, you will investigate how management systems and processes support operational management in organisations, including the part they play in decision making and problem solving.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand how data is analysed in organisational contexts	1.1	Explain data analysis techniques, systems and models used in organisational contexts
2	Understand how data is managed in organisations	2.1	Describe how data security systems and processes are used in business activities
		2.2	Evaluate the effectiveness of data management in a selected organisation
3	Understand the role of management systems and processes	3.1	Analyse the purposes and characteristics of management systems and processes
		3.2	Explain how technology can be used to improve the effectiveness of management systems and processes
4	Understand the use of financial information in organisations	4.1	Describe the process of budget planning
		4.2	Explain how to manage budgets and budgetary management controls
		4.3	Assess methods and tools used in financial forecasting
5	Understand how management information and systems support operational management	5.1	Explain how data analysis assists in decision-making processes and problem-solving activities within organisations
		5.2	Analyse the role of data management systems in supporting operational managers
		5.3	Evaluate the use of management systems and processes to support operational managers
		5.4	Explain the benefits of financial forecasting for decision making within organisations

## Unit content

What needs to be learned
<p><b>Learning outcome 1: Understand how data is analysed in organisational contexts</b></p>
<p><b>1A Data analysis techniques, systems and models</b></p> <ul style="list-style-type: none"><li>• Data as information collected for a purpose, which, when analysed, can be used to inform decision making within an organisation.</li><li>• Use of data in organisations to plan and inform decision making by exploration of past trends, records and reports, including:<ul style="list-style-type: none"><li>○ costs, sales, profit margins</li><li>○ changes in customer needs, suppliers, government reports on trends, information on competitor activity</li><li>○ exploring new technological innovations and developments that could impact on sales.</li></ul></li><li>• Data collection techniques, including observation, questionnaires, interviews, exploration of blogs, diaries, review of reports, data archives, sector-specific journals.</li><li>• Data analysis systems could involve exploratory data analysis (EDA), confirmatory data analysis (CDA), frequency distributions and graphical displays, e.g. histograms, pie charts, stem and leaf displays, scattergrams, R and Y charts.</li><li>• Data analysis models used for operations management, e.g. structured system analysis, business process discovery, panel data, chi-square as a test of goodness of fit, t-tests, cost-benefit analysis.</li><li>• Use of data in decision-making and problem-solving processes, e.g. production, sales, marketing, human resources, research and development, purchasing, governance.</li></ul>
<p><b>Learning outcome 2: Understand how data is managed in organisations</b></p>
<p><b>2A Data security systems and processes</b></p> <ul style="list-style-type: none"><li>• Data management systems across various organisations, including private, public and third sector.</li><li>• Principles of data security involving the organisation's workforce processing, controlling and maintaining data and equipment to a required standard for particular purposes.</li><li>• Systems for data management, including software packages, memory and policies and protocols on limitations relating to the use of data:</li></ul>

## What needs to be learned

- transaction process system (TPS)
- management information system (MIS)
- executive information system (EIS).
- Processes in data management, including:
  - definition of the task
  - organisation of resources
  - control of the process(es)
  - processing information
  - considered reporting
  - maintenance of the system(s)
  - licences and equipment.

### **2B Factors in managing and securing data**

- Factors including:
  - cost of day-to-day systems and any system upgrades
  - the relationship between data, information and knowledge and how they impact on the department or organisation
  - access to resources
  - training implications for the workforce
  - the use of internal systems, external systems, outsourcing in terms of security, speed of access to data and costs
  - data protection linked to current legislation, including the General Data Protection Regulation (GDPR).

## **Learning outcome 3: Understand the role of management systems and processes**

### **3A Management systems and processes**

- Management system – a set of processes relating to a particular area of an organisation's activities.

### **3B Purposes and characteristics of management systems and processes**

- Quality assurance (QA):
  - purpose – preventing mistakes and defects in the delivery of products and services
  - characteristics – documented processes; clearly defined roles and responsibilities; accessible data; strong internal audit program.

## What needs to be learned

- Risk management:
  - purpose – identification, evaluation, and prioritisation of risks; coordinated application of resources to minimise, monitor, and control the probability or impact of unfortunate events
  - characteristics – identification of threats or hazards; assessment of vulnerabilities; determination of risk (likelihood and severity of consequences should threats/hazard be realised); identification of ways to reduce risks (controls); monitoring the effectiveness of controls; good quality data allowing for accurate analysis of threats.
- Customer relationship management (CRM):
  - purpose – establishing, maintaining and enhancing the relationship between the organisation and external customers
  - characteristics of effective CRM – responsiveness; accessibility; reliability; courtesy; consideration; communication; flexibility; competence; recognition of the customer.
- Performance management:
  - purpose – establishing performance goals; identifying any gap between current and desired performance; planning, implementing and monitoring changes to improve; aligned to organisational goals and values
  - characteristics – activities, processes and documentation that maintain and improve employee performance; measurement of current performance levels; addressing underperformance.
- Recruitment:
  - purpose – finding and hiring the best-qualified candidate for a job opening in a timely and cost-effective manner
  - characteristics – tools and techniques; conducting job analysis, attracting applicants; screening and selecting applicants; induction of new starters.
- Learning and development (L&D):
  - purpose – educational process that involves the upgrading of skills, concepts, changing of attitude and gaining knowledge to improve performance
  - characteristics – clear goals and objectives; tools to help achieve goals and objectives (personal development plan, self-assessment tools, diagnostic/analytical tools); processes and activities to help achieve goals and objectives (learning and development activities, review meetings, appraisals, formal/informal feedback).
- Procurement and resource planning:

## What needs to be learned

- purpose – identifying, finding, agreeing terms and acquiring goods, services or works; identifies the quantity of labour, equipment and materials required to complete planned work/project; ensures the buyer receives goods, services or works at the best price, quality, quantity, time, location
- characteristics – processes and tools; accurate data to enable recognition of type and estimation of quantity of product/service needed; sourcing of options; identifying and agreeing pricing and terms; generation of purchase orders; receipt and inspection of goods/services; invoice approval and payment.
- Corporate social responsibility and sustainability:
- purpose – integrating social and environmental concerns into business operations; managing waste and recycling
- characteristics – green initiatives; ethical codes of practice; intellectual property; using sustainable resources; reducing carbon footprint and pollution.

### 3C How technology can improve effectiveness

- Benefits of technology for managers/teams, e.g. improved efficiency, improved quality, increased productivity, reduced costs, improved workforce motivation, maintained market share by being competitive, reduction of waste.
- Benefits of technology for the workforce, e.g. improved working practice, improved consistency of outcomes, reduction in low-paid repetitive tasks, awareness of up-to-date practices leading to transferability of skills and knowledge.
- Benefits of technology for stakeholders, e.g. access to equipment and software, which could inform decision making, aid new developments, progress innovation, monitor performance/outcomes against inputs 24/7, increase profit while managing costs.

## Learning outcome 4: Understand the use of financial information in organisations

### 4A Budget planning

- Budget: financial plan; types, including capital, sales, production, cash flow, marketing.
- Budgets as devices for planning, coordinating, motivation and control.
- The business planning process: purpose, benefits, links with organisational objectives/strategy.
- Budget-setting cycle: limiting or key factors; functional budgets, cash budgets, the preparation of sales budget, debtors' budgets, creditors' budgets, production cost, raw materials and finished goods budgets.

## What needs to be learned

### **4B Managing budgets and budgetary management controls**

- How to manage a budget:
  - identifying priorities and timescales
  - negotiating and agreeing financial resources
  - accurate recording of income and expenditure
  - monitoring income and expenditure against planned activity
  - taking corrective actions if budgets are not met
  - investigating unaccounted variances
  - updating budgets; dealing with unforeseen internal and external situations and changes; negotiating revisions to budget
  - reporting and communicating changes.

### **4C Factors impacting on budgetary planning**

- Restrictions that prevent an organisation from maximising its performance and reaching its goals; operational constraints; staffing, e.g. reduction in staff or inability to increase staff numbers; examples specific to particular organisations.

### **4D Financial forecasting methods and tools**

- Quantitative methods used in financial forecasting: casual, decomposition, rule of thumb, smoothing, time series, budgets, cash flow forecasts.
- Financial Reporting Standards.
- Cost accounting, including costing, budgeting pricing, control, decision making, cost-benefit analysis as a tool.
- Qualitative tools used in financial forecasting: external and internal expert opinion, Delphi method, market research, industry norms, government data and reports on sector and trends.

### **4E Factors influencing financial forecasting and management**

- Aims of financial forecasting and management for the organisation, including ensuring a return on investment for the stakeholders of the organisation.
- Contribution of teams to the organisation's governance and compliance.
- Operations Manager key roles and responsibilities, including assisting with:
  - planning policy to align with strategic goals and legislation
  - financial controls to ensure that receipts/income and payments/expenditure are monitored and tracked on a weekly, monthly, quarterly and annual basis; risk management activities

## What needs to be learned

- setting transparent budgets for use in teams and by managers for parts of a business, e.g. people, products/services, overheads, management, auditing
- management of budgets, including the control of resources, cash flows, balance sheets, recording and reporting, meetings to report on activities and plan changes
- internal/external audits to ensure that systems are working as planned, variance is managed within resources, compliance measurement and reporting are periodically undertaken
- recognising legal and regulatory considerations: data protection, health and safety, revenue and customs responsibilities and implementation, company law, employment law
- development/implementation of new systems and technologies when appropriate.

## Learning outcome 5: Understand how management information and systems support operational management

### 5A Factors in the use of data analysis for decision making and problem solving

- Factors, e.g.:
  - quality, relevance, robustness, validity and timeliness of data
  - security of data and access to data sets within an organisation or department
  - system management of the data input, storage, processing, output(s), retrieval, updating processes, speed of access, measurement/accounting processes
  - costs relating to the introduction of new technologies, e.g. hardware, software packages, training, downtime as a new system is introduced
  - robustness of components of the system, e.g. hardware, software, memory, storage, data sharing methodologies
  - influence of human experience and competence in data handling and interpretation on outcomes.

### 5B Benefits of the use of data analysis for decision making

- Benefits, e.g.:
  - improvements in overall performance and quality of outcomes
  - cost savings in time and resources
  - consistency of response in planning, processing and maintaining quality, decision making at strategic, tactical and operational levels

## What needs to be learned

- improved speed of decision making, reduction in number of decisions leading to unintended consequences.

### **5C Benefits of managing and securing data**

- Benefits of managing and securing data, including increased speed of transfer of information, data and knowledge; informed decision making; preventing or limiting breakdowns; the development of a learning culture; better and faster decision making; the organisation is more responsive to its environment and its stakeholders.

### **5D Benefits and limitations of management systems and processes**

- Benefits, e.g. greater efficiency leading to improved financial performance, better risk management, consistent quality standards, improved compliance with legislation and regulations, clear expectations of employees, greater transparency across organisation.
- Limitations, e.g. cost of initial set-up, future upgrades and ongoing staff training; increased bureaucracy; reliance on IT systems and data which, if malfunctioning or flawed, may mislead managers.

### **5E Benefits of financial forecasting in an organisational context**

- For example, improved decision making relating to strategy, investment, costing, budgeting, expenditure, the management of cash flow, aids financial analysis, cost management and cost apportionment; assists with decision making and application of KPIs; enhances flexibility; can be used for competitive advantage, variance analysis, managing uncertainty and reducing risks.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand how data is analysed in organisational contexts

**To satisfy the assessment criteria for this learning outcome**, learners will develop **two** case studies showing how data is analysed in organisational contexts. One of the case studies must be their employer organisation or, if they are not in employment, an organisation with which they are familiar.

Each case study will:

1. provide details of the data analysis techniques, systems and models used in at least one organisational context and give examples of how these are used, with reasons why (AC1.1).

### Learning outcome 2: Understand how data is managed in organisations

**To satisfy the assessment criteria for this learning outcome**, learners will produce presentation slides, with supporting speaker notes, for their line manager, which show how data security systems and processes are used and how data is managed within organisational contexts of their choice. One of the contexts must be their employer organisation or, if they are not in employment, an organisation with which they are familiar. Learners are not required to deliver the presentation.

The presentation slides will:

1. give an account of how data security systems and processes are used in **at least two** business activities, clearly showing what the data security systems and processes contribute to the business activities (AC2.1)
2. examine detailed examples and use evidence to make a judgement on the effectiveness of data management in a selected organisation. Learners need to show understanding of what effective data management is like. They need to use evidence from the organisation, identifying constituents that are successful and not so successful, in order to reach a conclusion (AC2.2).

### **Learning outcome 3: Understand the role of management systems and processes**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report that explores the role of management systems and processes.

The report will:

1. examine in detail the purposes and characteristics of **at least two** management systems, with reference to **at least two** processes relating to each system. Learners must show that they understand why each management system is used and the interrelationship between each system and its respective processes (AC3.1)
2. give details of how technology can be used to improve the effectiveness of **at least two** management systems, with reference to **at least one** process relating to each system. **At least one** of these systems must already have had its effectiveness improved through the use of technology. Learners need to give reasons, examples and/or evidence to support their points (AC3.2).

## Learning outcome 4: Understand the use of financial information in organisations

**To satisfy the assessment criteria for this learning outcome**, learners will evidence work products, including records detailing methods of budget creation.

1. A reflective account could be used, clearly setting out the process of budget planning. Learners must refer to the impact of **one** internal and **one** external factor on budget planning in a business (AC4.1).
2. Professional discussion could be utilised, asking learners to give details of the features of managing budgets and budgetary management controls. Learners will need to give reasons and examples to support their points (AC4.2).
3. Learners could develop training material for use within their team which shows how to undertake financial forecasting in a context of their choice, and which reviews **at least two** methods and tools used in financial forecasting, making suggestions for improvements where appropriate (AC4.3).

## Learning outcome 5: Understand how management information and systems support operational management

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report for the directors of an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), in the role of departmental manager, exploring how management information and systems support operational management.

The report will:

1. give details of how data analysis assists in decision-making processes and problem-solving activities in **at least two** organisations, one of which (if they are in employment) must be their employer organisation. Learners must give reasons, examples and/or evidence to support their points (AC5.1)
2. examine in detail the role of **at least two** data management systems in supporting operational managers (the systems can be used in the same organisation, or in different organisations). Learners will need to consider each data management system in detail, breaking it down into its constituent parts, in order to interpret the interrelationships between the parts and the work of the operational manager (AC5.2)

3. examine detailed examples and use evidence to make a judgement on the use of **at least two** management systems to support operational managers, with detailed reference to at least one process relating to each system. (At least one of the management systems must be in use in the learner's employer organisation or, if they are not in employment, an organisation with which they are familiar.) Learners must use evidence that includes strengths, weaknesses and relevant data, and must consider possible alternative systems and processes before coming to a conclusion (AC5.3)
4. give details of **at least two** benefits of financial forecasting for decision making within organisations. Learners will need give reasons and examples to support their points (AC5.4).

# Unit 3: Principles of Operational Planning and Change Management

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>28</b>

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## Unit introduction

Operational management encompasses a wide range of activities that contribute to the production of goods and services in organisations. This unit focuses on the operational management models, approaches and theories that inform high-level planning and the management of change.

You will investigate operational management approaches and models, how operational plans are developed and how business development tools are used. You will explore the application in organisations of total quality management theories. You will look at the use of organisational business planning techniques and contingency planning. You will also address models of change management, and the factors involved in implementing change within an organisation.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand the use of operational management approaches and models	1.1	Describe operational management approaches and models that are used by businesses and organisations
		1.2	Explain how to develop an operational plan
		1.3	Evaluate an operational plan for a selected organisation in terms of the effectiveness of objectives set and KPIs
2	Understand the purpose and importance of business development tools	2.1	Explain the purpose and importance of business development tools
3	Understand approaches to total quality management	3.1	Describe the features and benefits of total quality management theories
		3.2	Evaluate the effectiveness of a total quality management methodology used in a selected organisation
4	Understand the use of operational business planning techniques	4.1	Describe the purposes and features of operational business planning techniques
		4.2	Describe the purpose and function of contingency planning in organisations
		4.3	Evaluate the effectiveness of operational business planning techniques used in a selected organisation to: <ul style="list-style-type: none"> <li>• manage resources</li> <li>• set targets</li> <li>• monitor performance</li> <li>• plan for contingencies</li> </ul>
5	Understand how to initiate and manage change	5.1	Explain the models of change management used by organisations
		5.2	Analyse the key factors involved in change management, including identifying and overcoming barriers

## Unit content

### What needs to be learned

#### Learning outcome 1: Understand the use of operational management approaches and models

##### 1A Operational management approaches and models

- Operational planning: relationship to strategic planning; impact on achievement of purpose (cost of product or service, quality, customer satisfaction, revenue, profit); planning time horizons (short range, intermediate range, long range).
- Operational management approaches:
  - lean manufacturing
  - agile manufacturing
  - flexible specialisation
  - mass customisation.
- Operational management models:
  - four dimensions of operations, known as four Vs of operations – volume (quantity of products or services), variety (different types of products or services), variation (change in level of demand over time), visibility (exposure of internal working to customers); impact of dimensions on operational planning
  - transformation process model: cyclic process; transformed resources – materials, information, customers; transforming resources – staff, facilities; macro operation (overall transformation), micro operations within the macro operation (manufacture, transport, supply, service); boundaries to the operations system (suppliers, customers, external environment).

##### 1B Developing an operational plan

- Components of an operational plan:
  - SMART (specific, measurable, achievable, relevant, time-bound) objectives
  - stakeholder input
  - activities; tasks; resources; outputs; outcomes
  - performance indicators; targets; importance of KPIs (key performance indicators); development of KPIs; features of effective KPIs
  - interdependencies: levels of organisational interdependencies (pooled, sequential, reciprocal); shared resources; relationship to sales and marketing plans.
- Evaluating effectiveness of objectives and KPIs, e.g. establishing measures, alignment with organisational strategy, responding to changing circumstances.

## What needs to be learned

### Learning outcome 2: Understand the purpose and importance of business development tools

#### 2A Purpose and importance of business development tools

- Planning tools and techniques:
  - budgeting
  - scheduling; charting, milestones, review points
  - PERT (programme evaluation and review techniques)
  - linear programming; forecasting; capacity planning
  - contingency planning.
- SWOT analysis (strengths, weaknesses, opportunities and threats).
- PESTLE analysis (political, economic, social, technological, legal and environmental): identifies threats and opportunities in the external environment, external influences on the business.
- Porter's five forces – supplier power, buyer power, competitive rivalry, threat of substitution, threat of new entry: facilitates understanding of competitiveness of a business environment.

### Learning outcome 3: Understand approaches to total quality management

#### 3A Features and benefits of total quality management theories

- Total quality management: definitions: British Standards Institute BS 7850-1:1992, International Organization for Standardization ISO 9000:2005.
- Dimensions of TQM: continuous improvement, process control, management and leadership, teamwork.
- Theories of total quality management:
  - Crosby
  - Juran
  - European Foundation for Quality Management.
- Methodologies: Six Sigma and DMAIC (define, measure, analyse, improve, control), lean manufacturing, zero defects, just-in-time, quick response manufacturing.
- Best practice in total quality management, e.g. continuous improvement, customer focus, clear implementation strategy.

## What needs to be learned

- Possible impacts of total quality management:
  - benefits, e.g. quality improvement, competitive advantage (cost management, revenues, sales volumes, market share, profitability, quality, reputation, market leadership), meeting business objectives, meeting customer needs (internal, external), value added, continuous improvement
  - difficulties in implementing, e.g. level of commitment (strategic, operational), availability of resources, lack of expertise, costs, re-engineering required, timescales.

### **Learning outcome 4: Understand the use of operational business planning techniques**

#### **4A Purposes and features of operational business planning techniques**

- Techniques to manage resources: resource allocation, resource scheduling, resource levelling and resource smoothing, resource forecasting:
  - best practice in resource management, e.g. use of time reporting.
- Techniques to set targets, e.g. SMART (specific, measurable, achievable, relevant, time-bound) goal setting:
  - best practice in target setting, e.g. use of Gantt charts.
- Techniques to monitor performance, e.g. project evaluation and review technique (PERT) used for project progress monitoring and review; defines and analyses tasks and objectives; provides a graphical representation of a project's timeline; use of PERT flowcharts for monitoring:
  - best practice in performance monitoring, e.g. used in organisation to evaluate past activities and plan future strategy.

#### **4B Purpose and function of contingency planning**

- Likely causes of concern to be addressed through contingency planning, e.g.:
  - liabilities relating to insurance, breach of contract, legal or regulatory responsibilities
  - concerns relating to data, money, people, property and the environment: health and safety; data protection; equality and diversity.
- Stages in contingency planning, including the use of benchmarking:
  - the process(es) – the development of actions and activities to safely continue a task or activity within resources
  - accessing resources for an emergency recovery, e.g. money, a building, materials, people, equipment
  - discussion relating to the lessons learned.

## What needs to be learned

- Best practice in contingency planning, e.g. use of risk impact/probability charts; contingency plans covering a range of scenarios and responses, people to inform, key responsibilities and timelines.
- Benefits of contingency planning, including continuity of output, safe and sustained business activity.

## Learning outcome 5: Understand how to initiate and manage change

### 5A Change management models

- Lewin's Change Management Model (unfreeze, change, refreeze).
- Kotter's 8-Step Change Model.
- McKinsey's 7-S Model.
- Prosci's ADKAR Model (awareness, desire, knowledge, ability, reinforcement).
- Continuous Improvement Process (CIP).

### 5B Factors involved in change management

- Recognition of operational activities that could be improved, including planning, operations, control, quality management activities, measurement of activities/functions, recording, reporting, recruitment and selection procedures, staff development, workforce training and development activities, contracting and dismissal of staff.
- Involving staff, e.g. their hopes, aptitudes and aspirations, their ability and competencies, their access to resources, home/work balance, individuals, teams, managers, stakeholders.
- Recognition of the barriers to change, including physical, psychological and economic factors for the individual, the teams, the managers and the organisation as a whole.
- Overcoming barriers to change, including defining the changes required; moving to and agreeing desired position with manager(s), team(s), individuals; obtaining support; structuring the elements for change in overt ways.
- Negotiating and gaining the commitment of resources.
- Communicating the change to stakeholders using appropriate communication channels and methodologies.
- Reviewing and testing the changes, undertaking impact measurements, evaluating the processes as a whole from different perspectives.

## What needs to be learned

- Development of positive working relationships via open communication, respect for others' views and concerns.
- Manager(s) or team leaders being receptive to ideas and suggestions, developing shared objectives, encouraging commitment to change and co-operative working, celebrating success.

### **5C Benefits of managing change to improve performance**

- Effects of managing change to improve performance for the organisation:
  - increased innovation and competitive advantage
  - increased turnover, profitability and sustainability
  - reduced costs
  - compliance with external factors: legislation and regulation.
- Effects of managing change to improve performance for the team, e.g. increased team resilience and competence, greater confidence and motivation, improved transferable skills, removal of uncertainty, possible strengthening of cohesion within an organisational setting.
- Effects of managing change to improve performance for the individual, e.g. increased job satisfaction, increased motivation, development of new skills, knowledge and competencies, could increase income and ensure continuity of employment.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand the use of operational management approaches and models

### Learning outcome 2: Understand the purpose and importance of business development tools

**To satisfy the assessment criteria for these learning outcomes**, learners will produce presentation slides with supporting speaker notes and materials for a group of management trainees recently recruited to a business, focusing on operational management approaches, business development tools and the use of operational plans in their employer organisation or, if they are not in employment, in an organisation with which they are familiar. Learners are not required to deliver the presentation.

The presentation slides will:

1. give a clear account of **at least two** operational management approaches and **two** models that are used by businesses and organisations (AC1.1)
2. provide details of the purpose and importance of **two** business development tools, giving examples of how these tools are used. Learners should link the evidence for this assessment criterion to the evidence for ACs 1.1 and 1.2 (AC2.1)

3. provide details of how to develop an operational plan, using examples to support the points made (AC1.2)
4. examine detailed examples and use evidence to make a judgement on the effectiveness of objectives set and KPIs in an operational plan for the selected organisation. Reference must be made to the strengths and weaknesses of the objectives and KPIs (AC1.3).

### **Learning outcome 3: Understand approaches to total quality management**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report for the directors of an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), in the role of departmental manager, entitled 'Do we need total quality management?'

The report will:

1. give a clear account of the features and benefits of **at least two** total quality management (TQM) theories (AC3.1)
2. examine detailed information and use evidence to make a judgement on the effectiveness of a TQM methodology used in a selected organisation (if TQM is used in their employer organisation, this should be the context). The conclusion must draw on evidence that includes strengths, weaknesses, alternative actions, relevant data and concepts (AC3.2).

### **Learning outcome 4: Understand the use of operational business planning techniques**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a briefing paper for their line manager to support decision making on how best to use operational business planning techniques in their employer organisation. If learners are not in employment, they could produce the briefing paper for an organisation with which they are familiar.

The briefing paper will:

1. give a clear account of the purposes and features of operational business planning techniques (AC4.1)
2. provide details of the purpose and function of contingency planning in organisations, using examples to support the points made (AC4.2)
3. examine detailed information and use evidence to make a judgement as to the effectiveness of operational business planning techniques used in the selected organisation. Conclusions must be drawn based on relevant data regarding how effective the techniques are for managing resources, setting targets, monitoring performance and planning for contingencies (AC4.3).

## **Learning outcome 5: Understand how to initiate and manage change**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a case study for use in their team that shows how to manage change to improve performance in organisational contexts of their choice.

The case study will:

1. provide details of **at least two** models of change management, giving examples of how these models are used (AC5.1)
2. examine in detail **at least two** factors involved in change management, including identifying and overcoming barriers. Learners will need to break down the concepts involved in order to show the interrelationships between barriers and possible methods of overcoming them (AC5.2).

# Unit 4: Principles of Project Management

<b>Level:</b>	<b>4</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>22</b>

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## Unit introduction

As a departmental manager, you will have responsibility for managing various projects. The basic principles of project management remain the same, regardless of a project's size. You will be involved in planning, organising, securing, managing, leading and controlling resources to achieve specific goals.

In this unit, you will explore how complex projects are set up and managed using project management tools and techniques. You will develop your knowledge of process management and the approaches to risk management adopted by managers of complex projects.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand how to set up and manage a project	1.1	Explain the process for identifying the need for a project in a selected organisation
		1.2	Describe the steps required to set up a complex project
		1.3	Evaluate the management of a complex project in a selected organisation
2	Understand the use of project management tools and techniques	2.1	Analyse the use of planning tools in the management of a project
		2.2	Assess the effectiveness of project management software in successfully delivering a complex project
		2.3	Evaluate the use of project management techniques in complex projects
3	Understand the role of process management in delivering quality outcomes	3.1	Analyse the use of project process management in a selected organisation
		3.2	Assess how quality may be improved by the introduction of project process management in a selected organisation
4	Understand how to apply approaches to risk management	4.1	Explain the stages of project risk management, using examples of contrasting projects
		4.2	Explain how project risk is managed in a selected organisation
		4.3	Evaluate the effectiveness of risk management in complex projects

## Unit content

### What needs to be learned

#### Learning outcome 1: Understand how to set up and manage a project

##### 1A Identification of need for a project

- Definition and characteristics of a project; how it differs from operations, including concepts of being temporary, unique and for a specific purpose.
- Features of a project:
  - series of related tasks
  - beginning and end dates
  - specific goal
  - multidisciplinary team
  - sponsor or customer
  - budget constraints.
- Examples of projects, e.g. development of a new product or service, implementing a change in structure or staffing of an organisation, or a new business procedure or process.
- Identifying need for a project: undertaking research; cost-benefit analysis.
- Selling benefits to stakeholders selecting projects.
- Alignment of project to support strategic objectives.

##### 1B Setting up a project

- Project planning:
  - stakeholders (internal, e.g. board, managers, project team; external, e.g. shareholders, consultants, community groups)
  - evaluating project feasibility
  - criteria for project selection (financial, non-financial)
  - business case rationale
  - viability
  - deliverables
  - success/failure criteria
  - project scope
  - establishing baselines
  - producing the project plan.

## What needs to be learned

- Planning processes and activities:
  - scope planning
  - setting SMART objectives
  - determining the wider project deliverables
  - project breakdown (breaking down the work of the project into smaller manageable tasks)
  - identifying work packages; identifying activities for each work package
  - project schedule planning; scheduling activities
  - determining sequencing of activities
  - identifying milestones.
- Resource planning: people, equipment, money, space:
  - assessing resource availability required
  - estimating resource for each activity and duration
  - calculating estimates for all project costs, including potential overruns
  - creating a budget plan
  - procurement planning (contract planning; procurement process).
- Risk management:
  - identifying and evaluating risks
  - creating risk mitigation plans
  - creating a risk log and contingency plans.
- Quality planning:
  - determining quality standards
  - identifying success/failure/quality criteria for the project
  - quality assurance process analysis.
- Communication planning:
  - identifying stakeholders and their expectations
  - communications requirements analysis
  - determining method, frequency and time frame for communications
  - creating communication plan.

## What needs to be learned

- Formation of project team:
  - key project roles: project manager, project sponsor, project co-ordinator, project team members; activities carried out by each role
  - relationships between roles
  - appointment of project manager.
- Tools and techniques used when setting up projects:
  - cost-benefit analysis
  - SWOT analysis
  - RACI matrix
  - stakeholder matrix
  - Gantt charts
  - PERT charts
  - critical path analysis.
- Project phases:
  - phases (initiate, plan, execute, monitor/control, evaluate/close)
  - identification of each activity, e.g. product breakdown structure (PBS), work breakdown structure (WBS), work package
  - critical paths
  - project execution strategy
  - identifying goals
  - project specification.

### **1C Managing a project**

- Benefits of effective project management, including efficiency, effectiveness, customer satisfaction, competitive edge.
- Stages in a project life cycle: initiation, planning, execution and control, closure and evaluation.
- Project management systems; project portfolio management.
- Alignment of projects with organisational objectives.
- Organisational project controls: cost, risk, quality, communication, time, change, procurement, human resources, financial management.
- Organisational project reporting protocols.

## What needs to be learned

- Managing resources when delivering a project:
  - physical resources – securing, procuring and organising equipment, materials and supplies, technology and venues/physical facilities, mobilisation and maintenance of physical resources
  - human resources – selecting and preparing people (recruitment, arranging training and support); allocating tasks to team and monitoring work; delegation; resource levelling; managing people and performance (effective leadership, motivation, developing positive relationships, developing a collaborative project culture, performance appraisal, providing feedback, resolving conflicts)
  - finance – implementing cost control mechanisms, monitoring spending against budget, complying with organisational financial governance requirements
  - managing time, e.g. monitoring milestones, adjusting the plan
  - managing quality, e.g. setting and monitoring standards.

## Learning outcome 2: Understand the use of project management tools and techniques

### 2A Project management tools and techniques

- Project management tools and techniques: critical path analysis, Gantt charts, PERT, work breakdown structure (WBS), fishbone diagrams (Ishikawa diagrams), cost-benefit analysis, agile projects, log frames.
- Software applications designed to facilitate project delivery: PRINCE2, Kanban; where they have been used, e.g. PRINCE2 is used by many local authorities and the NHS.

### 2B How project management tools and techniques are used

- Use of project management tools to track project activity and progress against planned deliverables, milestones and deadlines.
- Areas for monitoring:
  - time spent on project tasks
  - resources used
  - compliance with quality standards.
- Importance of monitoring these areas; interrelationships and dependencies between the three areas; maintaining a balance.

## What needs to be learned

- Elements of project control:
  - established standard (project plan)
  - gathering monitoring information (regular scheduled project review meetings, project status reports)
  - comparing progress against the project plan to identify variance (variance tolerance)
  - identifying causes of problems and developing options for solution
  - gaining support and agreement for preferred solution and planning actions
  - implementing corrective action to bring the project back on track or change the plan.
- Impact of project delivery problems on the progress and success of a project; problems, e.g. limited resources, overrun costs, poor communications, missed deadlines, lack of commitment, changes to project scope.
- Project management methodology: agile project management process, waterfall methodology, Wysocki's Adaptive Project Management Framework.

### **Learning outcome 3: Understand the role of process management in delivering quality outcomes**

#### **3A Project process management**

- Process management:
  - process identification
  - process specification
  - process documentation
  - process governance and management
  - process operation
  - process review
  - process modification
  - contribution of processes to project objectives.
- Legal and regulatory compliance (external legislation, internal governance rules, business practice standards, safety, security).
- Models: conceptual models (business reference model, workflow reference model, object transformation process model).
- Tools: problem-solving tools (brainstorming, cause-effect diagrams, fishbone diagrams, force-field analysis).
- Application to project management processes: managing the processes included in the five project phases of a project's life cycle.

## What needs to be learned

- Initiation: working with a client brief and brainstorming ideas, defining the project and its goals, setting up the specifications and parameters of the project.
- Planning: producing a baseline plan for the project, to include schedules, resource lists, tasks and activities, team members, risk analyses and reporting structures; approval by project stakeholders.
- Execution: implementation of project plan, importance of project team performance.
- Monitoring and controlling: keeping to schedule, reporting to stakeholders and interested parties, monitoring the budget, ensuring that the execution of the project matches up to the initial plan.
- Closure: closing out contracts, meeting the final project goals, compiling final reports and documentation.

### Enabling processes:

- scope management – setting SMART objectives, determining the wider project deliverables, gathering and recording the requirements of the deliverables and project
- schedule management – identifying activities for each work package, determining sequencing of activities, identifying milestones, scheduling activities using appropriate tools, e.g. Gantt chart
- budget management – implementing cost control mechanisms, monitoring spending against budget
- quality management – time spent on project tasks, resources used, compliance with quality standards.
- Facilitating processes:
  - team management – selecting and preparing people: internal and external recruitment, secondment, arranging training and support; allocating tasks to team and monitoring work; delegation; resource levelling; managing people and performance, including effective leadership, motivation, developing positive relationships and a collaborative project culture, performance appraisal, providing feedback and resolving conflicts
  - risk management – reviewing risk log, monitoring high-risk tasks, applying risk mitigation strategies, amending project plan
  - contract management – defining requirements and responsibilities, strategic alignment
  - stakeholder management – consultation, communication, stakeholder engagement planning
  - information management – communications management plan.

## What needs to be learned

### 3B Quality improvement

- Process improvement: re-engineering, envisioning new processes, initiating change, process diagnosis, process redesign, reconstruction, process monitoring.
- Benchmarking studies: selecting benchmark object, selecting comparison object, collecting data, identifying performance gaps and causes, developing improvement measures.
- Quality control.
- Quality assurance.
- TQM.
- Six Sigma.

### Learning outcome 4: Understand how to apply approaches to risk management

#### 4A Project risk management stages

- Identifying the risk:
  - information gathering techniques
  - brainstorming
  - documentation reviews
  - interviewing
  - Delphi technique
  - SWOT analysis
  - checklists
  - assumption analysis
  - diagramming techniques.
- Analysing the risk, evaluating or ranking risk, treating the risk, monitoring and reviewing.
- Creating awareness of the risks identified in planning phase and their triggers.
- Regular reviewing of the risk log to check any changes to risk probability; updating risk log to check off risks related to activities already completed.
- Close monitoring of high-risk tasks and stages, e.g. tasks that take a long time to complete, tasks involving use of new technology, stages with little slack.
- Applying agreed risk mitigation strategies (risk avoidance, risk sharing, risk reduction, risk transfer) where risks have materialised.
- Communication with stakeholders regarding risks.
- Amending project plans where risks impact on critical path or timelines.

## What needs to be learned

### 4B Approaches to risk management

- Risk probability and impact assessment: risk events assessed for their probability and impact; how complexity of the work increases the sophistication of the assessment.
- Probability and impact matrix: relationship between probability and impact; probability distribution of possible combinations of probability and impact.
- Expert judgment: subjective judgment of decision makers, dependent on level of knowledge, risk attitude and assumptions.
- Prioritisation of risks: results of assessment used to prioritise risks, establish a most-to-least-critical importance ranking, risk rating scales.
- Tools used to manage risk: risk maps, risk logs, fishbone diagrams, RAG (red, amber, green) analysis.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand how to set up and manage a project

### Learning outcome 2: Understand the use of project management tools and techniques

**To satisfy the assessment criteria for these learning outcomes**, learners will produce a case study focusing on how projects are set up and managed in a selected organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), including the use of planning tools and project management software.

The case study will:

1. provide details of the process for identifying the need for a project in the selected organisation, giving reasons for the requirements of the process and using **two** examples of the process in use with actual projects (AC1.1)
2. give a clear account of the steps required to set up a complex project (AC1.2)
3. examine detailed information and use evidence to make a judgement as to the effectiveness of the management of a complex project in the selected organisation. The conclusion must draw on evidence that includes strengths, weaknesses, alternative actions and relevant data (AC1.3)

4. examine in detail the use of **at least two** planning tools in the management of a business project. This includes breaking down what the planning tools do in order to show how they relate to the management of the project (AC2.1)
5. review the effectiveness of at least one type of project management software in successfully delivering a complex project, making judgements about whether the project management software is fit for purpose and making suggestions for improvements and changes (AC2.2)
6. examine detailed examples and use evidence to make a judgement as to the effectiveness of the use of project management techniques in **two** different complex projects. The conclusions must draw on evidence, including strengths, weaknesses, alternative actions and relevant data (AC2.3).

### **Learning outcome 3: Understand the role of process management in delivering quality outcomes**

**To satisfy the assessment criteria for this learning outcome**, learners will produce a report for the directors of an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), in the role of departmental manager, on how project process management is used in one particular organisation and how introducing project process management could improve quality in a different organisation. If their employer organisation already uses project process management, the report could take the form of an article for an appropriate trade magazine or website.

The report will:

1. examine in detail the use of project process management in the selected organisation, using **two** different examples of how project process management is used. This will include breaking down what is meant by project process management in order to interpret and study the interrelationships between the parts (AC3.1)
2. review how quality may be improved by the introduction of project process management in the selected organisation (AC3.2).

### **Learning outcome 4: Understand how to apply approaches to risk management**

**To satisfy the assessment criteria for this learning outcome**, learners will produce for their team presentation slides, with supporting speaker notes, on how risk management is used in an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar). Learners are not required to deliver the presentation.

The presentation slides will:

1. give details of the stages of project risk management, using **two** different examples of contrasting projects (AC4.1)
2. give details of how project risk is managed in the selected organisation, providing reasons and using **two** different examples (AC4.2)
3. examine detailed information and use evidence to make a judgement as to the effectiveness of risk management in **two** contrasting complex projects. The conclusions must draw on evidence, including strengths, weaknesses, alternative actions and relevant data (AC4.3).

# Unit 5: Principles of Recruiting, Managing and Developing High-performing Teams

<b>Level:</b>	<b>4</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>24</b>

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## Unit introduction

The effective management of people is intrinsic to the success of an organisation. A well-managed workforce implements the organisation's strategic goals and provides the desired outcomes for the stakeholders of the business as a whole. In their interactions with customers and other stakeholders, the organisation's employees also contribute to its public image and reputation. Recruiting the right people, managing them effectively and developing their performance is a key responsibility of managers, and underpins the development of high-performing teams with the potential to deliver excellent results for the organisation.

In this unit, you will explore recruitment processes, including considering recruitment in the context of the team as a whole. You will learn how to manage virtual and remotely working teams, which is an increasingly common requirement for managers. You will look at how to apply performance management and talent management techniques to enhance the overall success of individuals and teams. Finally, you will investigate how theories of team development and motivation could be used to develop high-performing teams.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand how to recruit people to teams	1.1	Explain methods used to recruit people to teams
		1.2	Analyse factors that influence team recruitment
		1.3	Explain how team recruitment impacts on team performance in different organisations
2	Understand how to manage virtual and remotely working teams	2.1	Explain the challenges of managing virtual and remotely working teams
		2.2	Evaluate methods of performance measurement for virtual and remotely working teams
		2.3	Analyse ways to support the performance of virtual and remotely working teams
3	Understand how to use performance management techniques	3.1	Explain how performance management techniques can be used in different types of team and organisation
		3.2	Evaluate the impact of performance management techniques on the performance of a selected team
4	Understand how to implement talent management models	4.1	Assess different talent management models that could be applied in specific contexts
		4.2	Analyse the factors that impact on the implementation of talent management models in different teams and organisations
5	Understand how to develop high-performing teams	5.1	Explain how theories of team development could be used to develop high-performing teams
		5.2	Explain how theories of motivation could be used to develop high-performing teams
		5.3	Evaluate the development of selected high-performing teams

## Unit content

### What needs to be learned

#### Learning outcome 1: Understand how to recruit people to teams

##### 1A Recruitment methods

- Policies, including internal and external influences, e.g. employment legislation, specific organisational needs.
- Methods: internal/external recruitment procedures; application via advertised vacancies, agencies, the use of headhunters; secondment.
- Tasks at different stages:
  - person/role/task specification development; identification of essential and desirable attributes
  - advertising and promotion
  - shortlisting
  - selection methods: psychological/aptitude/skills testing, interviews; relating material to individuals
  - taking up of references
  - employment contract.

##### 1B Factors influencing team recruitment

- Factors influencing recruitment to teams of the manager, leader, team member:
  - time frame
  - access to resources
  - the skill set of an existing team, team leader and manager; the experience of individuals
  - whether the task is new, emergent or unique
  - legislation and employment law relating to equality and diversity, data protection and health and safety
  - remuneration packages.

##### 1C Impact of recruitment on team performance

- Benefits of coherent recruitment for team performance, including reduction in wastage of time/resources, complaints; increased output of compliant goods and/or services; increased skills, knowledge and motivation of individual manager(s), team leader(s) and team members; greater team cohesion.

## What needs to be learned

### Learning outcome 2: Understand how to manage virtual and remotely working teams

#### 2A Challenges

- Virtual and remotely working teams, not sharing a physical location and possibly working across different borders, cultures and time zones.
- Different job roles and work patterns: full-time, part-time, team workers' contract as a consultant, subcontractor, zero hours worker.
- Possible differences in management style, employment legislation associated with a location or work activity, methods of communication, access to technology and the range of tools available.

#### 2B Performance measurement

- Including:
  - appraisal methodologies
  - gap analysis from current task/job description or work product/outcome
  - skills scans and knowledge-based tests
  - progress review against organisation or team objectives and key performance indicators (KPIs).

#### 2C Ways to support performance

- Best practice for managers, e.g. availability, team and individual meetings, cultural sensitivity, dealing with different time zones.
- Use of technology to link virtual and remotely working teams, e.g. cloud technology, instant messaging, video conferencing, virtual hangouts, social channels.
- Goal setting at strategic, departmental, product/service and team level, including key performance targets, developing specific, measurable, agreed, realistic, time-bound (SMART) objectives.

## What needs to be learned

### Learning outcome 3: Understand how to use performance management techniques

#### 3A Performance management techniques

- For example, key performance indicators (KPIs) and metrics, performance appraisals, 360-degree feedback, reward and recognition programmes, personal development plans (PDPs), learning and development activities, including coaching, mentoring, training courses, online learning, work shadowing.

#### 3B Impact

- For example, improved productivity, increased employee engagement, reduced staff turnover.

### Learning outcome 4: Understand how to implement talent management models

#### 4A Talent management models and techniques

- Including Bersin's talent management framework, BPI's five point talent model, Campbell and Hirsh's four-step approach, Drotter's leadership pipeline, Kawamoto and Mathers' three keys to effective dashboard development.

#### 4B Factors impacting on talent management

- Factors:
  - a focus on strategy and vision
  - use of performance management models and indicators, including key performance indicators (KPIs)
  - identification and development of high-potential individuals
  - managing breadth in talent: cognitive and affective domains
  - recognising potential and actual performance readiness.
- Benefits of talent management in different organisations, e.g.:
  - identification, development and retention of talented individuals
  - the opportunity to meet organisational objectives in coherent, managed ways
  - overall cost savings in the recruitment and use of human resources.

## What needs to be learned

### Learning outcome 5: Understand how to develop high-performing teams

#### 5A High-performing teams

- Teams that work together for a common goal and achieve excellent results.

#### 5B Team development

- Theories: Tuckman's four stages of team development; Katzenbach and Smith's 'The Wisdom of Teams' – characteristics of a high-performing team, common approaches to building team performance; Larson and LaFasto's eight dimensions of team effectiveness.
- How these could be used, e.g. team-building events, psychometric testing to determine team roles.

#### 5C Motivation

- Theories:
  - Maslow's hierarchy of needs
  - Herzberg's motivation-hygiene theory
  - McGregor's Theory X and Theory Y
  - McClelland's acquired needs theory.
- How these could be used, e.g. team and individual reward schemes, celebrating success.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand how to recruit people to teams

**To satisfy the assessment criteria for this learning outcome**, learners will produce training materials for new managers focusing on the recruitment of individuals to teams (in their employer organisation or, if they are not in employment, in an organisation with which they are familiar).

The training materials will:

1. give details of **at least two** recruitment methods used to recruit people to teams, supporting the points made with reasons and examples (AC1.1)
2. examine in detail the possible influence of **at least two** factors on recruitment for effective teams, for each of the roles of team leader/manager and team member. This will include breaking down the factors in terms of their implications for recruitment for each of the roles of team leader/manager and team member (AC1.2)
3. give details of how team recruitment impacts on team performance in **at least two** different organisations, one of which must be their employer organisation (if they are employed). Learners must provide reasons and evidence to support the points made (AC1.3).

### **Learning outcome 2: Understand how to manage virtual and remotely working teams**

**To satisfy the assessment criteria for this learning outcome**, learners will produce an information leaflet or video to share with other managers that focuses on the management of virtual and remotely working teams.

The information leaflet or video will:

1. give details of **at least two** challenges of managing virtual and remotely working teams, providing examples to support the points made (AC2.1)
2. examine detailed examples and use evidence to make a judgement as to the effectiveness of **at least two** methods of performance measurement for virtual and remotely working teams. The conclusions must draw on evidence, including strengths, weaknesses and relevant data (AC2.2)
3. examine in detail **at least two** ways to support the performance of virtual and remotely working teams, breaking down the ways to show how each part relates to the distinctive features and challenges of virtual and remote working (AC2.3).

### **Learning outcome 3: Understand how to use performance management techniques**

### **Learning outcome 4: Understand how to implement talent management models**

**To satisfy the assessment criteria for these learning outcomes**, learners will produce a report for the directors of an organisation (their employer organisation or, if they are not in employment, an organisation with which they are familiar), in the role of departmental manager, which focuses on how to use performance management techniques and talent management models.

The report will:

1. give details of how performance management techniques can be used in **at least two** different types of team and **at least two** different types of organisation, one of which must be their employer organisation (if they are in employment). Learners must provide reasons and examples to support the points made (AC3.1)
2. examine detailed information and use evidence to make a judgement as to the impact of **at least two** performance management techniques on the performance of a selected team. The team must be within their employer organisation (if they are in employment). The conclusions must draw on evidence, including strengths, weaknesses, alternative actions and relevant data (AC3.2)
3. review different talent management models that could be applied in **at least two** different contexts, making judgements as to which would be preferable in each context (AC4.1)
4. examine in detail the factors that impact on the implementation of talent management models in **two** different teams, in different organisations of the learner's choice. This will include breaking down the factors in terms of their implications in each team (AC4.2).

### **Learning outcome 5: Understand how to develop high-performing teams**

**To satisfy the assessment criteria for this learning outcome**, learners will produce presentation slides, with supporting speaker notes, focusing on how to develop high-performing teams. The context is a departmental manager training other managers. Learners are not required to deliver the presentation.

The presentation slides will:

1. give details of how **at least two** theories of team development could be used to develop high-performing teams, providing reasons and examples to support the points made (AC5.1)
2. give details of how **at least two** theories of motivation could be used to develop high-performing teams, providing reasons and examples to support the points made (AC5.2)
3. examine detailed information and use evidence to make a judgement as to the success or otherwise of the development of **at least two** selected high-performing teams in contrasting organisations. (One of these must be their employer organisation or, if they are not in employment, an organisation with which they are familiar.) The conclusions must draw on evidence, including strengths, weaknesses, alternative actions and relevant data (AC5.3).

# Unit 6: Principles of Communication and Relationship Management

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>25</b>

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## Unit introduction

Effective communication and stakeholder relationships are essential for success in your management/leadership role. You will be expected to establish good relationships with your organisation's internal and external stakeholders, develop your interpersonal skills and apply appropriate communication techniques to a variety of situations.

In this unit, you will look at concepts of communication in organisations and how to select communication techniques that are fit for purpose. You will investigate the contribution of interpersonal skills to successful relationship management and consider ways to build positive relationships with partners, stakeholders and suppliers. You will develop your knowledge of approaches to negotiation, influencing and networking in a management/leadership context. Finally, you will explore conflict management and the strategies that could be used to deal positively with conflict in the workplace.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand considerations when applying appropriate communication techniques	1.1	Describe models of communication in organisations
		1.2	Explain how organisation standards and protocols affect the use of communication techniques
		1.3	Assess how the following affect choice of communication technique: <ul style="list-style-type: none"> <li>• speed of communication</li> <li>• subject matter</li> <li>• need for accuracy</li> <li>• information security</li> </ul>
		1.4	Explain how the purpose, audience and cost affect communication techniques applied in a selected organisation
		1.5	Analyse how methods of verbal and non-verbal communication are used by a manager in a selected organisation
2	Understand how to apply interpersonal skills in relationship management	2.1	Explain how interpersonal skills contribute to effective relationship management
		2.2	Analyse the interpersonal skills of a manager in a selected organisation when communicating with external stakeholders
		2.3	Assess the effectiveness of the interpersonal skills of a manager in a selected organisation when communicating with internal stakeholders
3	Understand approaches to partner, stakeholder and supplier relationship management	3.1	Explain how a manager in a selected organisation approaches relationship management
		3.2	Explain how shared goals and values and mutual respect help develop effective partner and stakeholder relationships
		3.3	Assess the effectiveness of supplier relationship management in a selected organisation

Learning outcomes		Assessment criteria	
4	Understand approaches to negotiation, influencing and effective networking	4.1	Explain how a manager in a selected organisation approaches negotiation when developing relationships
		4.2	Analyse the approach of a manager in a selected organisation to influencing others
		4.3	Assess the effectiveness of networking in building and maintaining relationships with stakeholders
5	Understand approaches to conflict management	5.1	Explain theories of conflict management that could be used in a management/leadership context
		5.2	Evaluate the strategies used by a manager in a selected organisation to manage conflict

## Unit content

### What needs to be learned

#### Learning outcome 1: Understand considerations when applying appropriate communication techniques

##### 1A Models of communication

- Shannon and Weaver; Berlo; Schramm.
- Components of communication: source, message, encoding, channels, decoding, recipient, context, noise, feedback.

##### 1B Considerations when applying appropriate communication techniques

- Organisation standards and protocols:
  - systems in use: chain, wheel, star, all-channel, circle, top down, bottom up, one-way, two-way
  - house style
  - internal/external communications; sensitive information
  - stakeholder expectations; use of social media and digital communications; communication needs of stakeholders, e.g. consistency and clarity of disclosure.
- Selection and use of communication method:
  - purpose of communication, e.g. to inform, persuade, direct, exchange information, negotiate
  - structure and subject matter of information; quantity of information to be communicated, whether feedback is required, whether a permanent record of the information is required
  - suitability of method with reference to the need for accuracy of communication
  - suitability of method with reference to the need for information security, version control, secure transfer
  - formality or informality of message
  - direction of communication (vertical, lateral)
  - needs of audience and/or recipient; target audience, e.g. age group, gender, culture; audience knowledge; relevance, internal or external
  - chosen medium; style; language features: modes of address, terminology (everyday language, technical terms, use of jargon, abbreviations, acronyms), clarity, accuracy, tone, meeting user needs, audience requirements, effectiveness
  - relative cost of communication methods
  - ease of use and suitability of method for the required speed of communication

## What needs to be learned

- planned or unplanned; co-ordinated
- confirmation of understanding; verbal, non-verbal.

### 1C Verbal and non-verbal communication

- Verbal communication: face-to-face conversations, speech, telephone conversation, video, voice over internet:
  - influenced by pitch, volume, speed and clarity of speaking
  - positive and negative tone
  - language, grammar
  - questioning techniques (asking open-ended questions)
  - using summarising techniques.
- Non-verbal body language: facial expressions, eye contact, gestures, posture:
  - application
  - benefits of positive body language
  - impacts of negative body language
  - active listening
  - giving full attention to the speaker
  - showing interest in the speaker.

## Learning outcome 2: Understand how to apply interpersonal skills in relationship management

### 2A Interpersonal skills

- Skills used when communicating and interacting with stakeholders, e.g. active listening, collaboration, negotiation, problem solving, conflict resolution, empathy, diplomacy, adaptability, leadership, mediation, patience.
- Assertiveness: standing up for own or others' point of view in a positive, calm and clear way.
- Emotional intelligence and empathy: understanding and managing own and others' emotions and situations.
- Professionalism: setting an example; fairness, consistency and impartiality; openness and honesty; operating within organisational values.
- Agility: positivity and adaptability; responding well to feedback and need for change; openness to new ways of working.
- Resilience and accountability: own capacity to respond to pressure and the demands of daily life; being answerable; taking ownership of actions and decisions.

## What needs to be learned

- Self-awareness: taking responsibility for own behaviour, performance and wellbeing.
- Negotiation: powers of persuasion and diplomacy; working with others to find a mutually agreeable outcome.
- Work ethics and values: working to personal ethical standards in own behaviours and actions; reliability, executing promises and agreements; tolerance and humility; waiting calmly; treating others as you would want to be treated.
- Team working: ability to work with others in groups and teams, both formally and informally.

### 2B Relationship management

- Relationship management:
  - identification, analysis and management of relationships with internal and external stakeholders
  - creating good working relationships by managing conflict, motivating team, increasing productivity, solving problems, networking effectively
  - asking the right questions, being clear and concise
  - identifying common ground, establishing trust and rapport.
- Application of interpersonal skills in relationship management: developing interpersonal relationships with subordinates, colleagues, partners, customers, suppliers.
- Importance of developing emotional intelligence:
  - awareness of own thoughts, actions and feelings
  - ability to sense others' moods and needs
  - build high-quality connections with stakeholders, listening, understanding, challenging and managing their expectations
  - strengthening relationships with feedback, expressing gratitude and appreciation.

### Learning outcome 3: Understand approaches to partner, stakeholder and supplier relationship management

#### 3A Approaches to relationship management

- Engagement with stakeholders, e.g. being authentic, establishing shared goals and values, developing mutual respect.
- Encouraging involvement, e.g. excellent communication, openness, honesty, transparency.

## What needs to be learned

### Learning outcome 4: Understand approaches to negotiation, influencing and effective networking

#### 4A Negotiation

- Negotiation strategies: problem solving, contending, yielding, compromising, inaction.
- Features of negotiation strategies: prepare, discuss, clarify goals, propose, negotiate, agree, implement action.
- Negotiation approach: hard, soft, assertive, empathetic.
- Desired negotiation outcomes: defeat other party, collaborate, accommodate, withdraw.

#### 4B Influencing stakeholders

- Ability of leader to affect, to shape, or to transform the opinions (convincing) and the behaviours and actions (persuading).
- Critical leadership competency; outcomes of influencing, commitment, compliance, resistance.
- Communicating organisational vision and goals to different stakeholders.

#### 4C Networking

- Establishing a mutually beneficial relationship, e.g. informing others of benefits.
- Creating new customers, new contacts and referrals.
- Visibility, staying current.
- Collaborating and problem solving.
- Sharing knowledge and experience with stakeholders.

### Learning outcome 5: Understand approaches to conflict management

#### 5A Theories of conflict management

- Conflict management theories:
  - Thomas-Kilmann Conflict Mode Instrument (TKI)
  - Interest-Based Relational (IBR) Approach.

#### 5B Strategies used to manage conflict

- Strategies, e.g. choosing a style of conflict resolution appropriate to the situation, separating people from problems, listening actively and empathetically, establishing the facts of the case, exploring options for a solution, producing a resolution plan and gaining buy-in from all parties.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should be set in a specific organisational context to allow learners to apply their knowledge and understanding in a realistic and practical way. It must draw on learning from the unit and be designed in a way that enables learners to meet all the assessment criteria.

A recommended assessment approach is provided below; centres are free to create their own assessment as long as they are confident that it enables learners to provide suitable and sufficient evidence to meet the assessment criteria and achieve the learning outcomes to the same standards as demonstrated in the recommended assessments below.

### Learning outcome 1: Understand considerations when applying appropriate communication techniques

**To satisfy the assessment criteria for this learning outcome**, learners will produce presentation slides, supported by speaker notes, suitable for a training session for other managers on applying appropriate communication techniques (in their employer organisation or, if they are not in employment, in an organisation with which they are familiar).

The presentation slides will:

1. give a clear account of **at least two** models of communication in organisations (AC1.1)
2. provide details of how organisation standards and protocols affect the use of communication techniques in **two** contrasting organisations, one of which must be their employer organisation (if they are employed). Learners must provide reasons and examples to support the points made (AC1.2)
3. review how speed of communication, subject matter, need for accuracy and information security affect choice of communication technique, making judgements as to which would be preferable in each context (AC1.3)

4. give details of how the purpose, audience and cost affect communication techniques applied in the selected organisation. Learners must provide reasons and examples to support the points made (AC1.4)
5. examine in detail how methods of verbal and non-verbal communication are used by a manager in the selected organisation. This will include breaking down the methods to study their effects and wider implications for the organisation (AC1.5).

### **Learning outcome 2: Understand how to apply interpersonal skills in relationship management**

### **Learning outcome 3: Understand approaches to partner, stakeholder and supplier relationship management**

### **Learning outcome 4: Understand approaches to negotiation, influencing and effective networking**

**To satisfy the assessment criteria for these learning outcomes**, learners will produce training materials for new managers, focusing on relationship management (in their employer organisation or, if they are not in employment, in an organisation with which they are familiar).

The training materials will:

1. give details of how interpersonal skills contribute to effective relationship management, providing reasons, examples and/or evidence to support the points made (AC2.1)
2. examine in detail the interpersonal skills of a manager in the selected organisation when communicating with **three** different external stakeholders. This will include breaking down the interpersonal skills used in order to study their effects and wider implications for the organisation (AC2.2)
3. review the effectiveness of the interpersonal skills of a manager in the selected organisation when communicating with **three** different internal stakeholders, making judgements as to the effectiveness of the interpersonal skills and suggesting improvements and changes as appropriate (AC2.3)
4. give details of how a manager in the selected organisation approaches relationship management, providing reasons, examples and/or evidence to support the points made (AC3.1)
5. give details of how shared goals and values and mutual respect help develop effective partner and stakeholder relationships, providing reasons, examples and/or evidence to support the points made (AC3.2)

6. review the effectiveness of supplier relationship management in the selected organisation, making judgements as to the effectiveness of the supplier relationship management and suggesting improvements and changes as appropriate (AC3.3)
7. give details of how a manager in the selected organisation approaches negotiation when developing relationships, providing reasons, examples and/or evidence to support the points made (AC4.1)
8. examine in detail the approach of a manager in the selected organisation to influencing others. This will include breaking down the influencing approach used in order to study its effects and wider implications for the organisation (AC4.2)
9. review the effectiveness of networking in building and maintaining relationships with stakeholders, making judgements as to the effectiveness of networking and suggesting alternative approaches as appropriate (AC4.3).

### **Learning outcome 5: Understand approaches to conflict management**

**To satisfy the assessment criteria for this learning outcome**, learners will produce an information leaflet or video for other managers entitled 'How to Deal with Conflict'.

The information leaflet or video will:

1. give details of the Thomas-Kilmann Conflict Mode Instrument (TKI) and the Interest-Based Relational (IBR) Approach, showing how each of these could be used in a management/leadership context and providing reasons and examples to support the points made (AC5.1)
2. examine detailed examples and use evidence to make a judgement as to the effectiveness of **at least two** strategies used by a manager to manage conflict in their employer organisation or, if they are not in employment, in an organisation with which they are familiar. These strategies are likely to be derived from the two theories of conflict management explained for AC5.1. Learners need to decide how successfully the manager used these strategies to resolve a conflict in the workplace, drawing on evidence including strengths, weaknesses and alternative actions (AC5.2).

# Unit 7: Principles of Personal Effectiveness in Management/Leadership

<b>Level:</b>	<b>4</b>
<b>Unit type:</b>	<b>Knowledge</b>
<b>Guided learning hours:</b>	<b>27</b>

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## Unit introduction

Employers are no longer looking for people with just technical specialist skills – they are also looking to find staff who can represent their brand effectively and who have the right mix of transferable skills and personal attributes to deal with the challenges of the modern workplace. Having the right mix of these skills enables you to become more personally effective in carrying out your job role.

People who are personally effective are able to make the best use of their abilities. They are better able to manage their time and emotions, get along with their colleagues, deal with changing situations and challenges, solve problems, manage their personal performance and, ultimately, become strong ambassadors for their organisation. Personal effectiveness enables individuals to become more productive in their job roles and to contribute to the success of their organisation.

In this unit, you will learn about professionalism and its importance in the workplace. You will develop knowledge and understanding of the transferable skills and personal attributes that underpin personal effectiveness in a management/leadership role, the strategies for developing these skills and attributes, and the benefits they provide. You will look at the link between managing your own behaviour and achieving high performance in your management/leadership role. You will explore concepts of reflective practice, reflexivity and emotional intelligence, and how they can benefit you in your role. You will consider ways to manage your learning and development, and produce and maintain a personal development plan. You will also explore learning and behaviour styles, and how to relate them to your role as a manager/leader.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Understand professionalism and its importance in management and leadership	1.1	Analyse the requirements and expectations for professionalism in a management/leadership role
		1.2	Describe where to find information on employer expectations and standards for professionalism in a specific management/leadership role
		1.3	Explain the importance of professionalism in a management/leadership role
2	Understand how to develop and demonstrate skills and attributes that contribute to personal effectiveness at work	2.1	Explain how to improve accountability as a manager/leader and the effects of a lack of accountability in the workplace
		2.2	Analyse what it means to have good work ethics and how to demonstrate good work ethics in a management/leadership role
		2.3	Evaluate methods of problem solving in the workplace
		2.4	Analyse the different techniques for decision making and the factors to be considered in making decisions in the workplace
		2.5	Explain how to develop personal adaptability and the benefits of adaptability in the workplace
		2.6	Explain how to build personal resilience and the benefits of doing so in the workplace

Learning outcomes		Assessment criteria	
3	Understand how to manage self and personal performance in the workplace	3.1	Explain how to self-manage in the workplace and the benefits of effective self-management for self and others
		3.2	Describe how to manage personal performance in the workplace
		3.3	Explain the importance of managing personal performance in the workplace
		3.4	Analyse the relationship between managing own behaviour and high performance in a leadership/management role
		3.5	Explain the benefits of reflective practice in a management/leadership context
		3.6	Analyse the role of reflexivity in a management/leadership context
		3.7	Evaluate own emotional intelligence and the impact of own behaviour, suggesting ways to improve these in a management/leadership context
4	Understand how to manage personal and professional development in the workplace	4.1	Describe how to identify own learning and development needs
		4.2	Evaluate the effectiveness of development activities for a specific purpose
		4.3	Describe how to produce and maintain a personal development plan
		4.4	Analyse theories and models of learning styles and their application to own learning
		4.5	Analyse theories and models of behaviour styles and their application to own behaviour

## Unit content

### What needs to be learned

#### Learning outcome 1: Understand professionalism and its importance in management and leadership

##### 1A Professionalism in management/leadership

- Meaning of professionalism: meeting the expectations, standards and values defined by the employer; following the rules, guidelines, duties, and responsibilities related to a job role; written or unwritten rules, guidelines and expectations.
- Different requirements for professionalism in different work environments and organisations; influenced by nature of the industry and job role, customer expectations, regulatory requirements, brand, organisational culture.
- Characteristics of professionalism:
  - general personal behaviours and conduct, including following organisational code of conduct (e.g. general conduct, conflict of interest, social media use, privacy and confidentiality, relationships, accepting gifts); demonstrating a positive work attitude and commitment; being punctual; showing respect and consideration for others; being courteous and cooperative
  - behaviours specific to management/leadership roles, including: setting an example; being fair, consistent and impartial; being inclusive and valuing diversity; being open and honest; operating within organisational values
  - competence in the job role
  - appropriate personal dress and appearance
  - communication: good listening and speaking skills; effective use of communication techniques; appropriate non-verbal communications; positive and professional language; good grammar and punctuation in written and digital communications; following organisational greeting guidelines.

##### 1B Standards for professionalism

- Sources of information for professional standards in the workplace, e.g. job descriptions, person specifications, induction process, employee handbook, line manager, Human Resources (HR) team, organisational intranet, etc.

## What needs to be learned

### 1C Importance of professionalism

- Importance of professionalism to the employer, including consistent experience for customers, employee motivation, improved employee performance, compliance with specific industry requirements, enhancing organisational brand and reputation, more productive working relationships among staff.
- Importance of professionalism to the employee, including mutual respect between colleagues, clear boundaries, good team spirit, increased job satisfaction and personal growth.

### Learning outcome 2: Understand how to develop and demonstrate skills and attributes that contribute to personal effectiveness at work

#### 2A Accountability

- Meaning of accountability in a work context (being answerable; taking ownership for actions and decisions).
- Difference between accountability and responsibility.
- Behaviours that demonstrate accountability, including: showing a willingness to drive and achieve results; showing resilience in leading team to achieve targets; being proactive in monitoring team progress and resolving issues; taking ownership over results.
- Improving accountability in leading: using SMART goals/targets; prioritising teamwork; addressing poor performance quickly (avoiding procrastination); having difficult conversations about quality of work and performance; creating a culture of psychological safety; following up on actions agreed with team members; developing a culture of accountability; keeping track of own commitments.
- Effects of lack of accountability, including: potential financial losses; increased costs; not achieving team and organisational goals/targets; poor team relationships; potential negative impact on the quality and level of customer service; low staff morale.

#### 2B Work ethics

- Meaning of work ethics.
- Elements of good work ethics with relevant behavioural examples: responsibility; punctuality; commitment; honesty and integrity; professional behaviours and communications; demonstrating a positive approach; taking initiative/being proactive; self-development and self-motivation.
- How work ethics interrelate with other personal attributes/personal behaviours.
- Ways of demonstrating good work ethics, such as reducing distractions at work; taking ownership for understanding own role, goals and responsibilities; being

## What needs to be learned

persistent and following through on tasks; avoiding procrastination; effective prioritisation and time management; asking for feedback on performance; continuously updating knowledge of organisational procedures, standards and relevant regulations and legislation; developing positive working relationships with colleagues; building trust and reliability.

- Relationship with behaviour outside work, e.g. avoiding behaviour that is likely to bring employer into disrepute or adversely affect work performance.

### **2C Problem solving**

- Meaning of problem solving.
- Features, advantages and disadvantages of different problem-solving methods, including PDCA, problem-solving cycle, FOCUS model, GROW model.

### **2D Decision making**

- Meaning of decision making.
- Features, advantages and disadvantages of different decision-making techniques, including decision tree, decision matrix, cost-benefit analysis, PEST analysis, SWOT analysis, Pareto analysis.
- Factors for consideration, including organisational values and culture, ethics, type of decision (strategic versus tactical), value for money (VFM), internal organisational factors.
- Skills needed for decision making, including research (reliability of sources), analysis, collaboration, emotional intelligence.

### **2E Adaptability**

- Meaning of adaptability in a workplace context (willingness and ability to respond readily and positively to changing circumstances and expectations).
- The need for adaptability: fast pace of change in industry and technology; responding to impact of external factors; responding to stakeholder emerging needs; mental and physical wellbeing.

## What needs to be learned

- Behaviours that demonstrate adaptability at work: looking for ways to make changes work rather than identifying why changes will not work; responding positively to changing priorities and timescales (e.g. changing work planned to respond to an emerging problem); willingness to learn new methods and procedures; willingness to look beyond job description to achieve organisational goals (e.g. offering to cover the responsibilities of an absent colleague); being open to different views and listening to others; making changes to ways of working on the basis of constructive feedback; developing multiple solutions to a problem and/or contingencies.
- Developing adaptability: observing and learning from others; monitoring trends and changes in the work environment; improving problem-solving and critical-thinking skills; developing resilience and emotional intelligence; making use of opportunities to engage in diverse and challenging activities/projects (leaving the comfort zone).
- Benefits of adaptability in the workplace: for individuals (e.g. increased opportunities for career progression, success at work, being better able to deal with life challenges, being a more valuable employee, leadership capabilities); benefits for employers (e.g. innovation, effective change and crisis management, remaining competitive, improved problem solving, employee wellbeing).

## 2F Resilience

- Meaning of resilience (an individual's capacity to respond to pressure and the demands of daily life).
- Factors affecting resilience, including adaptability, self-confidence, social support, purposefulness, physical and mental wellbeing, environment.
- The need for resilience: managing stress and workplace pressures; dealing with changing economy and modern work practices; mental and physical wellbeing; personal growth.
- Strategies to build resilience: developing high-quality and supportive relationships; developing awareness of own strengths and weaknesses; using challenges as learning opportunities; focusing on positive outcomes and celebrating success; committing to realistic goals; seeking help and support when needed; practising regular self-reflection; maintaining a balanced diet and regular exercise.
- Benefits of resilience in the workplace: for individuals (e.g. increased confidence, being more able to manage stress, increased opportunities for career progression); benefits for employers (e.g. more stable workforce, increased productivity, improved performance).

## What needs to be learned

### Learning outcome 3: Understand how to manage self and personal performance in the workplace

- Meaning of self-management skills: ability to control feelings, emotions and activities to feel and be more productive.
- Areas of self-management: self-awareness; stress management; time management.
- Self-awareness: emotional awareness; self-assessment (personal strengths, weaknesses, resources and limitations); self-confidence.
- Developing self-awareness: asking for feedback to get different perspectives; identifying blind spots; paying attention to other people's body language, emotions and words; recording thoughts, feelings, successes and failures; identifying strengths and weaknesses (e.g. using psychometric tests); exploring feelings and emotions; practising regular self-reflection and self-motivation.
- Potential causes of stress in the workplace, e.g. work overload, excessive travel, poor relationships, organisational changes, lack of communication.

#### 3A Managing self

- Warning signs of stress, e.g. fatigue, anxiety, inability to concentrate, muscle tension, headaches, mood swings.
- Managing stress: seek clarity on job/task requirements; prioritising and organisation; creating a balanced schedule; asking for help and support from others; avoiding perfectionism; balanced nutrition and regular exercise; taking regular breaks; not overcommitting.
- Time management strategies: using 'to do' lists (monthly, weekly, daily); prioritising tasks (importance versus urgency, Covey's time management matrix); scheduling tasks; allowing flexibility in scheduling; setting realistic goals and deadlines; regularly reviewing workload; keep multitasking to a minimum; minimising distractions; managing emails effectively (4Ds – Do, Delegate, Defer, Delete).
- Benefits of effective self-management: greater self-confidence and creativity; stronger working relationships; better decision making; job satisfaction; higher productivity and lower rate of absence from work; safer workplaces; positive work-life balance.

## What needs to be learned

### 3B Managing personal performance

- Identifying own responsibilities: job description; contract; staff handbook; code of conduct; organisational structure.
- Goal setting: agreeing SMART objectives with line manager; alignment of objectives with organisational aims/goals; relationship of personal objectives to those of team members and other colleagues.
- Measurement standards: agreed criteria for measuring progress and achievement: varying criteria depending on organisation and role (e.g. quality of work, volume of work, timeliness of completion, customer satisfaction).
- Completing tasks/work: meeting quality standards and agreed timescales; reporting problems beyond own level of competence.
- Monitoring and assessing performance – asking for performance feedback from relevant colleagues; attending and engaging in regular one-to-one meetings; actively participating in annual performance appraisal (e.g. regularly updating performance review systems, preparing evidence for discussion at meeting, etc.); being receptive to feedback on performance; using feedback from performance appraisals to inform personal development planning; seeking feedback on progressing from acceptable to high performance.
- Dealing with own underperformance: managing own emotions (not taking the feedback personally); listening to identify specific performance issues; reflecting on reasons for underperformance; discussing suggestions for improvement; agreeing a performance improvement plan (PIP) with line manager.

### 3C Importance of managing personal performance

- Benefits to individuals: clear understanding of job expectations; enhanced employment opportunities; job satisfaction; career progression; financial rewards or recognition for good performance.
- Benefits to employer/organisation: delivery of strategic and operational goals; increased efficiency and productivity; reduced staff turnover; support staff planning and training.

### 3D Managing own behaviour and high-performance management/leadership

- Relationship, e.g. setting a positive example to team in terms of productivity, work quality and integrity; embodying organisational values; working positively with customers, colleagues and stakeholders.

## What needs to be learned

### 3E Benefits of reflective practice

- Meaning of reflective practice: learning from own experiences and actions in order to improve.
- Benefits, e.g. increased self-awareness, greater emotional intelligence, better understanding of others, more creative and innovative thinking, ability to identify areas of own behaviour that could be improved.

### 3F Role of reflexivity

- Meaning of reflexivity: questioning own attitudes, assumptions, thoughts and actions in order to understand relationship between self, others and social structures.
- Role in management/leadership context: facilitates stepping back from habitual ways of thinking and seeing; critical focus on own beliefs and values and whether these are consistent with own interactions with others; leads to a deeper understanding of own activities, behaviour and relationships and their effects on others.

### 3G Own emotional intelligence and impact of own behaviour

- Goleman theory – four parts to emotional intelligence:
  - self-awareness
  - self-management
  - social awareness (empathy)
  - relationship management (social skills).
- Behaviour as an expression of:
  - social, cultural or religious beliefs
  - values, e.g. honesty, justice, equality, truth
  - ideals
  - personal and professional standards
  - ethics
  - attitudes, e.g. emotional maturity, self-confidence, experience, cooperation, tolerance, commitment.
- Impact of own behaviour, e.g. being honest with team members may lead to greater openness between all members of team.

## What needs to be learned

### Learning outcome 4: Understand how to manage personal and professional development in the workplace

#### 4A Learning and development needs and activities

- Professional development: development of role-related technical skills and knowledge; IT skills; communication.
- Personal development: development of transferable skills, e.g. self-awareness, adaptability, self-management.
- Identifying learning needs: skills audit; analysis of job description and personal and team objectives; analysing changes in industry and the external environment; feedback from others; personal reflections.
- Formal versus informal development activities.
- Features and advantages of different activities such as qualifications, training courses, on-the-job training, coaching, shadowing, job enlargement, job enrichment, mentoring.
- Suitability of activities depending on factors such as nature of learning needs, learning styles, outcomes required, cost.

#### 4B Personal development plan

- Purpose of a personal development plan (PDP).
- Contents of a PDP: SMART objectives; selected learning and development activities; resources; timescales; success criteria; review mechanisms.
- Process of creating and managing a PDP: identify learning needs (knowledge, skills and behaviours to be developed); select relevant learning and development activities to meet needs; undertake planned activities; progress review; adapting plan according to outcome of review; review target completion.

#### 4C Learning styles

- Theories: Skinner's conditioning theory; Down's memorising, understanding and doing taxonomy; Kolb's learning styles and experiential learning: activist, reflector, theorist, pragmatist or planning.
- Learning styles: visual, auditory, kinaesthetic.
- Knowledge and attitude practices, e.g. varied learning, experiential learning, learner activities, opportunities for reflection, required outcomes, assessment requirements; context, e.g. workplace, one to one, group work, simulation.
- Differentiation, e.g. learning needs, learning styles, accommodation of disabilities; types of learners, e.g. adult.

## What needs to be learned

- Motivation, e.g. interest, aspirations, career development, qualification achievement; how to identify needs, e.g. discussion, questioning, occupational skill scan, competency assessment, appraisal, learning styles questionnaire.

### **4D Behaviour styles**

- Theories: Tuckman's forming, storming, norming and performing model, Belbin's team roles, Evans and Dion's cohesive groups, Eric Berne's transactional analysis.
- Strategies, e.g.:
  - balance of management style accommodation
  - inclusive leadership
  - goal setting
  - action planning
  - group and individual behaviour contract setting
  - agreement of participation requirements, roles and responsibilities during activities
  - use of group activities to promote experiential development
  - mixing skills and abilities
  - encouraging discussion and feedback
  - creating teams
  - self-assessment of learning.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

The assessment for this unit should draw on learning from the unit and be designed in a way to enable the learners to meet all the assessment criteria.

Centres are free to choose their own forms of evidence for this unit as long as they enable learners to produce suitable and sufficient evidence to meet the stated standard of the assessment criteria and achieve the learning outcomes.

Forms of evidence such as learning logs, recorded question and answers and workbooks would be suitable sources of evidence for this unit. Regardless of the source of evidence used, learners will need to meet the standards stated below for each learning outcome.

### Learning outcome 1: Understand professionalism and its importance in management and leadership

**To satisfy the assessment criteria for this learning outcome**, learners will:

1. analyse **three** requirements and/or expectations for professionalism in a management/leadership role, showing clearly how these are influenced by factors relating to the industry, their employer organisation and/or regulatory requirements (AC1.1)
2. describe **two** sources in their workplace to get information about the expected behaviours and professional standards for their job role. Learners must provide details to show the specific type of information they would get from each source (AC1.2)
3. give **two** reasons why professionalism is important in a management/leadership role. One reason must be from the perspective of their employer and the other from their perspective as an employee and the reasons must be specific to their work context (AC1.3).

## **Learning outcome 2: Understand how to develop and demonstrate skills and attributes that contribute to personal effectiveness at work**

**To satisfy the assessment criteria for this learning outcome, learners will:**

1. outline **three** ways in which they can improve their accountability as manager/leader and give at least one detailed reason for each of these to clearly show why they would help them to improve
2. outline **three** effects of a lack of accountability in their role and provide supporting information for each to show how these impact on their team and organisation (AC2.1)
3. describe **three** elements of good work ethics. Learners must provide details to show what the behaviours looks like in practice
4. describe **three** actions they could undertake, and/or behaviours that they could adopt, to demonstrate good work ethics in carrying out their management/leadership role (AC2.2)
5. evaluate **at least two** methods of problem solving in the workplace. Learners will need to draw on evidence that includes strengths, weaknesses, alternative actions, relevant data and concepts. A judgement must be made (AC2.3)
6. examine the features, advantages and disadvantages of **two** decision-making techniques to determine their suitability to solve the identified problem
7. examine **two** factors they would need to consider when making decisions to resolve the identified problem (AC2.4)
8. outline **two** ways they can develop their own ability to adapt to changes and give at least one detailed reason for each to clearly show why these ways would support their development
9. outline **two** ways in which adaptability in the workplace benefits the employer and **two** ways in which it benefits the employee, and give at least one detailed reason for each to show why they are of benefit (AC2.5)
10. outline **two** ways they can develop their own personal resilience, and give at least one reason for each to clearly show why these ways would support their development
11. outline **two** ways in which resilience in the workplace benefits the employer and **two** ways in which it benefits the employee, and give at least one reason for each to show why they are of benefit (AC2.6).

### **Learning outcome 3: Understand how to manage self and personal performance in the workplace**

**To satisfy the assessment criteria for this learning outcome,** learners will:

1. outline **three** self-management practices they could use to be more productive at work, and give at least one detailed reason for each to show why these would improve their productivity
2. explain, with supporting information, **two** ways in which effective self-management can benefit themselves and others in the workplace (AC3.1)
3. describe **three** activities they could engage in to manage their own performance in the workplace. Learners must provide details of the purpose of each activity and what it involves (AC3.2)
4. give **three** reasons why it is important for individuals to manage their own personal performance in the workplace (AC3.3)
5. examine in detail the relationship between managing own behaviour and high performance in a leadership/management role. Learners will need to break down the relevant concepts in order to interpret and study the interrelationships between the parts (AC3.4)
6. give details of **three** benefits of reflective practice in a management/leadership context, providing reasons and examples to support their points (AC3.5)
7. examine in detail the role of reflexivity in a management/leadership context. Learners will need to break down the relevant concepts in order to interpret and study the interrelationships between the parts (AC3.6)
8. bring together evidence to form a judgement as to their own emotional intelligence and the impact of their own behaviour, suggesting **three** ways to improve these in a management/leadership context. Learners need to draw on evidence that includes strengths, weaknesses and possible alternative actions in order to come to a conclusion (AC3.7).

## **Learning outcome 4: Understand how to manage personal and professional development in the workplace**

**To satisfy the assessment criteria for this learning outcome,** learners will:

1. describe **two** ways of identifying own learning and development needs (AC4.1)
2. evaluate the effectiveness of **two** different development activities for a specific purpose. Learners need to form a conclusion based on evidence that includes strengths, weaknesses and relevant data (AC4.2)
3. identify the areas covered in a personal development plan and describe how they would go about producing and maintaining their own personal development plan. This must include the stages of development planning (AC4.3)
4. examine in detail **two** theories or models of learning styles and their application to own learning. Learners need to break these concepts down in order to interpret and study the interrelationships between theory and application (AC4.4)
5. examine in detail **two** theories or models of behaviour styles and their application to own behaviour. Learners need to break these concepts down in order to interpret and study the interrelationships between theory and application (AC4.5).

## **Unit 8: Managing Operations and Finance**

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Skills</b>
<b>Guided learning hours:</b>	<b>26</b>

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### **Unit introduction**

Managing operations and finance are essential skills for all managers, regardless of whether there is a dedicated finance team within an organisation. Financial judgement enhances decision-making skills, which in turn supports management of projects, tasks and core business areas.

This unit has been designed to enhance your confidence and credibility in creating operational plans, KPIs and contingency plans. You will also have the opportunity to demonstrate skills in change management, including identifying and addressing barriers and using appropriate communication and interpersonal skills to support change. You will develop skills in commercial awareness and will have the chance to produce business cases in order to make the most of potential opportunities. You will use data analysis tools and techniques in order to create management reports. You will also have the opportunity to monitor budgets, producing financial reports and making adjustments based on the outcomes of your analysis.

### **Learning outcomes and assessment criteria**

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Be able to contribute to the strategic plan and create operational plans in line with organisational objectives	1.1	Provide relevant information on own area, explaining how the information provided supports strategic planning
		1.2	Create and deliver operational plans in line with organisational objectives, explaining how the activities within the plans support strategic goals
		1.3	Set KPIs for operational plans and monitor performance in accordance with organisational requirements
		1.4	Produce contingency plans and communicate these to the team, explaining the choice of communication method
2	Be able to support, manage and communicate change by identifying barriers and overcoming them	2.1	Use critical analysis to identify barriers to change in the context of own organisation, suggesting options for solutions
		2.2	Compare problem-solving techniques and decide on the most appropriate solution to overcome the barriers
		2.3	Explain how recognised key change management techniques have informed own actions, in line with organisational policy
		2.4	Demonstrate appropriate communication methods, agility and interpersonal skills to support change
3	Be able to demonstrate commercial awareness and identify and maximise new opportunities	3.1	Use recognised methods, techniques and sources of information to stay up to date with the commercial environment of own organisation
		3.2	Analyse the commercial environment of own organisation, using appropriate tools and techniques
		3.3	Use the outcomes of the analysis to identify a realistic opportunity that is aligned to own organisation's objectives
		3.4	Develop the identified opportunity into a proposal/business case, in accordance with organisational policy
		3.5	Present the proposal/business case to decision makers within own organisation, using appropriate procedures and methods

Learning outcomes		Assessment criteria	
4	Be able to produce reports and provide management information based on the collation, analysis and interpretation of data	4.1	Collate business data from primary and secondary sources for management reports that inform strategic decision making
		4.2	Use relevant data analysis tools, techniques and skills to extract relevant conclusions from the data
		4.3	Analyse the information extracted to form recommendations from the data
		4.4	Present the reports to the standard required by the operational plan or target audience
5	Be able to monitor budgets, provide financial reports, and consider financial implications of decisions	5.1	Monitor budgets, following organisational financial governance and compliance requirements and using the relevant tools and techniques to inform own reporting
		5.2	Use appropriate methods to identify and analyse variances between planned and actual expenditure
		5.3	Use the outcomes of the analysis to support recommendations for adjustments to approaches or budgets to ensure budget control is maintained
		5.4	Take corrective action by making revisions to budgets within the limits of own authority, in response to budget variances
		5.5	Produce reports for stakeholders on own budget monitoring and analysis activities, in line with organisational requirements

## Unit content

What needs to be learned
<p><b>Learning outcome 1: Be able to contribute to the strategic plan and create operational plans in line with organisational objectives</b></p>
<p><b>1A Strategic planning</b></p> <ul style="list-style-type: none"><li>• Operational plans:<ul style="list-style-type: none"><li>○ short- to medium-term planning</li><li>○ five performance objectives (cost, dependability, flexibility, quality and speed)</li><li>○ purpose: managing the use of resource to achieve strategic objectives, identifying responsibilities and tasks in line with strategic goals and objectives</li><li>○ components, including SMART objectives, activities and tasks to be completed, roles and responsibilities, performance measures, KPIs, capacity requirements (human resources, time, systems, management structure), financial requirements and risk assessment.</li></ul></li><li>• Strategic plans: long-term planning to focus an organisation's vision and priorities; strategic management responsibility; framework and basis for lower-level planning.</li></ul>
<p><b>Learning outcome 2: Be able to support, manage and communicate change by identifying barriers and overcoming them</b></p>
<p><b>2A Change</b></p> <ul style="list-style-type: none"><li>• Enabling change: change required (nature, parameters, intended impact); moving to an agreed, desired position; obtaining support and resource commitment; communicating change to stakeholders.</li><li>• Reasons for communication, e.g.:<ul style="list-style-type: none"><li>○ informing, exchanging information, sharing information; information must be clear, accurate, up to date, relevant, fit for purpose, timely, cost-effective and relevant to audience</li><li>○ building motivation, involvement, participation</li><li>○ developing a learning organisation; personal development, team development</li><li>○ building intellectual capital, knowledge management</li><li>○ supporting decision making, supporting work operations.</li></ul></li><li>• Change management models: John P Kotter's eight steps to successful change, Kübler-Ross Five Stage Transition Cycle, Prosci's ADKAR Model, Kurt Lewin's Change Management Model.</li></ul>

## What needs to be learned

### **Learning outcome 3: Be able to demonstrate commercial awareness and identify and maximise new opportunities**

#### **3A Commercial awareness**

- Techniques, e.g. PEST (political, economic, social, technological) analysis; PESTLE analysis also includes legal and environmental factors.
- Components of a business case:
  - problem statement
  - statement of the benefits for all relevant stakeholders
  - likely risks and how they will be addressed
  - basic plan of work: scope, purpose, objectives, resources, deliverables, timescales and structure.

### **Learning outcome 4: Be able to produce reports and provide management information based on the collation, analysis and interpretation of data**

#### **4A Reports and management information**

- Data analysis – two prominent methods:
  - qualitative research, e.g. interviews and observations
  - quantitative research, e.g. experiments and surveys.
- Intended uses of reports:
  - operational support, e.g. monitoring and controlling activity
  - analysis to identify patterns or trends
  - decision making, e.g. operational, tactical, strategic
  - gaining commercial advantage.
- Report format: media, e.g. paper-based, electronic, web-based; presentation.

### **Learning outcome 5: Be able to monitor budgets, provide financial reports, and consider financial implications of decisions**

#### **5A Budgets**

- Budget-setting cycle: limiting or key factors; master, subsidiary and functional budgets; cash budgets; the preparation of sales budget; debtors' budgets, creditors' budgets.
- Types of costs and classification: materials, labour, overheads, direct and indirect, fixed, variable and semi-variable.
- Costing methods: job costing, process costing, contract costing, service costing.

### What needs to be learned

- Cost measurement: absorption and marginal costing, traditional, overhead absorption and activity-based costing, stock valuation methods.
- Types of stakeholder: internal and external; primary and secondary; formal and informal; team workers, customers and other stakeholders.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

This unit is expected to be assessed in the real working environment where the evidence is naturally occurring and is collected over a period of time.

Centres are responsible for deciding on the assessment activities that will enable learners to produce valid, sufficient, authentic and appropriate evidence to meet the assessment criteria. When planning assessment and evidence collection for this unit, centres should consider the nature and sources of evidence required to support the end-point assessment.

Learners must be given a clear assessment brief before the assessment takes place, detailing:

- the assessment activity and context
- the learning outcome(s) to be assessed
- the criteria they are expected to meet
- the time and duration of the assessment.

Wherever possible, centres should adopt a holistic and integrated approach to assessing the skill units in the qualification. This gives the assessment process greater rigour, minimises repetition and saves time. The focus should be on assessment activities generated through naturally occurring evidence in the workplace, rather than focusing on specific tasks. Taken as a whole, the evidence must show that the learner meets all learning outcomes and assessment criteria over a period of time. It should be clear in the assessment records where each learning outcome and assessment criterion has been covered and achieved.

Please refer to our guidance on selecting suitable assessment activities for the skills units, available on our website.



Learning outcomes		Assessment criteria	
1	Be able to communicate effectively	1.1	Demonstrate effective communication with stakeholders and colleagues at all levels of the organisation
		1.2	Communicate organisational vision and goals and how these apply to a team
		1.3	Chair meetings in line with organisational requirements
		1.4	Present information using a range of methods in line with organisational requirements

Learning outcomes		Assessment criteria	
2	Be able to build relationships within a team and across an organisation	2.1	Demonstrate positive behaviours that build trust
		2.2	Demonstrate effective interpersonal skills
		2.3	Identify and share good practice, and work collaboratively with others both inside and outside the organisation, in line with organisational requirements
		2.4	Seek specialist advice and support to enable delivery against plans, in accordance with organisational policy
3	Be able to support development through coaching and mentoring	3.1	Justify the selection of coaching and mentoring models that align with identified development needs
		3.2	Demonstrate the use of appropriate recognised coaching and mentoring techniques with a team and individual team members
		3.3	Use appropriate communication and interpersonal skills to build rapport with individuals being coached and mentored
4	Be able to manage talent and performance	4.1	Use recognised and appropriate methods to manage talent in a team, in line with organisational policy
		4.2	Use recognised and appropriate methods to manage the performance of individuals in a team, in line with organisational policy
5	Be able to develop, build and motivate teams using individual and team strengths	5.1	Use recognised and appropriate activities to identify the strengths of a team and individual team members, in line with organisational policy
		5.2	Justify the selection of recognised and appropriate motivational techniques for use in a team
		5.3	Use recognised practices to support and enable development of a team and individuals within a team, in line with organisational policy
6	Be able to delegate to ensure delivery through others	6.1	Demonstrate effective delegation to allocate work within a team, in line with organisational requirements
		6.2	Monitor the delegated work to ensure it is carried out as agreed

## Unit content

What needs to be learned
<b>Learning outcome 1: Be able to communicate effectively</b>
<b>1A Communication</b> <ul style="list-style-type: none"><li>• Stakeholders:<ul style="list-style-type: none"><li>○ internal: managers, employees</li><li>○ external: owners, lenders, government agencies, competitors.</li></ul></li><li>• Communication styles:<ul style="list-style-type: none"><li>○ verbal</li><li>○ written</li><li>○ digital: web, email, social media, podcast and videos.</li></ul></li><li>• Communication techniques, e.g. open-ended questions, affirmations, reflections, summaries.</li><li>• Influences on communication, e.g. language, culture, religion, emotional state.</li><li>• Communicating organisational vision: long-term planning.</li><li>• Communicating organisational goals: short- to medium-term plans.</li></ul>
<b>Learning outcome 2: Be able to build relationships within a team and across an organisation</b>
<b>2A Positive relationships</b> <ul style="list-style-type: none"><li>• Positive behaviours, including inclusivity, fairness, consistency, openness, listening mindfully, showing interest, being self-aware, being prompt.</li></ul> <b>2B Interpersonal skills</b> <ul style="list-style-type: none"><li>• Interpersonal skills, including negotiation, influencing, conflict management.</li></ul>
<b>Learning outcome 3: Be able to support development through coaching and mentoring</b>
<b>3A Coaching and mentoring</b> <ul style="list-style-type: none"><li>• Identified development needs of a team and individual team members.</li><li>• Coaching and mentoring models:<ul style="list-style-type: none"><li>○ TGROW: based on the GROW model, perhaps the most well known in coaching circles. This is a five-stage model based on Topic, Goal, Reality, Options, Wrap-up</li><li>○ CLEAR: based on Contract, Listening, Explore, Action, Review</li><li>○ OSKAR: Outcome, Scaling, Know-how, Action, Reviewing progress.</li></ul></li></ul>

**What needs to be learned**

- Communication and interpersonal skills for mentoring, including active listening, negotiation, giving constructive feedback.

**Learning outcome 4: Be able to manage talent and performance**

**4A Managing talent and performance**

- Talent management: recognised and appropriate methods for managing talent in a team, for example succession planning, supporting development, empowering team members.
- Performance management: includes activities to ensure that goals are consistently being met in an effective and efficient manner; can focus on the performance of an organisation, a department, employee, or even the processes to build a product or service.

**Learning outcome 5: Be able to develop, build and motivate teams using individual and team strengths**

**5A Develop, build and motivate teams**

- Strengths: key personal and work-related strengths of each individual; combined strengths of individuals in team; strengths in how team members interact and work together.
- Motivating individuals to achieve agreed performance levels; resolving conflict of interest between functional areas.
- Methods: reflective journal, self-assessment, evaluating learning and development activity, skills audit, training needs analysis, appraisal, SWOT analysis (strengths, weaknesses, opportunities, threats), organisation questionnaire on attitudes and practice.

**Learning outcome 6: Be able to delegate to ensure delivery through others**

**6A Delegation**

- Identifying the strengths, competences and expertise of team members; allocating work on this basis.
- Categorising areas for improvement in team members' performance outputs and standards.
- Amending priorities and plans to take account of changing circumstances.
- Delegating responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

This unit is expected to be assessed in the real working environment where the evidence is naturally occurring and is collected over a period of time.

Centres are responsible for deciding on the assessment activities that will enable learners to produce valid, sufficient, authentic and appropriate evidence to meet the assessment criteria. When planning assessment and evidence collection for this unit, centres should consider the nature and sources of evidence required to support the end-point assessment.

Learners must be given a clear assessment brief before the assessment takes place, detailing:

- the assessment activity and context
- the learning outcome(s) to be assessed
- the criteria they are expected to meet
- the time and duration of the assessment.

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# Unit 10: Managing Projects

<b>Level:</b>	<b>4</b>
<b>Unit type:</b>	<b>Skills</b>
<b>Guided learning hours:</b>	<b>21</b>

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## Unit introduction

The ability to manage projects is essential for all managers. This unit focuses on the skills required to manage projects successfully throughout a project's life cycle, from planning through progress monitoring and troubleshooting to evaluation of outcomes.

You will have the opportunity to develop a project plan incorporating SMART objectives and KPIs, as well as other activities involved with setting up a project, including securing resources and communicating key information about the project to your team and the project's stakeholders. Once the project is underway, you will carry out risk analysis and use problem-solving techniques to overcome challenges that arise. You will also select and use project management tools and techniques to meet the requirements of the project and organisation. At the conclusion of the project, you will review its effectiveness with a view to making improvements in future.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Be able to plan a project	1.1	Confirm and agree the objectives and timescale for a project, in accordance with organisational requirements and policy
		1.2	Develop a project plan with specific, measurable, achievable, realistic and time-bound (SMART) objectives, key performance indicators (KPIs) and evaluation mechanisms appropriate to the plan
		1.3	Communicate the context, objectives, influencing factors and timescale of a project to own team and relevant stakeholders, using a range of appropriate media
		1.4	Secure and allocate the resources required to deliver a project
2	Be able to monitor project progress, identifying risks and their mitigation	2.1	Monitor progress throughout a project life cycle, in line with organisational requirements
		2.2	Identify and communicate risks to team and other stakeholders, in accordance with organisational policy
		2.3	Use appropriate and recognised problem-solving techniques to find ways to mitigate risks
		2.4	Demonstrate agility in responding to changing circumstances during a project life cycle, in line with organisational requirements
3	Be able to use relevant project management tools	3.1	Justify the selection of project management tools and techniques at different stages of a project
		3.2	Use relevant project management tools and techniques in accordance with organisational requirements
		3.3	Conduct periodic reviews of the progress and effectiveness of a project, using information from a range of sources
4	Be able to evaluate the outcomes of a project	4.1	Evaluate the outcomes of a project, making recommendations for improvements in future
		4.2	Report on the effectiveness of a project to team and relevant stakeholders, using a range of appropriate media

## Unit content

What needs to be learned
<b>Learning outcome 1: Be able to plan a project</b>
<b>1A Project planning</b> <ul style="list-style-type: none"><li>• Objectives for project:<ul style="list-style-type: none"><li>○ relationship to organisation's vision, mission, values, goals.</li></ul></li><li>• Organisational requirements:<ul style="list-style-type: none"><li>○ ranking projects</li><li>○ selecting projects</li><li>○ alignment of projects to support objectives.</li></ul></li><li>• Influence of environmental factors:<ul style="list-style-type: none"><li>○ external, to include political, economic, social, technological, legal and ethical</li><li>○ internal, to include strengths, weaknesses, opportunities, threats.</li></ul></li><li>• Planning:<ul style="list-style-type: none"><li>○ business case</li><li>○ stages in project life cycle: initiation, planning, execution, monitoring and controlling, closure and evaluation</li><li>○ roles and responsibilities: project manager, project sponsor, project team members.</li></ul></li></ul>
<b>Learning outcome 2: Be able to monitor project progress, identifying risks and their mitigation</b>
<b>2A Project monitoring</b> <ul style="list-style-type: none"><li>• Stages in project life cycle: initiation, planning, execution, closure and evaluation.</li><li>• Monitoring methods:<ul style="list-style-type: none"><li>○ checklists/activity lists</li><li>○ project work plans</li><li>○ charting, e.g. Gantt Load</li><li>○ analysis, e.g. PERT, critical paths</li><li>○ risk management logs</li><li>○ dependencies, responsibilities.</li></ul></li></ul>

## What needs to be learned

- Risk analysis:
  - qualitative techniques: probability and impact matrix (low, high rating), risk urgency assessment, risk categorisation, expert judgement
  - quantitative techniques: schedule risk analysis, sensitivity analysis, severity assessment, modelling and simulation.
- Use of documentation to communicate risk, e.g. risk log.
- Problem-solving techniques: brainstorming, cause-effect diagrams, fishbone diagrams, force field analysis.

### Learning outcome 3: Be able to use relevant project management tools

#### 3A Project management tools and techniques

- Project management tools and techniques: critical path analysis, Gantt charts, PERT, work breakdown structure (WBS), fishbone diagrams (Ishikawa diagrams), cost-benefit analysis.
- Applications designed to facilitate project delivery, e.g. PRINCE2, Kanban.
- Use of project management tools to track project activity and progress against planned deliverables, milestones and deadlines.

### Learning outcome 4: Be able to evaluate the outcomes of a project

#### 4A Project evaluation

- Evaluation phase: project closure, record project outcomes, performance against agreed criteria, validate outcomes, analysis, evaluation (success, failure).
- Reporting on effectiveness:
  - implications
  - further development.
- Disseminating project outcomes to stakeholders.
- Benefits of sharing outcomes, e.g. transparency, informing stakeholders, scrutinising outcomes.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

This unit is internally assessed. To pass this unit, the evidence that the learner presents for assessment must demonstrate that they have met the required standard specified in the learning outcomes and assessment criteria.

This unit is expected to be assessed in the real working environment where the evidence is naturally occurring and is collected over a period of time.

Centres are responsible for deciding on the assessment activities that will enable learners to produce valid, sufficient, authentic and appropriate evidence to meet the assessment criteria. When planning assessment and evidence collection for this unit, centres should consider the nature and sources of evidence required to support the end-point assessment.

Learners must be given a clear assessment brief before the assessment takes place, detailing:

- the assessment activity and context
- the learning outcome(s) to be assessed
- the criteria they are expected to meet
- the time and duration of the assessment.

Wherever possible, centres should adopt a holistic and integrated approach to assessing the skill units in the qualification. This gives the assessment process greater rigour, minimises repetition and saves time. The focus should be on assessment activities generated through naturally occurring evidence in the workplace, rather than focusing on specific tasks. Taken as a whole, the evidence must show that the learner meets all learning outcomes and assessment criteria over a period of time. It should be clear in the assessment records where each learning outcome and assessment criterion has been covered and achieved.

Please refer to our guidance on selecting suitable assessment activities for the skills units, available on our website.

# Unit 11: Managing Own Performance

<b>Level:</b>	<b>5</b>
<b>Unit type:</b>	<b>Skills</b>
<b>Guided learning hours:</b>	<b>18</b>

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## Unit introduction

Success as a manager requires the development of both professional and personal skills that support working effectively in the interests of the business. If you continuously develop your skills and knowledge, this will help you to be fully prepared to achieve goals or to approach changes in the workplace.

This unit focuses on the activities that underpin the development of personal and professional skills. In this unit, you will have the opportunity to identify and evaluate your own personal and professional development needs, in the context of current thinking in the management world.

Having conducted a comprehensive self-assessment and impact study, you will look at the benefits of creating a personal development plan (PDP) and set your own targets to create such a plan for yourself. You will go on to experience the value of constructive feedback, and review and monitor your progress as you implement your personal professional development plan.

You will also have the opportunity to demonstrate a range of skills in time management, prioritisation and organisation, showing your ability to work effectively to meet the needs of your employer.

## Learning outcomes and assessment criteria

To pass this unit, the learner needs to demonstrate that they can meet all the learning outcomes for the unit. The assessment criteria determine the standard required to achieve the unit.

Learning outcomes		Assessment criteria	
1	Be able to reflect on own performance, working style and personal development needs	1.1	Conduct self-assessment of performance and working style, using a range of sources and appropriate tools, techniques and criteria
		1.2	Reflect on self-assessment of performance and working style, evaluating the positive and negative impacts on own team and other stakeholders, and identifying actions/changes accordingly
		1.3	Assess the benefits of planning own professional development
		1.4	Analyse trends and developments in management that influence the need for professional development
2	Be able to create a personal development plan	2.1	Agree professional development objectives that are consistent with business needs and own personal goals
		2.2	Produce a personal development plan to support achievement of agreed short-, medium- and long-term learning and development needs
		2.3	Execute the plan within the agreed budget and timescale
		2.4	Take advantage of development opportunities made available by professional networks or professional bodies
		2.5	Amend the personal development plan in the light of feedback received from others
3	Be able to use time management and prioritisation techniques effectively	3.1	Justify the selection of time management and prioritisation techniques to plan, manage and prioritise own work tasks
		3.2	Demonstrate relevant organisational skills and techniques appropriately, in order to achieve workplace deadlines
		3.3	Demonstrate appropriate behaviours in managing time and workload in line with organisational requirements

## Unit content

What needs to be learned
<p><b>Learning outcome 1: Be able to reflect on own performance, working style and personal development needs</b></p>
<p><b>1A Self-assessment of performance and working style</b></p> <ul style="list-style-type: none"><li>• Sources, including managers, team members, other stakeholders.</li><li>• Tools and techniques, e.g. online personality and working styles assessments, performance assessments and reports.</li><li>• Criteria, including job description, role objectives.</li><li>• Benefits of planning own professional development: allocating resources, being ready to take opportunities that arise, attracting support of others, opportunity for reflection and research, increasing own commitment, increasing own employability, contributing to own work effectiveness, supporting achievement of business objectives.</li><li>• Trends and developments in management influencing the need for professional development:<ul style="list-style-type: none"><li>○ collective leadership and staff empowerment</li><li>○ diversity and inclusion in management</li><li>○ talent management</li><li>○ knowledge management</li><li>○ innovation</li><li>○ SWOT</li><li>○ self-awareness study</li><li>○ psychometric tools</li><li>○ management tools (360-degree feedback, employee engagement surveys, appraisals and skills gap).</li></ul></li></ul>
<p><b>Learning outcome 2: Be able to create a personal development plan</b></p>
<p><b>2A Personal development plan</b></p> <ul style="list-style-type: none"><li>• Professional development objectives, as required by organisation and agreed with managers; personal input.</li><li>• Impact of personal factors: own values, e.g. congruence of individual and organisational values, impact of congruence on commitment and work satisfaction; career goals, e.g. promotion, remuneration, professional qualification.</li></ul>

## What needs to be learned

- Personal goals, e.g. job satisfaction, fulfilment, work-life balance, social interaction with colleagues, goal congruence leads to improved morale, high performance standards, high levels of motivation.
- Producing a personal development plan:
  - analysing current job role requirements, including knowledge, understanding, skills
  - analysing requirements of aspirational role
  - use of tools such as skills audits, personal SWOT (strengths, weaknesses, opportunities, threats)
  - determining priorities
  - setting learning objectives in SMART form (specific, measurable, achievable, relevant, time-bound)
  - determining activities to achieve learning objectives.
- Prioritising development activities – urgent versus important:
  - urgent factors, e.g. organisational objectives, own current job role requirements, skill shortage
  - important factors, e.g. work towards long-term career objectives, development needed to fulfil medium/long-term organisational objectives.
- Effectiveness of development activities: Kirkpatrick's four levels of evaluation model (reaction of the learner to the training, learning or increase in knowledge, behaviour or capability improvement, results or effect on the business).

### **Learning outcome 3: Be able to use time management and prioritisation techniques effectively**

#### **3A Time management and prioritisation techniques**

- Time management – the ability to plan and control how someone spends the hours in a day to effectively accomplish their goals.
- Techniques: Action Priority Matrix, the Eisenhower Urgent/Important Principle, the 4 Ds of Time Management (delete, delegate, defer, do).
- Organisational skills, including creating and keeping to deadlines, delegation, goal setting and meeting goals, decision making, managing appointments and schedules.
- Appropriate behaviours, including flexibility, being proactive, personal resilience and ability to cope.

## Essential information for tutors and assessors

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### Essential resources

There are no special resources needed for this unit.

### Assessment

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This unit is expected to be assessed in the real working environment where the evidence is naturally occurring and is collected over a period of time.

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## 13 Suggested teaching resources

This section lists resource materials that can be used to support the delivery of the units across the qualifications.

### Textbooks

Adair J – *The Concise Time Management and Personal Development* (Thorogood, 2003)  
ISBN 9781854182234

Adair J – *The Inspirational Leader: How to Motivate, Encourage and Achieve Success*  
(Kogan Page, 2009) ISBN 9780749454784

Armstrong M and Baron A – *Managing Performance: Performance Management in Action (Developing Practice)*, 2nd edition  
(Chartered Institute of Personnel and Development, 2004) ISBN 9781843981015

Barker S – *Brilliant Project Management* (Pearson Business, 2014)  
ISBN 9781292083230

Belbin R M – *Management Teams: Why They Succeed or Fail*, 3rd edition  
(Routledge, 2010) ISBN 9781856178075

Bennis W and Goldsmith J – *Learning to Lead*, 4th edition (Basic Books, 2010)  
ISBN 9780465018864

Boddy D – *Management: An Introduction*, 6th edition (Pearson, 2013)  
ISBN 9781292004242

Bowhill B – *Business Planning and Control: Integrated Accounting, Strategy and People*  
(John Wiley and Sons, 2008) ISBN 9780470061770

Brandon-Jones A, Slack N and Johnson R – *Operations Management*, 8th edition  
(Pearson Education, 2016) ISBN 9781292098678

Cameron E and Green M – *Making Sense of Change Management: A Complete Guide to the Models, Tools and Techniques of Organizational Change*, 4th edition  
(Kogan Page, 2015) ISBN 9780749472580

Clutterbuck D and Hirst S – *Talking Business: Making Communication Work*  
(Butterworth-Heinemann, 2003) ISBN 9780750654999

Dyson J – *Accounting for Non-Accounting Students*, 9th edition (Pearson, 2017)  
ISBN 9781292128979

Evans V – *FT Essential Guide to Developing a Business Strategy: How to Use Strategic Planning to Start Up or Grow Your Business* (FT Publishing International, 2013)  
ISBN 9781292002613

Graham N – *Project Management Checklists for Dummies* (John Wiley & Sons, 2014)  
ISBN 9781118931431

Harvard Business School Press – *Harvard Business Review on Making Smart Decisions* (Harvard Business Review Press, 2011) ISBN 9781422172391

Haugan G T – *Project Planning and Scheduling* (Kogan Page, 2002) ISBN 9781567261363

Holtz S – *Corporate Conversations: A Guide to Crafting Effective and Appropriate Internal Communications* (Amacom, 2003) ISBN 9780814407707

Hutchinson S – *Performance Management: Theory and Practice* (Chartered Institute of Personnel and Development, 2013) ISBN 9781843983057

Jones P and Robinson P – *Operations Management* (OUP, 2012) ISBN 9780199593583

Lewis J P – *Project Planning, Scheduling, and Control: The Ultimate Hands-On Guide to Bringing Projects in On Time and On Budget*, 5th edition (McGraw-Hill Professional, 2010) ISBN 9780071746526

Lloyd K – *Performance Appraisals and Phrases for Dummies* (John Wiley & Sons, 2009) ISBN 9780470498729

Manwani S – *IT-Enabled Business Change: Successful Management* (British Computer Learning and Development, 2008) ISBN 9781902505916

Maxwell J C – *5 Levels of Leadership: Proven Steps to Maximise your Potential* (Center Street, 2013) ISBN 9781599953632

McClave H J – *Communication for Business* (Gill & Macmillan, 2008) ISBN 9780717144556

McKenzie F – *Financial Times Guide to Using and Interpreting Company Accounts*, 4th edition (Financial Times/Prentice Hall, 2009) ISBN 9780273723967

Meggison D and Whitaker V – *Continuing Professional Development*, 2nd edition (CIPD, 2007) ISBN 9781843981664

Monahan K – *How Behavioural Economics Influences Management Decision Making: A New Paradigm – Perspectives in Behavioural Economics and the Economics of Behaviour* (Elsevier Science, 2018) ISBN 9780128135310

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## **Journals**

*Academy of Management Perspectives* (Academy of Management) – articles on many management topics, including culture and values

*Accountancy Age* (Incisive Financial Publishing Limited) – articles on financial management

*Accounting Technician* (Association of Accounting Technicians) – articles on financial management and control

*Business Strategy Review* (John Wiley and Sons) – articles on culture and values

Campbell V and Hirsh W – *Talent Management: A Four-Step Approach* (IES Report 502, 2013) ISBN 9781851844500 – article available from IES website

*Harvard Business Review* (Harvard Business Publishing) – articles on culture and values

*Leader to Leader* (Leader to Leader Institute)

*Management Today* (Haymarket Media Group Ltd) – articles on management topics from the Chartered Management Institute

*People Management* (Chartered Institute of Personnel and Development) – articles on managing people

*Professional Manager* (Chartered Management Institute) – a bi-monthly publication

*Project Management Journal* (Project Management Institute)

Tamkin P and Robinson D – *Teams and the engaging manager* (IES Report 491, 2012)

## Websites

<a href="http://www.acas.org.uk">www.acas.org.uk</a>	Information on workplace-related issues; includes advisory booklet <i>How to manage performance</i>
<a href="http://www.accountancyage.com">www.accountancyage.com</a>	Accountancy news and information
<a href="http://www.accountingtechnician.co.uk">www.accountingtechnician.co.uk</a>	Association of Accounting Technicians: accounting news, information and case studies
<a href="http://www.apm.org.uk">www.apm.org.uk</a>	The Association for Project Management
<a href="http://www.bbc.co.uk/podcasts/series/worldbiz/all">www.bbc.co.uk/podcasts/series/worldbiz/all</a>	The World of Business podcasts and downloads, chaired by Peter Day
<a href="http://www.belbin.com">www.belbin.com</a>	Belbin's team roles theory
<a href="http://www.bis.gov.uk">www.bis.gov.uk</a>	Department for Business, Innovation and Skills: tools and guidance for running a business
<a href="http://www.businessballs.com">www.businessballs.com</a>	Free resources on all aspects of leadership, team leadership, management roles and personal development planning
<a href="http://www.businesscasestudies.co.uk">www.businesscasestudies.co.uk</a>	The Times 100: Financial case studies
<a href="http://www.cimaglobal.com">www.cimaglobal.com</a>	Chartered Institute of Management
<a href="http://www.cipd.co.uk">www.cipd.co.uk</a>	The Chartered Institute of Personnel and Development: material on continuing professional development and performance management – a recommended publication is <i>Performance Management: an overview</i>
<a href="http://www.frc.org.uk">www.frc.org.uk</a>	Financial Reporting Council: information on accounting standards
<a href="http://www.gov.uk">www.gov.uk</a>	The UK Government portal: guidance on law that affects businesses, specific human resource management guidance and guidance on the Equality Act 2010

<a href="http://www.hbsp.harvard.edu">www.hbsp.harvard.edu</a>	Harvard Business Review: numerous articles on culture and values
<a href="http://www.leadership-studies.com">www.leadership-studies.com</a>	Overview of leadership theories and models
<a href="http://www.managementhelp.org">www.managementhelp.org</a>	The Free Management Library: information on leadership and management subjects
<a href="http://www.managers.org.uk">www.managers.org.uk</a>	Chartered Institute of Management: practical advice on management issues with a range of online resources on management topics. Membership is required to access the materials
<a href="http://www.mindtools.com/pages/main/communication_skills.htm">www.mindtools.com/pages/main/communication_skills.htm</a>	Articles and other resources on numerous aspects of workplace communication and relationships
<a href="http://www.pmtoday.co.uk">www.pmtoday.co.uk</a>	Project managers' magazine

## 14 Further information and useful publications

To get in touch with us visit our 'Contact us' pages:

- Edexcel, BTEC and Pearson Work Based Learning contact details:  
[qualifications.pearson.com/en/support/contact-us.html](http://qualifications.pearson.com/en/support/contact-us.html)
- books, software and online resources for UK schools and colleges:  
[www.pearsonschoolsandfecolleges.co.uk](http://www.pearsonschoolsandfecolleges.co.uk)

Key publications:

- *Access arrangements and reasonable adjustments* (Joint Council for Qualifications (JCQ))
- *A guide to recruiting with integrity and enrolling learners onto qualifications* (Pearson)
- *A guide to the special consideration process* (JCQ)
- *BTEC Centre Guide to Managing Quality* (Pearson)
- *BTEC UK Quality Assurance Centre Handbook*
- *Collaborative and consortium arrangements for the delivery of vocational qualifications policy* (Pearson)
- *Enquiries and appeals about Pearson vocational qualifications and end point assessment policy* (Pearson)
- *Equality and diversity policy* (Pearson)
- *Recognition of prior learning policy and process* (Pearson)
- *Supplementary guidance for reasonable adjustment and special consideration in vocational internally assessed units* (Pearson)
- *Suspected malpractice in examinations and assessments - Policies and procedures* (JCQ)
- *UK Information Manual* (Pearson)
- *Use of languages in qualifications policy* (Pearson).

All of these publications are available on our website.

Publications on the quality assurance of BTEC qualifications are also available on our website.

Our publications catalogue lists all the material available to support our qualifications. To access the catalogue and order publications, please visit our website.

### **Additional resources**

If you need further learning and teaching materials to support planning and delivery for your learners, there is a wide range of BTEC resources available.

Any publisher can seek endorsement for their resources and, if they are successful, we will list their BTEC resources on our website.

# 15 Professional development and training

Pearson supports UK and international customers with training related to BTEC qualifications. This support is available through a choice of training options offered on our website.

The support we offer focuses on a range of issues, such as:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing learner-centred learning and teaching approaches
- building in effective and efficient quality assurance systems.

The national programme of training we offer is on our website. You can request centre-based training through the website or you can contact one of our advisers in the Training from Pearson UK team via Customer Services to discuss your training needs.

## **BTEC training and support for the lifetime of the qualifications**

**Training and networks:** our training programme ranges from free introductory events through sector-specific opportunities to detailed training on all aspects of delivery, assignments and assessment. We also host some regional network events to allow you to share your experiences, ideas and best practice with other BTEC colleagues in your region.

**Regional support:** our team of Curriculum Development Managers and Curriculum Support Consultants, based around the country, are responsible for providing advice and support in centres. They can help you with planning and curriculum developments.

To get in touch with our dedicated support teams please visit our website.

## **Your Pearson support team**

Whether you want to talk to a sector specialist, browse online or submit your query for an individual response, there's someone in our Pearson support team to help you whenever – and however – you need:

- **Subject Advisors:** find out more about our subject advisor team – immediate, reliable support from a fellow subject expert
- **Ask the Expert:** submit your question online to our Ask the Expert online service and we will make sure your query is handled by a subject specialist.

Please visit our website at [qualifications.pearson.com/en/support/contact-us.html](https://qualifications.pearson.com/en/support/contact-us.html)

## Annexe A

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### Mapping of the Operations/Departmental Manager Apprenticeship Standard to the qualification content

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The grid below maps the knowledge, skills and behaviours (KSBs) of the Operations/Departmental Manager Apprenticeship Standard to the content covered in the Pearson BTEC Level 5 Certificate/Diploma for Managers and Leaders.

#### KEY

# indicates coverage of the knowledge, skills or behaviours in the qualification.

A blank space indicates no coverage of the knowledge, skills or behaviours in the qualification.

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
K	<b>Operational Management:</b> Understand operational management approaches and models, including creating plans to deliver objectives and setting KPIs. Understand business development tools (e.g. SWOT), and approaches to continuous improvement. Understand operational business planning techniques, including how to manage resources, development of sales and marketing plans, setting targets and monitoring performance. Knowledge of management systems, processes and contingency planning. Understand how to initiate and manage change by identifying barriers and know how to overcome them. Understand data security and management, and the effective use of technology in an organisation.		#	#								
K	<b>Project Management:</b> Know how to set up and manage a project using relevant tools and techniques, and understand process management. Understand approaches to risk management.				#							

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
K	<b>Finance:</b> Understand business finance: how to manage budgets, and financial forecasting.		#									
K	<b>Leading People:</b> Understand different leadership styles, how to lead multiple and remote teams and manage team leaders. Know how to motivate and improve performance, supporting people using coaching and mentoring approaches. Understand organisational cultures and diversity and their impact on leading and managing change. Know how to delegate effectively.	#										
K	<b>Managing People:</b> Know how to manage multiple teams, and develop high-performing teams. Understand performance management techniques, talent management models and how to recruit and develop people.					#						

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
K	<b>Building Relationships:</b> Understand approaches to partner, stakeholder and supplier relationship management including negotiation, influencing, and effective networking. Knowledge of collaborative working techniques to enable delivery through others and how to share best practice. Know how to manage conflict at all levels.						#					

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
K	<b>Communication:</b> Understand interpersonal skills and different forms of communication and techniques (verbal, written, non-verbal, digital) and how to apply them appropriately.						#					
K	<b>Self-awareness:</b> Understand own impact and emotional intelligence. Understand different learning and behaviour styles.							#				
K	<b>Management of Self:</b> Understand time management techniques and tools, and how to prioritise activities and the use of different approaches to planning, including managing multiple tasks.							#				
K	<b>Decision Making:</b> Understand problem-solving and decision-making techniques, including data analysis.  Understand organisational values and ethics and their impact on decision making.		#					#				

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
S	<p><b>Operational Management:</b> Able to input into strategic planning and create plans in line with organisational objectives.</p> <p>Support, manage and communicate change by identifying barriers and overcoming them. Demonstrate commercial awareness, and able to identify and shape new opportunities. Creation and delivery of operational plans, including setting KPIs, monitoring performance against plans. Producing reports, providing management information based on the collation, analysis and interpretation of data.</p>								#			
S	<p><b>Project Management:</b> Plan, organise and manage resources to deliver required outcomes. Monitor progress, and identify risks and their mitigation. Able to use relevant project management tools.</p>										#	
S	<p><b>Finance:</b> Able to monitor budgets and provide reports, and consider financial implications of decisions and adjust approach/recommendations accordingly.</p>								#			

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
S	<p><b>Leading People:</b> Able to communicate organisational vision and goals and how these to apply to teams.</p> <p>Support development through coaching and mentoring, and enable and support high performance working. Able to support the management of change within the organisation.</p>									#		
S	<p><b>Managing People:</b> Able to manage talent and performance. Develop, build and motivate teams by identifying their strengths and enabling development within the workplace. Able to delegate and enable delivery through others.</p>									#		
S	<p><b>Building Relationships:</b> Able to build trust, and use effective negotiation and influencing skills and manage conflict.</p> <p>Able to identify and share good practice, and work collaboratively with others both inside and outside of the organisation. Use of specialist advice and support to deliver against plans.</p>									#		

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
S	<b>Communication:</b> Able to communicate effectively (verbal, non-verbal, written, digital) and be flexible in communication style. Able to chair meetings and present using a range of media. Use of active listening, and able to challenge and give constructive feedback.									#		
S	<b>Self-Awareness:</b> Able to reflect on own performance, working style and its impact on others.											#
S	<b>Management of Self:</b> Able to create a personal development plan. Use of time management and prioritisation techniques.											#
S	<b>Decision Making:</b> Able to undertake critical analysis and evaluation to support decision making. Use of effective problem-solving techniques.								#		#	

BTEC Professional units		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8	Unit 9	Unit 10	Unit 11
KSBs from the Apprenticeship Standard												
B	<b>Takes responsibility:</b> Drive to achieve in all aspects of work. Demonstrates resilience and accountability. Determination when managing difficult situations. Seeks new opportunities.								#	#	#	#
B	<b>Inclusive:</b> Open, approachable, authentic, and able to build trust with others. Seeks the views of others and values diversity.									#		
B	<b>Agile:</b> 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 for change. Open to new ways of working.								#		#	
B	<b>Professionalism:</b> Sets an example, and is fair, consistent and impartial. Open and honest. Operates within organisational values.									#		

### Glossary of verbs used in the assessment criteria for knowledge and understanding

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#### **Review**

Formally assess work that has been produced, in order to make judgements about whether ideas are good and to make suggestions about improvements and changes.

#### **Describe**

Give a clear account in their own words, including all the relevant information (e.g. qualities, characteristics or events, etc.). The description will show recall and in some cases application. Normally requires breadth of content coverage.

#### **Explain**

Provide details and give reasons, examples and/or evidence to support an argument or point.

#### **Outline**

A description setting out the main characteristics or points; write a clear description but without going into too much detail.

#### **Justify**

Support an opinion or prove something is right or reasonable using reasons and/or evidence.

#### **Analyse**

A methodical and detailed examination of a theme, topic or situation. This includes breaking down in order to interpret and study the interrelationships between the parts.

#### **Evaluate**

Bring together all information and review it to form a conclusion. The conclusion will draw on evidence that includes strengths, weaknesses, alternative actions, relevant data and concepts. A judgement must be made.

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