Pearson
BTEC Level 3 Certificate and Diploma for Managers

Specification

BTEC Specialist qualifications

First teaching March 2019

Issue 2

Edexcel, BTEC and LCCI qualifications

Edexcel, BTEC and LCCI qualifications are awarded by Pearson, the UK's largest awarding body offering academic and vocational qualifications that are globally recognised and benchmarked. For further information, please visit our qualification websites at www.edexcel.com, www.btec.co.uk or www.lcci.org.uk. Alternatively, you can get in touch with us using the details on our contact us page at qualifications.pearson.com/contactus

About Pearson

Pearson is the world's leading learning company, with 35,000 employees in more than 70 countries working to help people of all ages to make measurable progress in their lives through learning. We put the learner at the centre of everything we do, because wherever learning flourishes, so do people. Find out more about how we can help you and your learners at qualifications.pearson.com

Summary of Pearson BTEC Level 3 Certificate and Diploma for Managers Issue 1 to Issue 2 changes

Summary of changes made between previous Issue 1 and current Issue 2	Page number
Unit 1: Principles of Leadership, insert of additional assessment criteria 3.4 to learning outcome 3	32
Unit 1: Principles of Leadership, insert of additional assessment criteria 5.4 to learning outcome 5	33

Earlier issue(s) show(s) previous changes.

If you need further information on these changes or what they mean, contact us via our website at: qualifications.pearson.com/en/support/contact-us.html.

Contents

1 Introducing BTEC Specialist qualifications

What are BTEC Specialist qualifications?

BTEC Specialist qualifications are work-related qualifications available from Entry to Level 3 in a range of sectors. They give learners the knowledge, understanding and skills they need to prepare for employment in a specific occupational area. The qualifications also provide career development opportunities for those already in work.

BTEC Specialist qualifications put learning into the context of the world of work, giving learners the opportunity to apply their research, skills and knowledge in relevant and realistic work contexts. This applied, practical approach means learners develop the knowledge, understanding and skills they need for career progression or further study. As such, these qualifications are well-suited to support the delivery of the Apprenticeship Standards.

The qualifications may be offered as full-time or part-time courses in schools, colleges, training centres and through employers.

Sizes of BTEC Specialist qualifications

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 Specialist 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 3 Certificate for Managers
Qualification Number (QN)	603/4160/9
Regulation start date	19/02/2019
Operational start date	01/03/2019
Approved age ranges	16–18 18+ 19+ Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please see *Section 6 Access and recruitment*.
Total qualification time (TQT)	296 hours
Guided learning hours (GLH)	165
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 also follow the information in our document, *A guide to recruiting with integrity and enrolling learners onto qualifications* (see *Section 6 Access and recruitment*).
Funding	Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Skills Funding Agency also publishes a funding catalogue that lists the qualifications available for 19+ funding. The Apprenticeship funding rules can be found at www.gov.uk

Qualification title	Pearson BTEC Level 3 Diploma for Managers
Qualification Number (QN)	603/4161/0
Regulation start date	19/02/2019
Operational start date	01/03/2019
Approved age ranges	16–18

18+

19+

Please note that sector-specific requirements or regulations may prevent learners of a particular age from embarking on this qualification. Please see *Section 6 Access and recruitment*. |
Total qualification time (TQT)	430 hours
Guided learning hours (GLH)	260
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, learners will need to be on an apprenticeship programme, or be otherwise employed in a first line management role with operational/project responsibilities or responsibility for managing a team to deliver a clearly defined outcome.

Centres must also follow the information in our document, *A guide to recruiting with integrity and enrolling learners onto qualifications* (see *Section 6 Access and recruitment*). |
| Funding | Qualifications eligible and funded for post-16-year-olds can be found on the funding Hub. The Skills Funding Agency also publishes a funding catalogue that lists the qualifications available for 19+ funding.

The Apprenticeship funding rules can be found at www.gov.uk |

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

3 Qualification purpose

Qualification objectives

The Pearson BTEC Level 3 Certificate and Diploma for Managers are for learners working or who are intending to work in, first line management roles, such as a team leader or supervisor. Their key responsibilities are likely to include: supporting, managing and developing team members, managing projects, planning and monitoring workloads and resources, delivering operational plans, resolving problems, and building relationships internally and externally.

The Pearson BTEC Level 3 Certificate for Managers is designed to support the off-the-job training and development of learners on the Team Leader/Supervisor apprenticeship programme by helping them to develop and apply the technical and behavioural knowledge and understanding required to become competent and successful in a first line management job role.

It is also suitable for non-apprenticeship learners, who may or may not be in employment, who want to develop technical knowledge to prepare for employment or progress their career by achieving a recognised qualification based on current employer recognised standards.

The qualifications give learners the opportunity to:

- develop the technical and theoretical knowledge and understanding that underpins competence in a first line management job role

- learn about a range of transferable skills and professional attributes that support successful performance as a first line manager

- achieve a nationally recognised Level 3 qualification

- develop confidence and readiness for the apprenticeship end-point assessment

- develop personal growth and engagement in learning.

The Pearson BTEC Level 3 Diploma for Managers extends the learning from the Certificate-size qualification to include the development of practical work-based skills and behaviours. It is designed to support both off-the-job and on-the-job training, and the development of learners on the Team Leader/Supervisor apprenticeship programme. The qualification helps these learners to develop and demonstrate the technical knowledge and understanding, and skills and behaviours they need to become competent and successful in a first line management job role.

The Diploma qualification is also suitable for non-apprenticeship learners in employment, who wish to upskill or progress their career by achieving a recognised qualification based on current employer recognised standards.

The qualification gives learners the opportunity to:

- develop the technical and theoretical knowledge, and understanding that underpins competence in a first line management job role
- develop and demonstrate a range of transferable skills and professional behaviours and attributes in the work environment
- develop and demonstrate a range of technical management skills to carry out their job role successfully in the work environment
- achieve a nationally recognised Level 3 qualification
- develop confidence and readiness for the apprenticeship end-point assessment
- develop personal growth and engagement in learning.

Apprenticeships

The qualifications in this specification are not a mandatory requirement of the Team Leader/Supervisor Apprenticeship; however, as they are aligned to the Standard, they provide structure for the:

- off-the-job training element of the apprenticeship (Certificate)
- full on-programme training element of the apprenticeship (Diploma);

and build the foundation for learners to develop occupational competence in the job role.

Annexe A shows how the knowledge, skills and behaviours (KSBs) from the Apprenticeship Standard are covered in the qualifications.

Progression opportunities

Learners who achieve the Certificate or Diploma qualification, and who have also met the specified on-programme requirements of the Apprenticeship Standard, can progress to end-point assessment. They will achieve the full Apprenticeship certification that confirms competency in first line management roles, such as supervisor, team leader, project officer, shift supervisor, foreperson, shift manager.

With further training and development, learners can progress to more senior management roles, such as operational or departmental manager. On completing the Apprenticeship, learners can choose to register as associate members with a relevant management and leadership professional body in order to support their professional career development and progression.

4 Qualification structures

Pearson BTEC Level 3 Certificate for Managers

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of units that must be achieved	6
Number of guided learning hours that must be achieved	165

Unit number	Mandatory units	Level	Guided learning hours
1	Principles of Leadership	3	25
2	Principles of Managing Operations and Budgets	3	30
3	Principles of Managing People	3	25
4	Principles of Communication and Relationship Management	3	30
5	Principles of Project Management	3	25
6	Understanding Personal Effectiveness as a Manager	3	30

Pearson BTEC Level 3 Diploma for Managers

The learner will need to meet the requirements outlined in the table below before Pearson can award the qualification.

Minimum number of units that must be achieved	12
Number of guided learning hours that must be achieved	260

Unit number	Mandatory units	Level	Guided learning hours
1	Principles of Leadership	3	25
2	Principles of Managing Operations and Budgets	3	30
3	Principles of Managing People	3	25
4	Principles of Communication and Relationship Management	3	30
5	Principles of Project Management	3	25
6	Understanding Personal Effectiveness as a Manager	3	30
7	Leading and Developing People	3	17
8	Managing Individuals and a Team to Achieve Results	3	16
9	Managing Operations and Budgets	3	20
10	Communicating and Building Relationships with Others	3	17
11	Managing Projects	3	15
12	Managing Personal Effectiveness in a Management Role	3	10

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 qualification(s).

- Centres must have appropriate physical resources (for example IT learning materials, teaching rooms) to support the delivery and assessment of the qualification(s).

- Staff involved in the assessment process (assessors and internal verifiers) must have relevant expertise and occupational experience. This includes having:

  o current (within the last three years) occupational experience appropriate to the level and breadth of subject areas of the qualification(s) units being assessed

  o 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

  o a relevant qualification in assessment (e.g. Level 3 Award in Assessing Competence in the Work Environment) and/or internal quality assurance **or** current (within the last three years) experience of assessing and/or internal verification appropriate and relevant to the level and subject area of the qualification(s) units

  o evidence of continuing professional development (CPD), which may include the achievement of qualifications relevant to the areas being assessed.

- There must be systems in place that ensure continuing professional development (CPD) for staff delivering the qualification(s).

- 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 the Work-based Learning Quality Assurance page 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

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 have 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 our Pearson Equality and diversity policy, which can be found in the support section of our website.

Prior knowledge, skills and understanding

No prior knowledge, understanding, skills or qualifications are required for learners to register for these qualifications. For the Diploma-sized qualification, learners will need to be on an apprenticeship programme, or be otherwise employed in a first line management role with operational/project responsibilities or responsibility for managing a team to deliver a clearly defined outcome.

Access to qualifications for learners with disabilities or specific needs

Equality and fairness are central to our work. Our *Equality, diversity and inclusion policy* document requires all learners to 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 occupation

- 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

- 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 separate 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

The table below gives a summary of the assessment methods used in the qualifications.

Units	Assessment method
All units	Internal assessment (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

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 refer to *Reasonable adjustments* later in this section.

Internal assessment – knowledge units

All knowledge 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 through assignments

For the knowledge 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

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.

Recommended assignments are provided in the *Further information for tutors and assessors* section of each 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.

- 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.

Providing an assignment brief

A good assignment brief is one that, through providing challenging and realistic tasks, motivates learners to provide appropriate evidence of what they have learned. An assignment brief should include:

- a vocational scenario, context, or application for the tasks to be completed

- clear instructions to the learner about what they are required to do – normally set out through a series of tasks

- an audience or purpose for which the evidence is being provided.

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.

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 Work-based Learning Quality Assurance page on our website.

Making valid assessment decisions

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. 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 are expected to create 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.

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.

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. As a matter of best practice, it is recommended that centres apply the BTEC Firsts and Nationals retake and resubmission rules; however as these rules are not mandatory for BTEC Specialist programmes at Entry Level to Level 3 they do not need to be applied

Internal assessment - skills units

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 where a real work context doesn't provide the opportunity for assessment, e.g. 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 its *Assessment* section. Further guidance on the requirements for centre quality assurance and internal verification processes is available on our website at: qualifications.pearson.com.

Administrative arrangements for internal assessment

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 Pearson 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 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

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 our document *Centre guidance: Dealing with malpractice and maladministration in vocational qualifications*, available on our website.

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) 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.

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) with supporting documentation to 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:

- 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) who will inform you of the next steps.

9 Recognising prior learning and achievement

Recognition of Prior Learning

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 Specialist 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

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 Specialist 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 qualification 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 Specialist qualification alongside other qualifications related to the same 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.*

12 Units

Each unit in the specification is set out 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.

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 these activities 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 and understanding 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* – for the knowledge units, it provides recommended assignments and suitable sources of evidence for each learning outcome. This section 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

Level: 3

Unit type: Knowledge

Guided learning hours: 25

Unit introduction

As a manager, your role will involve leading a team to deliver the organisation's strategy successfully. The overall performance of the team often depends on the style of leadership the manager uses, the atmosphere of the environment in which the team is working and the skills, abilities and morale of the team and individual team members. Change is constant in organisations and it is the manager's responsibility to manage change in their team and lead their team successfully through changes.

In this unit, you will look at different leadership styles and consider which style to adopt in different work situations. You will also look at the importance of adapting leadership styles to different situations to provide effective leadership. You will examine different organisational cultures, the factors affecting organisational cultures and your role as a leader in creating a strong, healthy culture that enables your team to perform well. Alongside the cultural aspects in the work environment there are also considerations of equality, diversity and inclusion. This unit will allow you to look closely at the legal requirements and responsibilities of employers under current legislation, potential consequences of non-compliance, the benefits of an inclusive working environment and how organisations can create an inclusive working environment.

Developing team members is an important aspect of leading a team. This unit explores how coaching and delegation can be used to develop team members and the practicalities of using these approaches to support development.

Finally, you will look at the impact of change, the importance of effective leadership in implementing change and the recognised principles and practice of managing a team through change effectively.

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 styles and their use in different work contexts	1.1	Analyse different styles of leadership used in organisations
		1.2	Assess the suitability of different leadership styles to different work situations
		1.3	Explain the need to adjust leadership style to different work situations
2	Understand organisational cultures and the role of managers in developing culture	2.1	Assess the relevance of different types of organisational cultures to a specific organisational context
		2.2	Explain how different internal and external factors influence organisational culture
		2.3	Explain the value of a strong, healthy organisational culture and how managers can contribute to creating this
3	Understand the need for equality, diversity and inclusion in the workplace	3.1	Explain the difference between the terms 'equality', 'diversity' and 'inclusion'
		3.2	Describe the requirements and responsibilities of employers under current equality legislation and the potential consequences of non-compliance
		3.3	Describe working practices that organisations can use to create an inclusive work environment
		3.4	Outline the benefits of an inclusive working environment to an organisation
4	Understand how coaching and delegation can be used to support the development	4.1	Outline the benefits of using coaching to support the development of individuals in the workplace
		4.2	Describe the different models that can be used to structure coaching sessions effectively
		4.3	Explain how delegation can support the development of individuals in the workplace

Learning outcomes		Assessment criteria	
	of individuals in the workplace	4.4	Describe best practices for using delegation to effectively support the development of individuals in the workplace
5	Understand the principles and practices of managing change within a team	5.1	Explain the need for effective leadership when implementing change in a team
		5.2	Compare change management models used to manage change in organisations
		5.3	Describe strategies that can be used to lead and support a team through change
		5.4	Explain how to manage the risks associated with change

Unit content

What needs to be learned
Learning outcome 1: Understand different leadership styles and their use in different work contexts

1A   Leadership styles and their characteristics

- The difference and relationship between leadership and management (influencing and inspiring people and giving them a sense of direction and purpose versus planning, organising, directing and controlling resources to complete tasks and activities).

- Definition, characteristics and negative and positive impact of different leadership styles:

  o autocratic
  o paternalistic
  o democratic
  o laissez-faire.

1B   Appropriate leadership styles in different work situations

- Factors affecting the suitability and use of different leadership styles, including:

  o competence, proficiency and experience of the team or leader (multi-skilled, new or untrained staff)
  o stage of team development – team dynamics
  o nature of the work
  o time and resource constraints
  o organisational culture
  o organisational environment/context, e.g. ongoing changes in structure, downsizing, large teams, corporate crisis or actual emergency etc.

- Main benefit of adapting leadership styles with reference to effective leadership and meeting the needs of individuals and the team.

- Consequences of ineffective/poor leadership in terms of productivity and team performance, staff morale and turnover, staff development and organisational culture.

What needs to be learned

Learning outcome 2: Understand organisational cultures and the role of managers in developing culture

2A   Meaning, importance and types of organisational culture

- Definition of organisational (or corporate) culture, i.e. system of shared assumptions, values and beliefs which govern how people behave in an organisation.

- Dominant culture versus subcultures: impact of subcultures.

- Characteristics, strengths, weaknesses and impact on individuals and teams of different types of organisational culture:

  o Power, Role, Task and Person cultures (Charles Handy (1999))
  o Clan, Hierarchical, Market and Advocacy cultures (Competing Values Framework).

- Importance of a strong, healthy organisational culture in terms of creating brand identity, driving day-to-day operations, staff morale and wellbeing, staff retention and performance.

2B   Influences on organisational culture

- Key influences on organisational culture and why and how they impact, including:

  o internal factors, including history of the organisation, nature of its business, its goals and objectives, organisational structure, its size and geographical location of the organisation, management style and the staff, functional cultures of stakeholders
  o external factors, including political, economic, social, technological, legal, environmental, functional cultures of stakeholders
  o internal stakeholders, including owners, managers and staff
  o external stakeholders, including customer, suppliers, employer bodies, local community and government.

2C   Relationship between leadership and culture

- The manager as a leader and the architect of culture – how managers can create and influence organisational and team culture, including:

  o creating a clear strategic vision
  o role modelling positive behaviours and values in line with the desired culture
  o creating or adapting systems, policies and procedures to align with the new values and desired culture
  o encouraging team behaviour that is aligned to the desired culture
  o building mutual respect and understanding; creating an inclusive work environment.

What needs to be learned

Learning outcome 3: Understand the importance of equality, diversity and inclusion in the workplace

3A   Equality, diversity and inclusion

- Definition of the terms 'equality', 'diversity' and 'inclusion'.

- Distinction between equality, diversity and inclusion and the importance of this.

3B   Responsibilities of employers under current equality legislation

- Nine protected characteristics under current equality legislation: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation.

- Unlawful behaviour under legislation: victimisation, bullying, harassment and discrimination on the basis of protected characteristics:

    o   direct and indirect discrimination.

- Organisational requirements to comply with legislation relating to recruitment, working practices, pay and benefits, facilities and access, career development etc.

- Responsibilities of employers, including informing staff of legal requirements for equality and diversity; checking compliance and adherence; staff training on equality and diversity; making reasonable adjustments to remove barriers; investigating complaints of harassment and discrimination; publishing/reporting required data in a timely manner; taking corrective actions.

- Employers' liabilities – employer's legal responsibility for acts carried out by their employees or agents; impact of reasonable preventative action.

- Consequences of non-compliance, including reputational risk, enforcement actions taken by the regulatory body (e.g. investigations, unlawful act or compliance notices etc.), time and effort in dealing with grievances, cost of legal representation for grievance cases.

What needs to be learned
Learning outcome 3: Understand the importance of equality, diversity and inclusion in the workplace

3C How to create an inclusive working environment
 	
• Working practices that support inclusion, including:
 	
   ○ establishing diversity goals and metrics and implementing action plans to meet these goals
   ○ implementing anti-discrimination policies and establishing corporate values and behavioural standards that reflect diversity and inclusion
   ○ creating employee groups, networks and mentoring programmes to empower employers of diverse backgrounds
   ○ offering unconscious bias and sensitivity training
   ○ challenging and addressing exclusionary behaviours and practices, including stereotyping and tokenism
   ○ making behaviours, programmes and policies regarding inclusion visible, e.g. explicitly rewarding inclusive behaviour, engaging employees in developing policies etc.
 	
• The benefits of an inclusive work environment in terms of organisational reputation and brand, productivity, employee satisfaction and wellbeing, staff retention, innovation and customer experience.

What needs to be learned
Learning outcome 4: Understand how coaching and delegation can be used to support the development of individuals in the workplace

4A Benefits of using coaching to develop individuals

- Definition of coaching and the difference between coaching, mentoring and training.

- Benefits of using coaching to support the development of individuals, including:

  o empowering individuals and encouraging personal development and engagement
  o can be tailored to the individual, their knowledge, experience and learning styles (visual, auditory and kinaesthetic)
  o can focus on the development of specific skills and tasks
  o allows for structured but flexible delivery
  o can generate measurable learning and performance targets.

4B Coaching models

- Different coaching models, their stages and effectiveness in delivering coaching, including:

  o GROW – Goal, Reality, Options, Will/Way forward
  o CLEAR – Contracting, Listening, Exploring, Action, Review
  o FUEL – Frame the conversation, Understand the current state, Explore the desired state, Lay out a plan for success.

4C Delegation and development of individuals

- Definition of delegation and relationship with development, including enabling the development of new skills, honing current skills and abilities, motivating and boosting employee morale, empowerment, creating opportunities for coaching etc.

- When to delegate and when not to delegate:

  o type of tasks that can be delegated, e.g. tasks with clearly defined procedures and expected results, closely related to the delegatee's current work, allows development, can be done better by the delegate etc.
  o type of tasks that should not be delegated, e.g. tasks of highly sensitive nature, not clearly defined or with some uncertainty or requires decision making etc.

- Difference between accountability, responsibility and authority and how they factor into delegation.

What needs to be learned
• Factors to consider when delegating, including deadlines, skills and abilities of potential delegatees, development needs, workload, resistance etc.

Learning outcome 4: Understand how coaching and delegation can be used to support the development of individuals in the workplace

- Best practices in delegating, including:
  - clearly defining outcomes and deadlines
  - providing training and guidance and necessary resources
  - defining level of authority needed to complete and sharing this with relevant others
  - providing support, monitoring progress and providing feedback
  - evaluating performance.

Learning outcome 5: Understand the principles and practices of managing change within a team

5A   Leadership and change

- Types of change: step change, incremental change, planned change, unplanned change.

- Positive and negative responses to change within the team.

- Importance of effective leadership when implementing change within a team, with emphasis on the manager's role of providing direction and driving processes to embed the change and creating a positive and supportive environment to enable the change.

- Consequences of poor leadership in terms of the extent of success of change, impact on working relationships, staff turnover, motivation and morale of work force, and productivity.

5B   How to manage change effectively

- Definition of change management.

- Stages, benefits and limitations of the following change management models:
  - Lewin's 3-Stage Change Model
  - Kotter's 8-Step Change Model
  - Kübler-Ross 5-Stage Model.

- Comparison between the models in terms of whether bottom-up or top-down, employee-focused or organisation-focused, macro- or micro-level and ease of use (simple or complex).

What needs to be learned

Learning outcome 5: Understand the principles and practices of managing change within a team

- Strategies for leading and supporting a team through change, including:

  o assessing change readiness and planning change activities (e.g. training) and support systems
  o using a change management model and leadership style that is suited for the situation
  o communicating effectively – using appropriate verbal and non-verbal communication techniques, active listening, communication techniques
  o demonstrating appropriate personal behaviours, including patience, being honest and transparent (presenting the facts), empathy
  o consulting with the team and other relevant stakeholders in decision making; considering level of commitment of stakeholders (high, medium, low).

5C How to manage risks associated with change

- Types of risk that can occur from change management, including:

  o active and passive resistance to change from employees
  o disruption to the operation of the business
  o risks associated with enforcing change.

- Ways of managing risks, including:

  o risk assessment to determine likelihood of the risks happening and severity
  o questions to be asked when assessing risk, e.g.: Is speed of adoption appropriate? Is the business meeting change objectives? Will completion of change project be timely?
  o identifying contingency options associated with selected risks, including proactive planning, action plans and activities.

Essential information for tutors and assessors

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 given 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

To satisfy the assessment criteria for this learning outcome, learners will produce a set of notes to be included in their learning log to support their development in leading people.

In their notes, learners will:

1. examine **three** different leadership styles that are used to lead teams and individuals in organisations, considering their characteristics, strengths and weaknesses (AC1.1)

2. outline **two** specific work situations that they are likely to deal with as a manager in their employer organisation or an organisation that they are familiar with and, **for each situation**, draw a conclusion on which of **the three leadership styles referenced in (1) above** would be most suitable to apply. To support their conclusion on the leadership style for each situation, learners will outline what specific factors about the situation and the leadership style make them suited (AC1.2)

3. outline why it is necessary to adjust leadership style to different situations and give **at least three** detailed potential consequences of not adjusting leadership styles to meet the specific situation and individuals (AC1.3).

Learning outcome 2

To satisfy the assessment criteria for this learning outcome, learners will produce a report to be submitted to their manager as a part of the organisation's investigation into its current culture, and how it could promote a strong, healthy culture in the future. Learners who are not in employment could produce the report based on an organisation with which they are familiar.

In the report, learners will:

1. examine **three** different types of organisational culture, considering their characteristics, strengths, weaknesses and impact on individuals and teams. Learners will then draw a conclusion on which of these three types of organisational culture is most relevant to their organisational context, using information already presented to support their conclusion (AC2.1)

2. outline **two** internal factors and **two** external factors that have potentially influenced the culture of their organisation, and give **at least one** detailed reason for each factor to show why and how it affects the organisational culture. The factors must be specifically relevant to their organisation (AC2.2)

3. outline what it means for an organisation to have a strong, healthy culture and give **at least three** detailed reasons why it is important for the organisation to have a strong, healthy culture (AC2.3)

4. outline **three** ways in which they, as a manager and a leader, can contribute to creating a strong, healthy organisational culture, and give **at least one** detailed reason for each to show why it would be effective (AC2.3).

Learning outcome 3

To satisfy the assessment criteria for this learning outcome, learners will produce presentation slides, with supporting speaker notes, to be used as a supporting resource in the induction of new managers and team leaders.
In their presentation slides, learners will:
1. outline the meaning of the terms 'equality', 'diversity' and 'inclusion', and provide supporting information to show the difference between these concepts in terms of their practical application in the workplace (AC3.1)
2. describe **four** requirements and **four** responsibilities of employers under current equality legislation. Requirements must cover the areas of recruitment, pay and benefits, and working practices (AC3.2)
3. describe **three** consequences for employers of not complying with equality legislation (AC3.2)
4. describe **four** working practices that organisations can use to create an inclusive working environment. The description of each working practice must include clear details of how it would help to create an inclusive working environment (AC3.3)
5. outline **three** benefits to an organisation arising from an inclusive working environment. The information for each benefit must show a clear relationship to an inclusive working environment (AC3.4).

Learning outcome 4

To satisfy the assessment criteria for this learning outcome, learners will produce a set of notes to be included in their learning log to support their management practice in using coaching and delegation to develop their team members.

In their notes, learners will:

1. outline **three** benefits of using coaching to support the development of individuals in their team. The benefits must be specifically related to the use of coaching to develop individuals and not just about the general benefits of developing individuals (AC4.1)

2. describe **two** coaching models that they could use to structure how they coach team members. The description of each model must include details of the stages to be followed in applying the model and how the model as a whole enables effective coaching (AC4.2)

3. outline the meaning of delegation and give **at least three** detailed supporting points to show how it can help to develop individuals in the workplace (AC4.3)

4. describe **four** best practices to be followed when using delegation as a method of developing individuals in the workplace. The description of each practice must include details of how it enables delegation to be effective in developing individuals (AC4.4).

Learning outcome 5

To satisfy the assessment criteria for this learning outcome, learners will produce a written proposal to be presented to their line manager to show how they would lead and manage their team through the change situation detailed below.

> The organisation is implementing a flexi-desk policy in an effort to reduce the costs on space. This means that team members will no longer have a desk that they use all the time but will have to book an available desk each day. There is no decision yet on how the desk booking system will work.
>
> Also team members will no longer have personal desk storage space and will have to use lockers located at the far end of the corridor to store their paperwork.
>
> The new policy is first being implemented in your team.

In their proposal, learners will:

1. outline why they need to provide effective leadership for their team through this change, and give **at least three** detailed potential consequences for the organisation and their team members if they do not lead effectively through this change (AC5.1)

2. describe the features and stages of **two** different change management models and give detailed information to show their similarities and differences. Learners will then draw a conclusion on which of the two models they would use to manage the change situation described above, making reference to their benefits and limitations (AC5.2)

3. describe **three** strategies that they would use to lead and support the team through the change. The strategies must be relevant to the flexi-desk policy change and learners must state when and where in their chosen model they would use each of these strategies (AC5.3)

4. outline **two** potential risks associated with the flexi-desk policy change and describe how they would manage each of these risks. Learners will then give **at least two** reasons why their approach to managing the identified risks would be effective (AC5.4).

Unit 2: Principles of Managing Operations and Budgets

Level: 3

Unit type: Knowledge

Guided learning hours: 30

Unit introduction

As a first line manager, implementing the operational plan of your department or team to deliver the organisational strategy will be a fundamental part of your role. To do this effectively, it is important that you have a good understanding of resource and budget management, data use and management, and the financial governance and compliance requirements that must be met.

In this unit, you will look at how organisational strategy is developed, how it relates to the operational plan and how to implement the operational plan for your department or team, with a focus on how to manage resources to achieve maximum utilisation. You will explore the use of valid and reliable data in operational management and the regulatory requirements for handling data.

You will learn about the financial governance and compliance requirements within which organisations need to operate, including the consequences of non-compliance. You will explore the key terminology relating to financial accounting and reporting, and how organisations can achieve Value for Money (VfM).

Finally, you will learn about the importance of operating within a budget, how to control different types of costs in a budget and how to monitor and control a budget.

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 organisational strategy is developed	1.1	Describe the process of developing organisational strategy
		1.2	Explain why it is important to define the organisational mission statement, strategic objectives and success criteria when developing strategy
		1.3	Explain the different internal and external factors that can influence organisational strategy
2	Understand how to implement the operational plan of a department or team within the limits of the resources available	2.1	Explain the relationship between organisational strategy and the operational plan of a department or team
		2.2	Describe the components of an operational plan
		2.3	Describe the activities to be undertaken when implementing the operational plan of a department or team
		2.4	Explain the factors to be considered when securing and allocating physical and human resources to implement an operational plan
		2.5	Describe techniques that can be used to maximise the utilisation of resources when implementing an operational plan
		2.6	Explain the impact of specific operational constraints on the effective implementation of an operational plan

Learning outcomes		Assessment criteria	
3	Understand how data is managed and used in operational management	3.1	Describe how operational data can be collected and analysed in organisations to ensure validity and reliability
		3.2	Describe how technology can be used to improve data management in organisations
		3.3	Describe how organisations should manage data to ensure compliance with data protection legislation
		3.4	Outline the legal and commercial consequences for organisations that do not comply with data protection legislation
		3.5	Explain how the use of data can contribute to effective operational management
4	Understand financial governance and compliance in organisations and the concept of Value for Money (VfM)	4.1	Explain the need for good financial governance and compliance in organisations
		4.2	Describe the processes and polices an organisation can implement to satisfy financial governance and compliance requirements
		4.3	Outline the meaning of a range of terminology relating to financial accounting and reporting
		4.4	Explain why the concept of Value for Money (VfM) is important for organisations
		4.5	Explain how organisations can achieve Value for Money (VfM)

Learning outcomes		Assessment criteria	
5	Understand how to monitor budgets to ensure efficiency and control costs	5.1	Outline the purposes of a budget
		5.2	Explain why it is important to operate within a budget
		5.3	Describe how to control different types of costs within a budget
		5.4	Describe different techniques used for monitoring a budget
		5.5	Describe actions that can be taken to control a budget
		5.6	Outline the limitations of using budgets

Unit content

What needs to be learned
Learning outcome 1: Understand how organisational strategy is developed

1A Development of organisational strategy
 	
• Description of organisational strategy, including its purpose and how it relates to the type and function of an organisation.
 	
• Process of developing organisational strategy:
 	
    o determining current strategic position: identifying strategic issues (e.g. growth, diversification, cost reduction, innovation etc.); conducting internal and external environmental (PESTLE) scans; competitive analysis; customer segmentation; SWOT analysis
    o formulating strategy: developing vision and mission statements; articulating core values; identifying competitive advantage and potential risks; identifying strategic options (e.g. low cost, best value, differentiation, focus etc.)
    o developing the strategic plan: setting priorities and long-term strategic objectives; setting SMART goals and success criteria; setting Key Performance Indicators (KPIs)
    o communicating/cascading the strategy to the operational teams
    o executing/implementing the strategic plan: translating the strategic plan into an operational plan to deliver the strategy
    o review and evaluation.
 	
• Role of the manager in delivering organisational strategy.

What needs to be learned
Learning outcome 2: Understand how to implement the operational plan of a department or team within the resources available

2A Operational plans
 	
• Definition of operation plans, including reference to: short- to medium-term planning; how different functional areas of the organisation use their resources to achieve the strategic objectives; performance objectives (cost, dependability, flexibility, quality and speed).
 	
• Purpose of an operational plan, including its role in:
   o directing the implementation of organisational strategy
   o ensuring consistency and alignment with organisational strategy, managing the utilisation of resources
   o identifying responsibilities and tasks.
 	
• Difference between strategic and operational plans and objectives.
 	
• Key components of an operational plan: SMART objectives; activities to be delivered; roles and responsibilities; quality standards; performance measures (e.g. targets and KPIs); risk management plan; human (staffing) and financial resources (budget); implementation schedule; process for tracking and monitoring progress.
 	
• Importance of aligning operational or team plans to organisational strategy with reference to achievement of business objectives, consistency with strategy, avoiding conflict between departments and staff engagement and motivation.

What needs to be learned

Learning outcome 2: Understand how to implement the operational plan of a department or team within the resources available

2B Implementation of an operational plan

- Activities to be undertaken in implementing the operational plan of a department or team:

  o identifying any interdependencies with activities of other teams
  o considering requirements relating to areas such as health and safety, compliance, policies and procedures, documentation and record keeping etc.
  o communicating the team's operational objectives, activities, output/outcomes and KPIs to team members using appropriate methods, e.g. team meetings
  o prioritising and scheduling work activities, including use of tools such as Gantt and milestone charts
  o securing, as appropriate, and allocating resources to complete activities
  o agreeing SMART performance goals for individuals based on the team's operational objectives
  o providing guidance and support to the team in completing activities
  o monitoring and measuring progress, including the use of KPIs, benchmarking, gap analysis, customer and employee feedback, observations and reports.

What needs to be learned

Learning outcome 2: Understand how to implement the operational plan of a department or team within the resources available

2C   Managing and maximising use of resources

- Considerations when securing and managing physical resources including:

  - organisational needs and workload dependency
  - costs and available budget
  - procurement process and compliance
  - delivery and installation timescales
  - maintenance requirements
  - health and safety requirements; staff training needs.

- Human resources:

  - securing staff: external recruitment (contract, temporary permanent); internal (secondment); recruitment considerations, including compliance procedures, recruitment costs, timescales, budget, induction etc.
  - allocating work activities, including considerations such as staff working patterns (e.g. full-time, part-time, flexible working patterns, contract); staff skills and expertise; roles and responsibilities; development needs; delegation; staff training; staff absence (annual leave, sickness etc.).

- Difference between resource allocation and resource utilisation.

- How to maximise the utilisation of resources, including:

  - robust resource planning and scheduling (use of reliable data and expert judgement in estimating the resource and time required)
  - tracking employee time against activities using timesheet software and analysing data to ensure time is spent on the right activities
  - making use of opportunities to leverage the higher-level capabilities of employees
  - ongoing training and development of employees
  - adopting new practices to empower employees.

- Considerations when monitoring and evaluating resources, including impact on the environment; waste reduction; value for money (VfM); improvements and recommendations; service level agreements etc.

- Different types of operational constraints and their impact on the implementation of an operational plan, including staffing (expertise, availability and motivation); budget; equipment and technology; quality assurance; legal and compliance etc.

What needs to be learned
Learning outcome 3: Understand how data is managed and used in operational management

3A   Collection of data

- Definition of operational (business) data, including data on staff, direct competitors, creditors, suppliers, information on customers and accounting data.

- Difference between qualitative and quantitative data and their uses and limitations (e.g. misinterpretations, subjectivity and bias, access and confidentiality).

- Internal data: collected from different functional areas such as sales (e.g. sales reports and customer transactions); finance (e.g. cash flow statement, budget variance etc.); marketing (e.g. website traffic, phone reports, promotional codes etc.); human resources (e.g. staff turnover etc.).

- External data collected from customers and stakeholders using methods such as surveys, observation, interviews, focus groups, industry reports etc.

- Quality of data:

- valid: unbiased, representative and verifiable

- reliable: consistent, stable, dependable, plausible

- timely.

- Factors affecting the validity and reliability of collected data, including accuracy and relevance of data, level of detail, trusted sources, ownership of data and currency of data.

3B   Data analysis

- How to carry out data analysis: coding and categorising data; identifying patterns and trends; summarising and drawing generalisations; identifying deviations.

- Issues to consider in data analysis and interpretation, e.g. scope and size of sample, validity and reliability of data, presentation of information, errors in methodology used, confusion over statistical significance.

What needs to be learned

Learning outcome 3: Understand how data is managed and used in operational management

3C   Technology and legislation in data management

- Use of technology to manage data, e.g.:

  o cloud software so that it is visible to key members of staff
  o software such as spreadsheets, e.g. using pivot tables to manipulate data accurately
  o using technology to allow data to be used in different ways and to be presented in a range of formats to suit the end purpose.

- Data protection legislation principles:

  o use data fairly and lawfully
  o use data for limited, specifically stated purposes
  o use data in a way that is adequate, relevant and not excessive
  o ensure date is accurate
  o data is kept for no longer than is absolutely necessary
  o data is handled according to people's data protection rights.

- How to maintain security and confidentiality of data in organisations, including:

  o controlling access to stored data, e.g. using passwords, firewalls and encryption for digitally stored data or use of locked cupboards for physically stored data
  o implementing privacy policies and organisational procedures around access, use and disclosure of data
  o providing staff training on data security risks and promoting best practices for keeping data safe, e.g. not leaving computer unattended, secure printing, managing passwords etc.
  o secure disposal of confidential data, e.g. shredding.

- Consequences of non-compliance with data protection legislation, including reputational damage, loss of consumer trust, business closure and prosecution (personal, corporate, penalties or fines, imprisonment).

3D   Use of data in operational management

- How data supports effective operations management in terms of decision-making, benchmarking, productivity, cost reduction and efficiency savings.

What needs to be learned

Learning outcome 4: Understand financial governance and compliance in organisations and the concept of Value for Money (VfM)

4A   Financial governance and compliance

- Definition of financial governance and areas covered, including financial reporting, auditing, dealing with income, record keeping and data security.

  - Processes, controls and polices to meet financial governance and compliance requirements, including:
  - processes, policies, financial controls and documentation used for financial reporting
  - processes and framework for conducting audits
  - policies and procedures for setting up and maintaining records
  - processes used to track income and expenditure.

- Importance of good financial governance and compliance in terms of accuracy of financial data; quality of budgeting, planning and forecasting; ownership and accountability; risk identification and monitoring.

- Risks of poor financial governance and compliance such as fraud, misappropriation, regulatory penalties, reduced stakeholder confidence and loss of revenue.

4B   Financial terminology

- Meaning of a range of financial terminology: income, expenditure, transaction, cash flow, accounts, gross profit, net profit, capital, debtors, creditors, turnover, profit and loss account, balance sheet, break-even point, tax, VAT, assets, depreciation, investments, accruals, stock, liabilities.

4C   Value for Money (VfM)

- Definition of Value for Money (VfM).

- Benefits of Value for Money to organisations, including effective, efficient and economic operations and optimal use of organisational resources.

- Responsibility to achieve Value for Money: statutory requirement when using public funds (public sector); stakeholder expectations in private sector organisations.

What needs to be learned

Learning outcome 4: Understand financial governance and compliance in organisations and the concept of Value for Money (VfM)

- Ways of achieving Value for Money (VfM) in organisations:
    - procurement and working with suppliers –- using strategies such as effective negotiations, volume discounts, bulk buying across the organisation, getting added services and benefits at the same costs etc.
    - working with customers – using strategies such as building healthy relationships and trust with customers, effective communications, providing only products/services that meet customers' needs etc.
    - operational management – using strategies such as undertaking impact measurements and cost–benefit analysis, collaborative working and challenging the use of financial resources.

Learning outcome 5: Understand how to monitor budgets to ensure efficiency and control costs

5A   Types of budgets and the need for budgets

- Types of budgets, including master, operating, expenses, departmental, functional, capital and cash.

- Purpose of a budget, including to:
    - control income and expenditure
    - establish priorities and targets
    - provide direction and co-ordination
    - assign responsibilities and improve efficiency
    - monitor performance and inform management decisions.

- The importance of operating within a budget in terms of compliance with financial governance processes, financial viability, ability to pay staff and suppliers, reputation, meeting stakeholders' expectations and collective responsibility.

5B   How to control costs within a budget

- Types of cost within a budget:
    - fixed costs – e.g. taxes, rent, lease, salaries, loan, interest etc.
    - variable costs – e.g. materials, supplies, production wages etc.
    - semi-variable – e.g. telephone, mobile, internet etc.

What needs to be learned
Learning outcome 5: Understand how to monitor budgets to ensure efficiency and control costs

- Ways of controlling the different types of costs, for example:

  - implementing stock control systems and measures and improving storage safety and security to reduce material costs
  - improved scheduling, forecasting labour needs and monitoring of work activities to improve resource utilisation and ultimately reduce labour costs
  - negotiating lower rents, sub-letting space or flexible working to reduce space costs.

5C How to monitor and control a budget

- Techniques used to monitor budgets, such as:

  - conducting regular reviews
  - tracking expenditure and identifying spending patterns/trends
  - measuring actual versus forecast
  - forecasting full year spend based on year to date
  - calculation of variances etc.

- Actions that can be taken to control a budget, such as delaying spend, restricting discretionary spend, chasing-up sales orders and unpaid invoices, communicating cost awareness, reviewing resources etc.

5D Limitations of budgeting

- Limitations of using budgets, including:

  - can lead to inflexibility in decision making
  - need to be changed as circumstances change
  - can create some behavioural challenges in a business
  - can result in short-term decisions to keep within budget.

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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 given 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

To satisfy the assessment criteria for this learning outcome, learners will produce presentation slides, and supporting speaker notes, on the topic of 'Developing Organisational Strategy', to be discussed with other learners in their training environment. Learners are not required to deliver the presentation.

In their presentation slides, learners will:

1. describe the recognised process for developing organisational strategy. This description must include clear details on each of the different stages in the process, the activities carried out in each stage and the purpose of each stage (AC1.1)

2. outline the purpose of a mission statement, strategic objectives and success criteria and give **at least one** reason for each to show why it is important to develop and agree these in the process of developing strategy (AC1.2)

3. outline **two** specific external factors and **two** specific internal factors that can influence organisational strategy. Learners will then give **at least one** reason for each factor to show why and how it could influence organisational strategy. It is not sufficient for learners to give a broad category of factor, for example, 'political'; they must give a specific factor within that category (AC1.3).

Learning outcome 2

To satisfy the assessment criteria for this learning outcome, learners will produce information on implementing operational plans to be included in a 'How-to Guide' to support new first line managers in their organisation.

In producing the information, learners will:

1. give a definition of an operational plan and state how it is connected to organisational strategy, drawing on their knowledge of the strategy development process. Learners will then give **at least two** supporting points to show why they are connected in this way (AC2.1)

2. describe the different components of an operational plan, detailing the purpose of each component in the plan (AC2.2)

3. describe **five** activities that should be undertaken when implementing the operational plan for a team or department. The activities described must be based on recognised best practice in operational management and must include resource planning and allocation, and work scheduling. The description of each activity must include its purpose in the implementation process and how it is carried out (AC2.3)

4. outline **two** factors that should be considered when securing and allocating physical resources and **two** factors that should be considered when securing and allocating human resources. Learners must give **at least one** detailed reason, linked to potential impact, for each factor to show why it needs to be considered (AC2.4)

5. describe **three** recognised techniques that can be used to maximise the utilisation of resources when implementing an operational plan. The description must include how each technique works to improve resource utilisation (AC2.5)

6. outline **two** potential operational constraints relevant to their organisational context and provide supporting information to show how each of these could impact negatively on the effective implementation of an operational plan (AC2.6).

Learning outcome 3

To satisfy the assessment criteria for this learning outcome, learners will produce a briefing paper for their line manager to support decision making on whether to increase the use of data in the organisation. Learners who are not in employment could produce the briefing paper for an organisation they are familiar with.

In their briefing paper, learners will:

1. describe how their organisation could collect and analyse data in a way that ensures that the data is valid and reliable. The information presented must be specifically relevant to their organisation and must include:

   o the **two** broad types of data that the organisation could collect and the difference in purpose of each type of data and how the organisation could use it

   o where the organisation could collect data from, the nature of this data and the methods that could be used to collect the data

   o the factors the organisation should consider when collecting data to ensure that it is valid and reliable, and how these factors impact on validity and reliability

   o the process and techniques used in analysing data and at **least two** issues that the organisation should consider when analysing and interpreting data (AC3.1)

2. describe how the organisation could use **two** specific types of technology to help manage data more effectively. The description must include the function of each type of technology and how it can contribute to better data management (AC3.2)

3. describe **three** ways in which the organisation can maintain security and confidentiality of data to ensure compliance with data protection legislation. The ways must be relevant to the specific organisational context and include details to show how each will ensure compliance with the legislation (AC3.3)

4. outline **three** legal and commercial consequences that the organisation could suffer if it does not comply with data protection legislation (AC3.4)

5. outline **three** ways in which the use of data can improve the effectiveness of operational management, giving detailed supporting information for each to show how this is achieved (AC3.5).

Learning outcome 4

To satisfy the assessment criteria for this learning outcome, learners will produce an information leaflet (which can include images or diagrams) or a video titled 'Financial Governance and Compliance – How much do you know?', which is to be used as an induction resource for new team members in their organisation. Learners who are not in employment can base their leaflet or video on an organisation with which they are familiar.

In their leaflet or video, learners will:

1. outline what it means for an organisation to have good financial governance and give **at least two** detailed reasons why this is specifically necessary for the organisation (AC4.1)

2. describe **two** specific processes and **two** specific policies that the organisation has in place to meet its financial governance and compliance requirements. The description should include the purpose of each of these and how they help the organisation to meet the requirements (AC4.2)

3. give the definition of **at least four** terms relating to financial accounting and reporting that are applicable in their organisational context (AC4.3)

4. outline the meaning of the term 'Value for Money (VfM)' and give **at least three** detailed reason why this principle is important for the organisation. **One** of the reasons must relate to its responsibility either as a public or private sector organisation (AC4.4)

5. outline **three** specific strategies that could be used across the organisation to achieve Value for Money (VfM), and give **at least one** detailed reason for each strategy to show why it would enable the organisation to achieve this (AC4.5).

Learning outcome 5

To satisfy the assessment criteria for this learning outcome, learners will research information about budgetary management in their organisation and produce a set of notes to support their learning and development in this area. The research could be carried out by talking to more experienced colleagues or their line manager. Learners who are not in employment can base their notes on an organisation with which they are familiar.

In their notes, learners will:

1. outline **three** purposes of a budget (AC5.1)

2. outline what it means to operate within a budget and give **at least three** detailed reasons why this is important for the organisation (AC5.2)

3. outline **three** different operational costs within the organisation and describe the strategy the organisation has put in place, or could put in place, to try to control each of these. The costs identified must cover both fixed and variable costs (AC5.3)

4. describe **two** different techniques used within the organisation to monitor budgets. The descriptions must be clear about how each work as a monitoring tool (AC5.4)

5. describe **two** different actions that the organisation has taken, or could take to control its budgets (AC5.5)

6. outline **two** limitations of using a budget (AC5.6).

Unit 3: Principles of Managing People

Level: 3

Unit type: Knowledge

Guided learning hours: 25

Unit introduction

People are an organisation's most valuable asset and, as such, effective people management is important if organisations are to become and remain successful. The ability to manage people, as individuals and as a team, to work together harmoniously to deliver a common goal is a critical skill for any manager. High-performing individuals and teams are created in an environment where there is a shared understanding of values, goals and objectives.

In this unit, you will explore the concepts of people and team management, and the related theories and models of developing, managing and motivating a team. You will also explore the functions and role of manager in meeting legal requirements, and the recognised practices of managing performance 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 people and team management models, theories and principles	1.1	Analyse human resource management (HRM) models and how they are applied in an organisation
		1.2	Explain the role of managers in people management in a particular organisational context
		1.3	Explain the impact of good people management on organisations and individuals
		1.4	Evaluate the use of different theories and models of team building and development in the workplace
		1.5	Describe how different factors affect the dynamics of a team
		1.6	Describe how a manager can manage team dynamics to ensure successful team collaboration
2	Understand theories and approaches to motivating individuals in the workplace	2.1	Evaluate the relevance of theories of motivation to the practice of motivating individuals in the workplace
		2.2	Describe how recognition and reward can be used as a motivational technique
3	Understand human resource legal and organisational compliance requirements when managing people	3.1	Describe the legal requirements relating to human resources that managers must adhere to when managing people
		3.2	Outline the impact of human resource legal and compliance requirements on the human resource management (HRM) function of an organisation

Learning outcomes		Assessment criteria	
4	Understand the principles and practice of managing the performance of individuals in the workplace	4.1	Explain the key factors that impact on the performance of individuals in the workplace
		4.2	Describe different techniques used in managing individual performance in the workplace
		4.3	Explain the need for SMART objectives and goals when managing individual performance
		4.4	Explain how good absence management contributes to effective performance management
		4.5	Explain the importance of using data from a relevant range of sources when assessing individual performance
		4.6	Explain best practice for conducting effective performance reviews and appraisals for individuals
		4.7	Describe different strategies that can be used to provide constructive feedback on performance to individuals
		4.8	Explain why it is important to follow organisational procedures when dealing with performance management issues

Unit content

What needs to be learned

Learning outcome 1: Understand people management and team management models, theories and principles

1A   Models of human resource management (HRM)

- Definition of human resource management (HRM).

- Models and theories related to human resource management:

  o Hard and Soft HRM models – features and impact of each model
  o how these models relate to different leadership styles (autocratic and democratic) and human behaviour theory: McGregor's Theory X and Theory Y
  o the right approach dependent on organisational context and behaviour of employees; balance of models to find best fit.

1B   People management

- Difference between people management and team management:

  o people management: subset of human resource (HR) management; focused on harnessing and optimising the skills of individuals to get the best out of people; includes activities such as recruitment, training and development (professional and personal), providing guidance and direction, managing behaviours, performance management and talent management
  o team management: coordinating and bringing a group of people to work together to achieve a common goal; includes activities such as setting team performance objectives, reviewing team performance and methods and directing team decision making.

- The increasing role for line managers in people management resulting from factors such as:

  o flattening of organisational structures and downsizing and delayering in organisations
  o increased devolution of people management from corporate human resource (HR) departments to line managers
  o increase in service industries and knowledge-based occupations (technical and professional jobs).

What needs to be learned

Learning outcome 1: Understand people management and team management models, theories and principles

- The impact of good people management in terms of:
  - improved organisational performance, reputation and customer experience
  - cost reduction and efficiency for organisations – reduced labour turnover, greater productivity, fewer disruptions to work activities
  - value creation and competitive advantage through highly talented, empowered and motivated staff
  - job satisfaction and improved confidence and engagement from employees.

1C Skills and attributes of an effective people manager

- Skills and abilities, including good verbal, non-verbal and written communication skills; ability to build relationships; mentoring and coaching skills; ability to apply organisational and legal frameworks; ability to use HR and other organisational systems etc.

- Attributes, including self-awareness; emotional intelligence; engaging and collaborative; transparency and honesty; good role model for organisational values etc.

1D Theories and models of team building and development

- Characteristics of a team (shared purpose; involved in similar activity; interdependence; defined roles; personal relationships).

- Types of teams, including functional, matrix, cross-functional, project and virtual.

- Team-building models and theories, to include:
  - Belbin Team Roles: nine team roles and their strengths and weaknesses; creating the right balance of roles within a team for optimum efficiency and effectiveness
  - Tuckman stages of team development: features of the four stages of development; the role of the manager during each of the stages.

1E Team dynamics

- Meaning of team dynamics.

- Factors influencing team dynamics and their impact, including personality types, leadership style, team size, skills and knowledge, team roles (assigned and adopted), processes and procedures and organisational culture.

- How to manage team dynamics, including: clearly defined roles in the team; setting clear behavioural expectations; holding people to account; promoting positive working relationships and mutual respect; proactive regular feedback; acknowledging and rewarding success.

What needs to be learned

Learning outcome 2: **Understand theories and approaches to motivating individuals in the workplace**

2A   Motivation theories and models

- Maslow's Hierarchy of Needs theory: employees motivated by satisfied needs, needs organised in a hierarchy, lower-order needs satisfied before higher-order needs.

  o Hierarchy of Needs: physiological; safety; love and belonging; self-esteem; self-actualisation.

- Herzberg's Two-Factor theory: job satisfaction and job dissatisfaction act independently of each other, motivator factors affect job satisfaction, hygiene factors affect job dissatisfaction, both sets of factors must be addressed to motivate staff:

  o motivator factors – recognition and status, opportunity for promotion, greater responsibility, stimulating work, sense of achievement
  o hygiene factors – good working conditions; job security; relationship with manager and colleagues; wages, salaries and fringe benefits.

- The application of these models and theories in modern day people management practice.

2B   Recognition and reward as a motivational technique

- Extrinsic rewards: direct financial payments, indirect financial payments, benefits, incentive programmes, working conditions.

- Intrinsic rewards: recognition, empowerment, role development, personal fulfilment, sense of contribution.

- Total reward: a strategy that brings together both intrinsic and extrinsic rewards.

- Risks involved in the use of rewards: reward does not engage or motivate employees, reward results in inappropriate or unproductive activity and behaviour, rewards create divisions among employees.

What needs to be learned

Learning outcome 3: Understand human resource legal and organisational compliance requirements when managing people

3A Human resource functions and relationship with manager's role

- Legal requirements that managers must adhere to when dealing with:
  - recruitment and selection, e.g. legislation related to equality, eligibility to work, safeguarding, data protection, employment contracts etc.
  - workplace safety, e.g. legislation and regulations related to health and safety at work, display screens, personal protective equipment, RIDDOR etc.
  - discipline and grievance, e.g. employment legislation etc.
  - sickness and absence, e.g. working time regulations
  - harassment and bullying, e.g. equality legislation.

3B Impact on HR legal and compliance requirements on HRM function

- Transparent process for recruitment and selection.

- HR policies that comply with legal requirements (pay, terms of employment contract, working hours, employee entitlements).

- Written disciplinary and grievance procedures.

- Mechanisms for informing workers of their legal responsibilities and rights (employee handbook, intranet).

- Organising training for line managers.

- Providing facilities to support flexible working.

- Clear policy on equality and diversity that is shared with all staff.

- Leave policy.

- Health and safety policy and related procedures.

What needs to be learned
Learning outcome 4: Understand the principles and practice of managing the performance of individuals in the workplace

4A   High-performing teams
 	
• Characteristics of a high-performing team: sense of purpose, open communication, sharing of good practice, knowledgeable and skilled, trust and mutual respect, shared leadership, flexibility and adaptability, continuous learning and development, and motivated.
 	
4B   Managing performance
 	
• Factors that affect performance, including:
 	
    o non-work factors: personal finance, family and relationships, lifestyle
    o individual factors: personal resilience, ability to cope, personal behaviours and attributes, experiences, attitudes, personality, physical and mental health
    o work environment factors: work demands, level of control, level of support, role clarity, working relationships, degree of organisational change
    o work performance: productivity, engagement and motivation, error rate, absences.
 	
4C   Techniques used to manage performance
 	
• Techniques for managing individual performance:
 	
    o setting goals and objectives: use of SMART (specific, measurable, achievable, realistic and time bound) objectives; purpose of SMART objectives
    o monitoring performance on an ongoing basis, including use of one-to-one and team meetings, progress and project reports, observations etc.
    o assessing/measuring individual performance, including use of appraisal meetings, 360-degree feedback, Key Performance Indicators (KPIs) and outputs, customer feedback, understanding constraints affecting performance etc.
    o use of reward systems such as performance-related pay, bonus payments, team-based pay
    o addressing underperformance, including providing feedback, implementing improvement actions, using organisational processes, e.g. grievance procedures.

What needs to be learned
Learning outcome 4: Understand the principles and practice of managing the performance of individuals in the workplace

4D   Absence management
 	
• Reasons for absence, e.g. sickness, family or caring responsibilities etc.
 	
• Ways of managing absence:
 	
   o have clear attendance and absence policies in place to support employees' understanding of standards
   o use of real time data and reports to track absence statistics and identify absence trends for individuals and teams
   o use of 'trigger' systems to identify when sickness absence has reached the tolerance level
   o effective use of empathy and active listening skills when discussing absence with individuals
   o hold return-to-work interviews and discuss the absence with the employees; seek medical opinions if necessary.
 	
• Impact of effective absence management with reference to reduced costs, supporting and meeting the needs of employees, increased productivity improving employees' wellbeing, improved teamwork and working relationships.
 	
4E   Conducting performance reviews and appraisals
 	
• Reasons for performance reviews and appraisals, including formal mechanism for reviewing and assessing past performance; opportunity to look forward to set future objectives; identifying and agreeing development needs and personal objectives; collecting feedback and ideas from team members.

What needs to be learned

Learning outcome 4: Understand the principles and practice of managing the performance of individuals in the workplace

- Best practice in conducting performance reviews and appraisals, including:

  o preparation: gathering data and feedback on performance, records from previous appraisals and identifying future objectives based on business needs; identifying and setting up any organisational specific systems to be used

  o shared understanding on the objectives and success criteria/measures

  o properly planned and agreed by both parties with clarity about the purpose and process of the appraisal

  o discussion focused on performance and behaviours and not on the person; employee encouraged to engage in the review; avoid the halo effect

  o provision of productive, actionable feedback and use of positive communication skills (active listening, positive non-verbal communication)

  o evaluation of performance and using incentives in a fair and consistent manner

  o provide appropriate learning and development opportunities.

4F   Providing constructive feedback

- Meaning of constructive feedback and types of constructive feedback in the workplace (positive, negative, negative feedforward and positive feedforward).

- Different models for delivering feedback, including: BOOST; Situation–Behaviour–Impact (SBI); Clear, Owned, Regular, Balanced, Specific (CORBS) etc.

- Strategies for giving constructive feedback, including:

  o use of a recognised model for delivering the feedback

  o focus on business objectives

  o keep eye contact at all times when giving feedback and use positive body language

  o choose a suitable time and place to deliver feedback

  o use of active listening and appropriate questioning (open and closed questions).

What needs to be learned
Learning outcome 4: Understand the principles and practice of managing the performance of individuals in the workplace

4G Disciplinary and grievance procedures
 	
• Disciplinary procedure: procedure to deal with employee misconduct or unsatisfactory performance.
 	
• Grievance procedure: framework for the quick and effective resolution of workplace issues.
 	
• Importance of following disciplinary and grievance processes, including:
   ○ ensures reasonable standard of behaviour on both sides
   ○ reduces the likelihood of breach of contract claims
   ○ adherence to the processes is considered in an employment tribunal case.

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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 given 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

To satisfy the assessment criteria for this learning outcome, learners will investigate their organisation's approach to human resource management and produce a set of notes to show how they could apply the models and theories related to people management and team development in fulfilling their management responsibilities. Learners who are not in employment can prepare the notes on an organisation with which they are familiar.

In their notes, learners will:

1. examine Hard and Soft HRM models, considering their features, impact on people and operations, and how they relate to a specific human behaviour theory. Learners will then use the information presented to draw a conclusion on how their organisation applies these models in practice, showing clear links between the models and their organisation's approach (AC1.1)

2. outline the people-management activities that managers within their organisation are expected to carry out and give **at least two** potential reasons to explain why these activities are within their role. These potential reasons can be linked to the organisational structure, economic factors, nature of the organisation's industry and the type of job roles within the organisation (AC1.2)

3. outline the meaning of 'good people management' making reference to the skills and attributes of a good people manager, and give clear details to show **at least three ways** in which this impacts on individuals and organisations (AC1.3)

4. examine Belbin's Role Theory and Tuckman's Group Development model, considering their main features, principles, strengths and weaknesses. Learners will then draw a conclusion on the extent to which each of these are useful in managing teams in the workplace, using the information already presented to detail clear ways in which they could be used (AC1.4)

5. describe **three** factors affecting the dynamics of a team and clearly show the potential impact on each of these on the dynamics of a team (AC1.5)

6. describe **three** ways in which they could manage team dynamics, clearly detailing how each of these would support team cohesion and collaboration (AC1.6).

Learning outcome 2

To satisfy the assessment criteria for this learning outcome, learners will produce a report for their line manager to show how the organisation could apply theories and models of motivation in motivating teams and individuals.

In their report, learners will:

1. examine Maslow's Hierarchy of Needs theory and Herzberg's Two-Factor theory, considering their key principles, benefits and limitations. Learners will then draw on this information to suggest **two** practical ways in which **each of these** theories can be used to motivate people in the workplace (**a total of four ways**). Learners must show a clear relationship between the ways proposed and the theories and give clear arguments to support the use of these ways (AC2.1)

2. describe how recognition and reward is used as a motivational technique, detailing the **two** different ways it can be implemented in practice and the situations it would be most suitable for to avoid potential risks (AC2.2).

Learning outcome 3

To satisfy the assessment criteria for this learning outcome, learners will produce a briefing paper for new first line managers on the legal requirements they have to adhere to when managing people.

In their briefing paper, learners will:

1. identify **three** activities related to people management and describe the legal requirements, including reference to any specific legislation, that managers need to adhere to when carrying out each of these activities (AC3.1)

2. outline **four** ways in which human resource legal and compliance requirements have impacted on how the human resource function of the organisation operates (AC3.2).

Learning outcome 4

To satisfy the assessment criteria for this learning outcome, learners will produce a reflective statement to show how they have used recognised principles and techniques to manage the performance of individuals in their team. The reflective statement could be supported by related redacted work products, where these are available. Learners who are not in employment could produce a report on how performance is managed in an organisation with which they are familiar.

In their reflective statement or report, learners will:

1. outline **three** specific factors that impact on the performance of individuals in their team (or a team in the organisation, if writing a report) and give **at least one** detailed reason for each factor to show why it affects performance (AC4.1)

2. describe **three** techniques they have used (or are used by the organisation, if writing a report) to manage performance in their team (teams). The description for each technique must detail how it supports effective performance management (AC4.2)

3. outline what it means for objectives and goals to be SMART and the purpose of using SMART objectives and goals when managing the performance of individuals in the workplace. Learners will then give **at least two** potential impacts on the performance management process if objectives and goals are not SMART (AC4.3)

4. outline what it means to manage absence and how they have managed absence in their team (or how absence is managed in the organisation, if writing a report). Learners will then give **at least three** detailed reasons to show how good absence management contributes to effective performance management (AC4.4)

5. outline **at least three** different sources of data they have used (or are used by the organisation, if writing a report) when assessing the performance of one individual in their team. Learners will then give **at least two** detailed reasons to show why it was important to use data from these different sources in assessing the individual's performance (AC4.5)

6. outline **at least three** best practice principles they have applied when carrying out appraisals and performance reviews for individuals in their team. Learners will give a clear outline of each principle and **give at least one** detailed reason for each to show why it helps performance reviews and appraisals to be more effective (AC4.6) describe **at least three** different strategies they have used (or the organisation has used, if writing a report) when providing feedback on performance to individuals (AC4.7)

7. outline the type of organisational procedure that should be followed when dealing with performance management issues, and give **at least two** reasons why it is important for them to follow these procedures (AC4.8).

Unit 4:   Principles of Communication and Relationship Management

Level: 3

Unit type: Knowledge

Guided learning hours: 30

Unit introduction

Communicating effectively and building good working relationships are important aspects of your role as a manager. With the increase in communications technology, managers are faced with a wider choice of communication methods and a greater challenge of ensuring that communications are effective, timely and meet the needs of diverse audiences. Effective communications play an important role in developing and maintaining good working relationships, which is essential to your success in the workplace. You will be expected to work with internal and external stakeholders including customers, work colleagues, suppliers and external organisations. Building and maintaining positive relationships with stakeholders is key to your personal and organisational success.

In this unit, you will explore the different forms of communication and the legal requirements for communication in the workplace, how to chair and lead meetings effectively and how to manage challenging conversations. You will look at the principles of stakeholder management, the impact of emotional intelligence and unconscious bias on relationship management and how to manage cross-team relationships and collaboration.

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 communicate effectively in the workplace	1.1	Analyse the different forms of communication used in the workplace
		1.2	Describe how legal requirements and organisational policies affect communications in the workplace
		1.3	Describe how to overcome barriers to communications in the workplace
		1.4	Assess the impact of ineffective communications in the workplace
2	Know how to chair meetings effectively	2.1	Outline the role and responsibilities of the chairperson of a meeting
		2.2	Outline the actions that a chairperson should carry out to prepare for a meeting
		2.3	Describe the techniques that a chairperson can use to facilitate a meeting to ensure it delivers the intended objectives
		2.4	Describe how a chairperson can ensure that the actions agreed in a meeting are completed
3	Know how to manage difficult conversations and raise concerns in the workplace	3.1	Describe how to manage challenging conversations in the workplace
		3.2	Describe the situations under which issues and concerns should be raised
		3.3	Explain why it is important to follow organisational procedures for raising concerns and whistleblowing

Learning outcomes		Assessment criteria	
4	Understand how to develop and maintain effective stakeholder relationships	4.1	Explain how the use of stakeholder management principles can make the process of managing stakeholders more efficient and effective
		4.2	Explain how to use negotiation and influencing strategies and techniques to engage with stakeholders successfully
		4.3	Evaluate strategies used to effectively manage conflict with stakeholders
		4.4	Discuss the impact of effective and ineffective stakeholder communications
5	Understand the impact of emotional intelligence and unconscious bias on relationship management	5.1	Explain why the use of emotional intelligence is important in building and maintaining relationships
		5.2	Describe ways of developing and improving emotional intelligence
		5.3	Explain the concept of unconscious bias and its relationship to diversity and inclusion
		5.4	Describe how unconscious bias can impact on relationship building
6	Understand how to facilitate cross-team relationships	6.1	Analyse the need for effective cross-team collaboration in the workplace
		6.2	Describe how to build relationship across teams to achieve organisational objectives
		6.3	Describe how to manage knowledge when collaborating with other teams
		6.4	Describe the challenges of cross-team working

Unit content

What needs to be learned
Learning outcome 1: Understand how to communicate effectively in the workplace

1A   Communication forms and methods

- Formal and informal communications.

- Communication forms, their methods and advantages and limitations:

  o verbal – e.g. face to face, telephone, conference call etc.
  o non-verbal – body language – positive and negative, facial expressions, eye contact, gestures, posture, touch; benefits of positive body language, impacts of negative body language
  o written – e.g. letter, report, bulletin, poster, agenda, minutes, flyers etc.
  o digital/electronic – e.g. social media, internet, intranet, emails, instant messaging etc.

- Communication process: source, message, encoding, channels, decoding, recipient, context, noise, feedback.

- Communication needs and requirements, including purpose, appropriate communication methods, language needs, organisational standards and protocols and receiver expectations.

- Factors that affect choice of communication method, including audience (internal, external); communication purpose; subject matter and volume of information to be communicated; urgency; need for a permanent record; safety and information security; cost.

1B   Legal requirements and organisational policies

- Legal requirements affecting communications, including data protection legislation, equality and diversity legislation and digital communications legislation.

- Organisational policies, such as communication policies, brand guidelines, house style, digital communication policies and procedures, whistleblowing etc.

What needs to be learned
Learning outcome 1: Understand how to communicate effectively in the workplace

1C   Barriers to communication and impact of ineffective communication
 	
• Barriers to communication, including:
 	
   o personal factors, such emotions, lack of interest or relevance, distraction, perception and personal viewpoint
   o physical disabilities (e.g. hearing problems, speech difficulties)
   o inappropriate body language
   o language differences, e.g. understanding accents, use of jargon etc.
   o expectations and prejudices (false assumptions, unconscious bias and stereotyping)
   o cultural differences.
 	
• Ways to overcome barriers to communication, including self-awareness and managing own emotions and attitudes; use of multiple communication channels; developing awareness and understanding of audience needs and background; use of effective delivery techniques; effective use of seven Cs of communication etc.
 	
• Impact of ineffective communication, including increased errors and mistakes; poor decision making; conflict and disagreements; misunderstanding and confusion; lower efficiency; decreased employee morale.

What needs to be learned

Learning outcome 2: Know how to chair meetings effectively

2A   Chairing meetings

- Role of the chairperson of a meeting, i.e. presiding over a meeting to ensure objectives are achieved and meeting protocols are followed.

- Responsibilities of the chairperson of a meeting:

  o check all persons invited have arrived and signed in, review the agenda, outline the purpose of the meeting
  o control the meeting (agenda order, persons dominating discussion, interruptions, refocus discussion, set the pace, keep to time)
  o ensure all comments are addressed through the chair, indicate progress made, conclude one point before the next, emphasise main points, support the note taker, clarify any misunderstanding
  o summarise achievements and actions agreed, arrange time and date of next meeting, sign off minutes.

2B   Preparing for and facilitating meetings

- Preparing for the meeting:

  o plan and prepare the agenda – identify items to be covered; check venue, staff to invite and availability; confirm date and time; ensure sufficient time is allocated to discuss each item, order of items
  o discuss and confirm with staff making contributions to meeting
  o send meeting invitations, agenda, previous minutes and any other necessary pre-reading information
  o collate responses, prepare final list of staff attending, note staff unable to attend
  o receive advance preparation from staff, distribute as appropriate.

- Facilitating during the meeting: set clear expectations; manage time and relevance, intermittent summaries to keep on track; formalise agreements and actions; manage disagreements; summarise agreed actions, arrange next meeting.

2C   Monitoring meeting outcomes

- Recording outcomes, assigned and agreed actions and timescales.

- Use of action logs, collaborative tools and digital notebooks.

- Following up and monitoring completion of actions.

What needs to be learned

Learning outcome 3: Know how to manage difficult conversations and raise concerns in the workplace

3A Challenging conversations

- Meaning of 'challenging conversation': potentially contentious or sensitive; may elicit strong complex emotions that may be hard to predict or control.

- The importance of having challenging conversations as a manager, including resolving conflicts, maintaining a productive work environment and maintaining good working relationships with colleagues.

- Scenarios/situations that may result in challenging conversations, such as addressing poor performance; dealing with unacceptable behaviour; giving developmental feedback; turning down employee requests; dealing with sensitive personal issues; investigating complaints; handling a grievance or disciplinary process; giving news of redundancy or corporate change.

- How to prepare for a challenging conversation, including:
  - being clear about the purpose of the conversation and the desired outcome
  - assessing and dealing with own emotions and attitudes to the situation
  - thinking about the message to be communicated and practising how to deliver it (tone of voice; body language; avoiding vague phrases and potentially confusing euphemisms; use of solution-oriented words)
  - considering the likely emotional reaction from the other person and think about the best way to manage this; prepare answers to obvious questions
  - checking organisational policies and scheduling the meeting.

- Best practice in managing challenging conversations, including:
  - face-to-face and one-to-one meeting
  - use questioning and active listening skills appropriately; ask questions at the right time depending on situation and listen actively to the other person (avoid interrupting)
  - communicate the key message clearly
  - allow time for the person to absorb the message and respond
  - be empathetic, patient and understanding; do not take negative emotional reactions personally
  - check understanding of key message before concluding the meeting.

What needs to be learned
Learning outcome 3: Know how to manage difficult conversations and raise concerns in the workplace
3B   Raising concerns and whistleblowing • Raising concerns: reporting of issues beyond authority, reporting structures. • Whistleblowing: definition – a worker bringing information about a wrongdoing to the attention of their employers or a relevant organisation. • Qualifying disclosures: a criminal offence, breach of a legal obligation, miscarriage of justice, danger to the health and safety of any individual, damage to the environment, deliberate attempt to conceal any of the previous.
Learning outcome 4: Understand how to develop and maintain effective stakeholder relationships
4A   Identification of stakeholders • Stakeholders of an organisation: owners; employees; shareholders; customers; suppliers; investors. • Different levels of stakeholder power/influence (financial, status, expertise).

What needs to be learned
Learning outcome 4: Understand how to develop and maintain effective stakeholder relationships

4B   Principles of stakeholder management
 	
 • The Clarkson principles of stakeholder management:
 	
   o principle 1 – acknowledge/actively monitor concerns of all stakeholders
 	
     – benefits: potential concerns/problems are identified, stakeholders feel listened to, valued
 	
   o principle 2 – listen to/openly communicate with stakeholders about concerns/contributions
 	
     – benefits: better-informed decision making, transparency of communications/decisions made
 	
   o principle 3 – adopt sensitive processes/behaviour to address stakeholder concerns
 	
     – benefits: encourages cooperation/negotiation/resolution
 	
   o principle 4 – recognise the interdependence of efforts/rewards among stakeholders
 	
     – benefits: increased stakeholder loyalty, increased motivation/ involvement of stakeholders
 	
   o principle 5 – work cooperatively with other individuals/groups to ensure that that risks and harm arising from activities are minimised and, where they cannot be avoided, appropriately compensated
 	
     – benefits: improves efficiency, builds/strengthens reputation
 	
   o principle 6 – avoid activities that might put human rights at risk
 	
     – benefits: builds trust with stakeholders
 	
   o principle 7 – acknowledge potential conflicts between stakeholders
 	
     – benefits: conflicts are identified and addressed, supports/encourages issue resolution.

What needs to be learned
Learning outcome 4: Understand how to develop and maintain effective stakeholder relationships

4C   Use of negotiation and influencing in stakeholder relationships
 	
• Negotiating concepts and principles:
 	
    o negotiation strategies, including problem solving, contending, yielding, compromising, inaction
    o components of a negotiation strategy – process (prepare, discuss, clarify goals, propose, negotiate, agree, implement action); approach (hard, soft, assertive, empathetic)
    o negotiation techniques, including pre-negotiation (problem analysis, preparation), during negotiation (active listening, emotional control, verbal communication, state desired outcomes, questioning, exercising silence, collaboration, decision making, interpersonal skills, ethics and reliability)
    o desired negotiation outcomes – defeat other party, collaborate, accommodate, withdraw
    o requirements of negotiation – reach an understanding, resolve points of difference, to gain advantage, craft outcomes that satisfy interests.
 	
• Influencing concepts and principles:
 	
    o influencing strategies, including avoidance, competitive, collaborative and accommodative
    o influencing styles and approaches: push versus pull; logical versus emotional
    o techniques, including being clear about the goals/reason for needing to influence stakeholders, understanding stakeholders needs, inspiring confidence, leading by example.
 	
• Ways to manage stakeholder expectations, including using preferred methods of communication, keeping stakeholders engaged, accurately mapping stakeholder expectations, manage conflicting stakeholder interests.
 	
• Importance of dealing with issues promptly (builds trust, build/strengthens relationships, prevents loss of time/resources, builds/strengthens reputation).

What needs to be learned
Learning outcome 4: Understand how to develop and maintain effective stakeholder relationships

4D Managing conflict in stakeholder relationships
 	
• Identifying causes of conflict, e.g. power struggles, professional differences, personalities, priorities and schedules, resource conflict, organisational structure, communication.
 	
• Bell and Hart's eight causes of conflict: conflicting resources, conflicting work style, conflicting perceptions, conflicting goals, conflicting pressures, conflicting roles, different personal values, unpredictable policies.
 	
• Strategies for handling conflict: accommodating, avoiding, collaborating, compromising, competing.
 	
• Facilitation: one-to-one and group discussions, clarify positions and facts with individuals.
 	
• Use of official processes: formal disciplinary procedures, explain processes to employees concerned, investigate conflict situation, escalate issues to senior colleagues
 	
• Techniques to manage conflict, e.g. listening and showing empathy, investigating conflict, identifying the root cause of conflict, identifying options to resolve conflict, offering alternative solutions, agreeing a way forward, implementing solutions, monitoring progress of conflict resolution activities, considering preventative strategies.
 	
• Potential consequences of conflict:
 	
   o internal stakeholders, e.g. impact on morale, decreased productivity, stress and anxiety, increased absenteeism, increase in grievances
   o external stakeholders, e.g. decreased customer satisfaction, impact on reputation, decreased revenue through sales.
 	
• Communicating with stakeholders:
 	
   o timing and frequency of communication
   o impact of effective stakeholder communications, e.g. facilitates understanding, increase efficiency, builds stronger relationships, stakeholder feels part of the process and involved in decision-making process
   o impact of ineffective stakeholder communications, e.g. leads to misunderstandings, inaccurate communications cause confusion and mistrust, can be emotional and distort meaning.

What needs to be learned
Learning outcome 5: Understand the impact of emotional intelligence and unconscious bias on relationship management

5A Emotional intelligence and how it is used
 	
• Emotional intelligence: definition – the capacity to be aware of, control, and express one's emotions, and to handle interpersonal relationships judiciously and empathetically.
 	
• Use of emotional intelligence in building relationships:
 	
    o using empathy to calm conflict situations
    o de-escalating conflict by slowing down and making conscious choices about outcomes
    o minimising own negative emotional reactions to situations
    o controlling own emotions in tense or uncomfortable situations
    o demonstrating sensitivity to others' feelings.
 	
• How to develop and improve emotional intelligence, including managing personal negative emotions, practising empathy, being aware of stressors, monitoring and taking responsibility for own behaviours and feelings etc.
 	
5B Unconscious bias
 	
• Meaning of unconscious bias and the different types of unconscious bias (affinity ambiguity, confirmation, attribution and comparison)
 	
• Relationship between unconscious bias and diversity, and inclusion in terms of potential negative impact.

What needs to be learned
Learning outcome 6: Understand how to facilitate cross-team relationships

6A Cross-team relationships and collaboration
 	
   • Definition of cross-team relationship and collaboration.
 	
   • Collaboration techniques, including brainstorming, affinity sorting/affinity diagrams, ranking.
 	
   • Need for collaboration: reasons, cross-disciplinary skills and insight, innovation, builds trust, communication, stakeholder/team buy-in, greater productivity.
 	
   • Features of effective collaboration: shared goals, respect for all perspectives, empowerment of individuals, open communication, equal access to information, a collective mindset.
 	
   • Potential implications of ineffective collaboration: conflict between individuals and departments, wasted resources, organisation's competitive ability is weakened, delays, inefficiencies, poor lines of communication.
 	
6B Managing knowledge during collaboration
 	
   • Managing knowledge when collaborating with other departments: strategies and processes (designed to identify, capture, structure, value, leverage, and share an organisation's intellectual assets to enhance its performance and competitiveness).
 	
   • Factors to consider: tacit and explicit knowledge to be managed; availability of IT systems to support the process (intranets, databases); organisational culture (trust and willingness to share knowledge); suitability of engagement approaches, intellectual property; collaborative technologies to manage knowledge (groupware).

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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 given 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

To satisfy the assessment criteria for this learning outcome, learners will produce a report to be submitted to their line manager to support their organisation's review of the quality and effectiveness of its communications. Learners who are not in employment could produce the report based on an organisation with which they are familiar.

In the report, learners will:

1. examine **two** different forms of communication used in the organisation, considering:

   o the different methods of communication used within each of these forms

   o why these forms and associated methods are used in the organisation

   o the different work situations and contexts in which the forms and methods are most used

   o the individual strengths and weaknesses of each form (AC1.1).

2. describe how **two** legal requirements and **two** policies within the organisation affect the way in which people in the organisation communicate. Learners must give the name of each piece of legislation and policy, outline the requirements of each and clearly show how each impacts on communications in the organisation (AC1.2)

3. outline **three** actual or potential barriers to communication in the organisation and describe how each of these barriers can be eliminated or mitigated. The description of how to eliminate or mitigate the barriers must be specific to the barriers stated (AC1.3)

4. examine the impact of ineffective communication in the organisation, what causes this and the potential consequences for individuals and the organisation (AC1.4).

Learning outcome 2

To satisfy the assessment criteria for this learning outcome, learners will produce a set of working instructions to support new managers and colleagues in chairing and facilitating meetings effectively.

In the set of working instructions, learners will:

1. outline the role of the chairperson of a meeting and **at least three** responsibilities within this role (AC2.1)

2. outline **three** actions/activities that the chairperson of a meeting should carry out before a meeting to ensure that the meeting runs smoothly (AC2.2)

3. describe **three** techniques that a chairperson could use to facilitate a meeting effectively, and **two** ways in which they could ensure that agreed meeting actions are completed. Learners must provide details of how these techniques would be used (AC2.3, AC2.4).

Learning outcome 3

To satisfy the assessment criteria for this learning outcome, learners will produce a set of notes to help them develop their ability to respond to challenging situations and issues in their work environment. Learners who are not in employment can base their notes on an organisation with which they are familiar.

In their notes, learners will:

1. outline **two** potential situations or circumstances in the work environment that would require them to have challenging conversations, and describe how they would prepare for, and manage each of these challenging conversations. The description of how they would prepare and manage the conversations must be specific to each situation outlined (AC3.1)

2. describe **two** different situations in the work environment that would require them to escalate issues and raise concerns (AC3.2)

3. outline the procedures in the organisation for raising concerns and whistleblowing and give **at least two** detailed reasons why it is important to follow these procedures (AC3.3).

Learning outcome 4

To satisfy the assessment criteria for learning outcome 4, learners will produce a supporting resource for an upcoming training session on improving stakeholder management in their organisation. Their resource will be used to run a workshop on how stakeholder management principles can be applied in practice to improve stakeholder engagement. Learners who are not in employment can use an organisation with which they are familiar, as a basis for their training resource.

In their training resource, learners will:

1. identify **two** stakeholder groups in the organisation and outline **three** stakeholder management principles that could be used to effectively manage the relationship with these two groups. Learners must give **at least one** detailed reason for each principle to show why it would make engagement with the two identified stakeholder groups more effective and efficient (AC4.1)

2. outline negotiation and influencing strategies and/or techniques that could be used to engage with stakeholders in **three** specific situations relative to the organisation's context. For each strategy/technique, learners must give **at least one** detailed reason to show why the strategy/technique would contribute to positive and successful stakeholder engagement in each of the situations (AC4.2)

3. examine the features, advantages and disadvantages of **two** different conflict management strategies to determine their suitability for effectively managing stakeholder relationships in specific situations of conflict. Learners must clearly show how each technique can be effectively used to resolve conflict (AC4.3)

4. outline the impact of effective and ineffective stakeholder communications and provide **four** reasons to support this. Two reasons must be from the perspective of the stakeholder and the other two from the perspective of the organisation (AC4.4).

Learning outcome 5

To satisfy the assessment criteria for these learning outcomes, learners will produce presentation slides on the 'Impact of Emotional Intelligence and Unconscious Bias in Relationship Building' to be used as a part of a managers' training week. The slides can include pictures and/or images, video or audio. Learners are not required to deliver the presentation.

In their presentation slides, learners will:

1. outline the meaning of emotional intelligence and give **three** detailed reasons why it is an important element in building and maintaining good relationships with others (AC5.1)

2. describe **three** ways in which an individual can develop and improve their emotional intelligence. It must be clear how each of the ways presented will help to develop and improve emotional intelligence (AC5.2)

3. outline the meaning of unconscious bias and provide examples to show how the different types of unconscious bias operate in practice. Learners will then provide information, with supporting examples, to show how unconscious bias links to diversity and inclusion (AC5.3)

4. describe **two** ways in which unconscious bias impacts on a person's ability to build and maintain good relationships (AC5.4).

Learning outcome 6

To satisfy the assessment criteria for this learning outcome, learners could produce a briefing paper to be shared with other departments in their organisation to highlight the value of cross-team relationships and the best practice for it. Learners who are not in employment can base their briefing paper on an organisation with which they are familiar.

In their briefing paper, learners will:

1. examine the need for effective cross-team collaboration in the organisation, considering the features of effective collaboration, benefits of effective collaboration and the potential implications of ineffective collaboration between teams/departments (AC6.1)

2. describe **three** best practice techniques for building effective relationship across teams (AC6.2)

3. describe **three** factors that should be taken into account when managing knowledge during collaboration with other departments (AC6.3)

4. describe **three** challenges of cross-team working (AC6.4).

Unit 5: Principles of Project Management

Level:	**3**
Unit type:	**Knowledge**
Guided learning hours:	**25**

Unit introduction

Project management is a formal process that many organisations use to realise specific aim(s) and objective(s). Some of the main benefits of project management include: ensuring projects are delivered on time and within budget, keeping deliverables aligned to organisational objectives, guaranteeing return on investment and keeping key stakeholders informed. In many instances, a project team will be established to support the successful delivery of the project and ensure that it meets the needs and expectations of stakeholders.

In this unit, you will explore the basic principles of project management, including the project life cycle, common roles and responsibilities, and how effective project management benefits organisations. You will develop your knowledge and understanding of the processes, activities and tools required for planning each phase of a project. You will also develop your understanding of what is involved in delivering a project, including managing resources and risks, monitoring and tracking activities, the impact of unforeseen obstacles and why it is important to regularly review the progression of a project.

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 basic principles of project management	1.1	Explain the stages in the project life cycle
		1.2	Describe the common roles and responsibilities within a project team
		1.3	Outline the benefits of effective project management to an organisation
2	Understand the processes, activities and project management tools involved in the planning phase of a project	2.1	Explain why it is important to confirm the scope of a project
		2.2	Describe the processes and activities involved in planning a project
		2.3	Explain a range of project management tools that are used in planning a project
3	Understand how to deliver a project successfully	3.1	Describe how to manage resources to deliver a project successfully
		3.2	Explain the need to monitor and control time, cost and quality in delivering a project
		3.3	Describe the process and tools involved in tracking, monitoring and controlling a project during delivery
		3.4	Assess the impact of project delivery problems on the progress and success of a project
		3.5	Describe how to manage project risks and issues during the delivery of a project
		3.6	Explain why it is important to review the performance of a project

Unit content

What needs to be learned

Learning outcome 1: Understand the basic principles of project management

1A Understanding projects and project management

- Definition and characteristics of a project; how it differs from operations, including concepts of being temporary, unique and for a specific purpose.

- 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.

- Definition of project management; benefits of effective project management, including efficiency, effectiveness, customer satisfaction, competitive edge.

1B Common roles and responsibilities within project teams:

- Roles and responsibilities within project teams, relationships between these roles and the activities carried out by each role; roles including project manager, project sponsor, project board and project team members.

1C Key stages in the project life cycle

- Initiation: identification and justification of project need; assessing the size, scope and feasibility of the project.

- Planning: establishing business requirements, costs, schedule, deliverables, delivery dates; resource, quality and communication planning; risk analysis.

- Execution and control: project monitoring and control; measuring performance, taking corrective actions and reporting.

- Closure and evaluation: determining overall success of the project; documenting lessons learned.

What needs to be learned

Learning outcome 2. Understand the processes, activities and project management tools involved in the planning phase of a project

2A   Project planning processes and activities

- Importance of confirming the project scope with the project sponsor, including clarifying final deliverable, objectives assumptions, limitations etc.

- Project planning processes and activities:

  o scope planning – setting SMART objectives; determining the wider project deliverables; gathering and recording the requirements of the deliverables and project

  o project breakdown – breaking down the work of the project into smaller manageable tasks; identifying work packages

  o project schedule planning – identifying activities for each work package; determining sequencing of activities; identifying milestones; scheduling activities using appropriate tools, e.g. Gantt chart

  o resource planning – people, equipment, money, space; assessing resource availability required; estimating resource for each activity and duration

  o budget planning – calculating estimates for all project costs, including potential overruns; creating a budget plan

  o procurement planning – contract planning; procurement process

  o risk management – identifying and evaluating risks; creating risk mitigation plans; creating the risk log and contingency plans

  o quality planning – determining quality standards; identifying quality criteria to be used for the project; quality assurance process analysis

  o communication planning – identify stakeholders and their expectations; communications requirements analysis; determining method, frequency and timeframe for communications; creating communication plan.

2B   Project management tools and techniques used in project planning

- Purpose and use of a range of project management tools in project planning, including work breakdown structure (WBS), Gantt chart, network diagram, critical path diagram, milestone charts, fishbone diagrams and cost–benefit analysis.

What needs to be learned
Learning outcome 3: Understand how to deliver a project successfully

3A   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, as appropriate.
 	
• Human resources:
 	
   o selecting and preparing people, e.g. internal and external recruitment, secondment, arranging training and support
   o allocating tasks to team and monitoring work; delegation; resource levelling
   o managing people and performance including effective leadership, motivation, developing positive relationships and a collaborative project culture, performance appraisal, providing feedback and resolving conflicts.
 	
• Finance: implementing cost control mechanisms; monitoring spending against budget; cash flow and contingency planning; complying with organisational financial governance requirements.
 	
3B   Project tracking
 	
• Use of project management tools and techniques to track project activity and progress against planned deliverables, milestones and deadlines, including Gantt charts, critical path diagrams and milestone charts.
 	
3C   Project monitoring and control
 	
• Areas for monitoring: project objectives and 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

Learning outcome 3: Understand how to deliver a project successfully

- Process of project control:
    - establishing the standard, i.e. project plan
    - gathering monitoring information (regular scheduled project review meetings; project status reports)
    - comparing progress against the project plan and project objectives 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 include limited resources, overrun costs, poor communications, missed deadlines, lack of commitment and changes to project scope.

3D Managing project risks and issues

- The difference between risks and issues, and the difference in their impact on a project; examples of risks and issues in a project.

- How to manage risks:
    - create awareness of the risks identified in planning phase and their triggers
    - regular review 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
    - apply agreed risk mitigation strategies (risk avoidance, risk sharing, risk reduction, risk transfer) where risks have materialised
    - communication with stakeholders regarding risks
    - amend project plans where risks impact on critical path or timelines.

- Managing issues: early identification, limiting or removing their impact, working with others to resolve.

- Importance of reviewing the performance of a project, e.g. lessons learnt.

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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 given 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

To satisfy the assessment criteria for this learning outcome, learners will prepare materials to be used in a training session on the 'Basic Principles of Project Management' for new colleagues in their organisation, or for members of the team they are working with in their training environment. The materials could be presentation slides with speaker's notes or a handout.

In their slides or handout, learners will:

1. outline the stages within the project life cycle, including the activities that take place at each stage, and give **at least one** detailed reason for each to show why it is necessary in effective project management (AC1.1)

2. describe the roles and responsibilities of the project manager, project sponsor, project board and project team members. The description of the roles and responsibilities of each must include the activities carried out (AC1.2)

3. outline **three** benefits of effective project management to an organisation (AC1.3).

Learning outcome 2

To satisfy the assessment criteria for this learning outcome, learners will conduct research within their organisation on project planning and produce a set of notes with supporting redacted relevant project documentation to support their continuing professional development (CPD). The research could be carried out by talking to colleagues who are responsible/involved in project management and by reviewing real project documentation from current or previous projects. Learners who are not in employment could do the same with an organisation with which they are familiar

In their notes, learners will:

1. outline what it means to confirm the scope of a project, including who has the authority for confirming. Learners will then give **at least three** reasons why it is important for the project manager to confirm the project scope (AC2.1)

2. describe **five** processes that were carried out in the planning of a specific project in the organisation. Learners will detail the aim of the project and detail the purpose of each process and the activities that were carried out within each process to plan the project (AC2.2)

3. outline **at least two** project management tools that were used in the planning of the project and provide supporting information to show why each was used and how they helped in the planning of the project (AC2.3).

Learning outcome 3

To satisfy the assessment criteria for this learning outcome, learners will produce a reflective statement to show how they have delivered a project in their organisation and within their role as a manager. The reflective statement will be supported by related redacted work products/documents, where these are available.

Learners who do not have any experience in delivering a project or those who are not in employment could produce a set of notes for CPD purposes from researching the delivery of a specific project in their employer organisation or an organisation with which they are familiar. This could be the same project they used in their assessment for learning outcome 2.

In their reflective statement or notes, learners will:

- give a brief outline of the aims and purpose of the specific project

- describe how they have managed **two** types of resources (or how **two** types of resources were managed, if producing notes) in delivering the specific project. One of these resources must be human resources. The description must cover any activities carried out or processes applied in securing, procuring and organising the resources as well as how they were managed over time. In terms of human resources, it must include how the team was led and how their performance was managed (AC3.1)

- outline why it is important to monitor and control time, cost and quality, and give **at least three** detailed potential consequences if these three areas are not monitored and controlled properly (AC3.2)

- describe the process they used (or the process that was used, if producing notes) to monitor and control the project effectively during delivery and **at least two** project management tools that they used (were used) in tracking the project. The process described must be in line with recognised project delivery practices and it must be clear how the identified tools were used in project tracking (AC3.3)

- examine the impact of **at least two** potential or actual project delivery problems on the progress and success of the project, the reasons for the problems and the consequences if these were not resolved (AC3.4)

- describe how they managed risks and issues (or how risks and issues were managed, if producing notes) during the delivery of the project. Their approach to managing risks and issues must be in line with recognised project delivery practices and it must be clear how their approach impacted on the delivery of the project (AC3.5)

- outline how they reviewed the performance of the project (or how the performance of the project was reviewed, if producing notes) and give **at least three** detailed reasons why it is important to do this (AC3.6).

Unit 6: Understanding Personal Effectiveness as a Manager

Level:	**3**
Unit type:	**Knowledge**
Guided learning hours:	**30**

Unit introduction

Employers are no longer just looking for people with 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 individuals to become more personally effective in carrying out their 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 role 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 job role, the strategies for developing these skills and personal attributes, and the benefits they bring.

The content in this unit can be integrated and delivered in other units to show the relationship between the personal behaviours and transferable skills with the other technical knowledge and competencies of a manager's role. For example, the content for professionalism could be delivered alongside the content on leadership in *Unit 1: Principles of Leadership*. Similarly, the content for accountability and adaptability could be delivered alongside the content operational and budget management in *Unit 2: Principles of Managing Operations and Budgets*.

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 a management role	1.1	Analyse the requirements for professionalism in a management role in a specific organisational context
		1.2	Describe where to find information on employer expectations and standards for professionalism in a specific organisational context
		1.3	State why professionalism is important as a manager
2	Understand how to develop a range of transferable skills and personal attributes that contribute to personal effectiveness at work	2.1	Describe what it means to have good work ethics and how to demonstrate good work ethics in a management role
		2.2	Explain how to improve accountability as a manager and the effects of a lack of accountability in the workplace
		2.3	Explain how to develop personal adaptability and the benefits of adaptability in the workplace
		2.4	Explain how to build personal resilience and the benefits of doing so in the workplace
		2.5	Explain how to self-manage in the workplace and the benefits of effective self-management for self and team members
		2.6	Describe how to problem solve in the workplace
		2.7	Analyse the different techniques for decision making and the factors to be considered in making decisions in the workplace

Learning outcomes		Assessment criteria	
3	Understand how to manage personal performance in the workplace	3.1	Describe how to manage personal performance in the workplace
		3.2	State why it is important to manage own personal performance in the workplace
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	Compare different development activities that can be used in the development process
		4.3	Describe how to produce and maintain a personal development plan

Unit content

What needs to be learned

Learning outcome 1: Understand professionalism and its importance in a management role

1A Meaning of professionalism

- Meaning of professionalism, i.e. 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 of professionalism in different work environments and organisations; influenced by the nature of the industry and job role, customer expectations, regulatory requirements, brand, organisational culture.

1B Characteristics of professionalism

- Personal behaviours and conduct as a manager, including:

  o following organisational code of conduct and professional code of conduct (e.g. general conduct, conflict of interest, social media use, privacy and confidentiality, relationships, accepting gifts)
  o demonstrating a positive work attitude and commitment
  o showing respect and consideration for colleagues (e.g. safeguarding, supporting personal and career development, valuing contributions of all team members etc.)
  o being courteous, cooperative and inclusive (authentic, monitoring own unconscious bias)
  o being honest and transparent in behaviours and communications.

- Competence in the job role:

  o having the necessary managerial competencies and knowledge to do the job, e.g. project management skills, budget management, operational planning, performance management etc.
  o having relevant generic workplace competencies, e.g. negotiating, basic computer skills, communication, building relationships etc.
  o carrying out the responsibilities of the job role to the required standard
  o meeting agreed deadlines and performance standards
  o meeting necessary regulatory requirements e.g. data protection, health and safety, HR legal requirements etc.

What needs to be learned
Learning outcome 1: Understand professionalism and its importance in a management role

- Personal dress and appearance, including good personal hygiene; cleanliness; following organisational dress code; maintaining a smart appearance etc.

- 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.

1C   Sources of information on professional standards

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

1D   Importance of professionalism in a management role

- Importance of professionalism to the employer: 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: mutual respect between colleagues; clear boundaries; good team spirit; increased job satisfaction and personal growth.

What needs to be learned
Learning outcome 2: Understand how to develop and demonstrate a range of transferable skills and personal attributes that contribute to personal effectiveness at work

2A   Good work ethics

- Meaning of work ethics.

- Elements of good work ethics with relevant behavioural examples:

    o being responsible (completing assigned tasks on time and to required standards)
    o punctuality; commitment; honesty and integrity
    o professional behaviours and communications
    o demonstrating a positive approach
    o taking initiative/being proactive
    o self-development and self-motivation.

- Ways of demonstrating good work ethics, including:

    o taking ownership for understanding own role, goals and responsibilities
    o role modelling organisational behaviours and values
    o compliance with regulatory and governance requirements
    o continuously updating knowledge of organisational procedures, standards and relevant regulations and legislation; continuing professional development (CPD).

2B   Accountability in the workplace

- 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 leadership: 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.

2C Personal adaptability in the workplace

- Meaning of adaptability in a workplace context (i.e. willingness and ability to readily respond 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.

- 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
  - 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.

- How to develop adaptability, including:
  - 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 – increased opportunities for career progression, success at work, being better able to deal with life challenges, being a more valuable employee, demonstrating leadership capabilities
  - for employers – innovation, effective change and crisis management, remaining competitive, improved problem solving, employee wellbeing.

2D Personal resilience in the workplace

- Meaning of resilience (i.e. 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 well-being; personal growth.

- Strategies to build resilience, including:

  o developing high-quality and supportive relationships
  o developing awareness of own strengths and weaknesses
  o using challenges as learning opportunities
  o focusing on positive outcomes and celebrating success
  o committing to realistic goals and seeking help and support as needed
  o practising self-reflection
  o maintaining a healthy diet and regular exercise.

- Benefits of resilience in the workplace:

  o for individuals – increased confidence, being more able to manage stress, increased opportunities for career progression
  o for employers – more stable workforce, increased productivity, improved performance.

2E Self-management in the workplace

- Meaning of self-management skills, i.e. 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:

  o asking for feedback to get different perspectives; identifying blind spots
  o paying attention to other people's body language, emotions and words
  o recording thoughts, feelings, successes and failures
  o identifying strengths and weakness (e.g. using psychometric tests)
  o 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.

- Warning signs of stress, e.g. fatigue, anxiety, inability to concentrate, muscle tension, headaches, mood swings.

- Managing stress: seeking 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: 'To do' lists (monthly, weekly, daily); prioritising tasks (importance versus urgency, Covey Time Management Matrix); scheduling tasks and allowing flexibility in scheduling; setting realistic goals and deadlines; regularly reviewing workload; 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.

2F   Problem solving and decision making in the workplace

- Nature of problems at work: people (e.g. personality differences, cultural issues); processes (e.g. inefficient, not clear); systems and equipment (e.g. outdated, breakdown/failure, new); resources (e.g. inadequate); communications.

- Scope and impact of problem: who is affected and how many people; what is affected; who can resolve; duration of impact (short term, medium term, long term); financial loss; customer dissatisfaction.

- Sources of help for solving problems, including colleagues, managers/supervisors, policies and procedures.

- Problem-solving process: identifying the problem; developing understanding of the problem (e.g. fact-finding, analysis, understanding the interests of others); identifying possible options/solutions; evaluating options/solutions; deciding on an option/solution and documenting; implementing solution; seeking feedback, monitoring and evaluating success.

- Approaches that support problem solving, including, PDCA, problem-solving cycle, FOCUS model.

- Relationship between problem solving and 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.

What needs to be learned
• 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.
Learning outcome 3: Understand how to manage personal performance in the workplace

3A Managing personal performance in the workplace
 	
 • How to identify own responsibilities: job description; contract; staff handbook; code of conduct; organisational structure.
 	
 • Goal setting: agreeing SMART objectives with line manager; alignment of personal objectives with organisational aims/goals; relationship of personal objectives to those of team members and other colleagues.
 	
 • Measurement standards: agreeing criteria for measuring progress and achievement with line manager; 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.
 	
 • How to monitor and assess own 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.
 	
 3B Importance of managing personal performance in the workplace
 	
 • 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.

What needs to be learned
Learning outcome 4: Understand how to manage personal and professional development in the workplace
4A Learning and development needs • 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 etc. • How to identify 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. • Different learning styles: visual, auditory and kinaesthetic. **4B Learning and development activities** • 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 etc. **4C 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.

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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 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

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

1. analyse **three** different requirements and/or expectations for professionalism for a manager in their organisational context, showing clearly how these are influenced by factors relating to the industry in which they work, their employer organisation, professional code of conduct requirements 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. The description must include details of the specific type of information provided by each source (AC1.2)

3. give **two** reasons why professionalism is important in their role as a manager in their organisation. 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

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

1. describe **three** elements of good work ethics. The description must include details of what the behaviours look like in practice (AC2.1)

2. describe **three** actions they could undertake, and/or behaviours that they could adopt to demonstrate good work ethics in carrying out their management job role (AC2.1)

3. outline **three** ways in which they can improve their accountability as a manager, and give **at least one** detailed reason for each of these to clearly show why it would help them to improve (AC2.2)

4. outline **three** effects of a lack of accountability in their role as a manager and provide supporting information for each to show how it could impact on their team and organisation (AC2.2)

5. 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 it would support their development (AC2.3)

6. 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 it is of benefit (AC2.3)

7. outline **two** ways in which they can develop their own personal resilience, and give **at least one** reason for each to clearly show why it would be effective in supporting their development (AC2.4)

8. outline **two** ways in which personal 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 it is of benefit (AC2.4)

9. 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 it would improve their productivity (AC2.5)

10. explain, with supporting information, **two** ways in which effective self-management can benefit themselves and others in the workplace (AC2.5)

11. (a) outline **one** type of problem that may occur in their workplace and the potential impact of this problem (AC2.6)

    (b) describe how they would approach solving this problem, including the activities they would carry out and the people they would engage with. The description must include the problem-solving process (AC2.6)

12. (a) examine **two** decision-making techniques, considering their features, advantages and disadvantages, to determine their suitability to solve the identified problem (AC2.7)

(b) examine **two** factors they would need to consider when making decisions to resolve the identified problem (AC2.7).

Learning outcome 3

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

1. describe **three** activities they could engage in to manage their own performance in the workplace. The description must include the purpose of each activity and what it involves (AC3.1)

2. give **three** reasons why it is important for individuals to manage their own personal performance in the workplace (AC3.2).

Learning outcome 4

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

1. describe **two** ways they could identify their own learning and development needs (AC4.1)

2. compare **two** different learning and development activities that could be used to address a specific personal development need, considering their features, advantages and disadvantages (AC4.2)

3. (a) outline the areas covered in a personal development plan (AC4.3)

(b) describe how they would go about producing and maintaining their own personal development plan. The description must include the stages of development planning (AC4.3).

Unit 7: Leading and Developing People

Level: 3

Unit type: Skills

Guided learning hours: 17

Unit introduction

Leadership is one of the most influential and critical element of all successful organisations. Effective leaders have the necessary knowledge and skills to inspire and impact their teams, allowing organisations to run competently and smoothly. They not only lead people to accomplish common goals but also help them to achieve their potential and give individuals a sense of personal accomplishment and fulfilment.

The aim of this unit is to enable you to develop the key skills required to lead people effectively. You will develop the skills to communicate organisational strategy and team purpose in an effective manner to ensure shared understanding within the team. You will create a productive and supportive environment to enable the team to achieve, including building trust within the team, contributing positively to discussions and providing constructive feedback to support the progress of work activities.

You will also have the opportunity to use coaching to support the development of team members, creating, implementing and reviewing an appropriate coaching plan for individuals within the team. Change that affects a team can be unsettling and you will develop the skills to manage the team and provide effective leadership during a process of change.

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 communicate organisational strategy and team purpose effectively	1.1	Confirm team role and purpose in delivering the organisational strategy with relevant others
		1.2	Communicate organisational strategy and team purpose using a communication approach and presentation style that effectively conveys the message
		1.3	Confirm team understanding using appropriate communication skills and techniques
2	Be able to create a productive and supportive environment for the team to achieve	2.1	Create opportunities for team building that are appropriate for the team
		2.2	Build trust within the team using recognised principles and demonstrating positive personal behaviours
		2.3	Manage conflict within the team to reach an acceptable resolution in a positive and timely manner
		2.4	Contribute positively to team discussions
		2.5	Provide constructive feedback and share good practice to support progress of work activities
		2.6	Role model values and behaviours that reflect the organisational culture and that support team development

Learning outcomes		Assessment criteria	
3	Be able to use coaching to support the development of team members	3.1	Create and agree a coaching plan for an individual to meet their identified development needs
		3.2	Implement the agreed coaching plan to address the development needs using a recognised coaching model and appropriate coaching techniques
		3.3	Use communication skills effectively to support the coaching process
		3.4	Record coaching sessions and outcomes in line with organisational requirements
		3.5	Review the impact of the coaching on the performance of the individual and the organisation
4	Be able to manage change affecting the team effectively	4.1	Describe the nature and cause of a specific change situation in the work environment that affects the team
		4.2	Assess the potential positive and negative impact of the change on the team
		4.3	Plan how to overcome identified barriers, applying recognised change management principles
		4.4	Manage the team through the change using appropriate recognised change management principles and practices
		4.5	Provide leadership through the change ensuring minimal impact on team wellbeing and operational efficiency
		4.6	Review how effectively the team was managed throughout the change

Unit content

What needs to be learned

Learning outcome 1: Be able to communicate organisational strategy and team purpose effectively

1A Communicating organisational strategy and team purpose

- Analysing and translating strategy: identifying components of organisational strategy that are relevant to the team functions; explaining the relationship between the team activities and strategy.

- Communication approach:
  - using a mix of video, audio, visual and written communication, as appropriate
  - using simple but relevant messaging
  - being flexible and allowing opportunity for questions and feedback
  - using appropriate verbal and non-verbal communication techniques; listening to team members and observing their behaviours.

- Presentation style: inspirational and persuasive; use of storytelling; being personable; changing tone of voice and behaviours accordingly to match team needs; mirroring audience vocal style and body language.

- Checking team members' understanding – use of questioning, active listening and communication techniques (e.g. paraphrasing, summarising, reflecting, clarifying).

What needs to be learned

Learning outcome 2: Be able to create a productive and supportive environment for the team to achieve

2A   Encouraging teamwork, team relationships and building trust

- Applying leadership style appropriate to the team development stage and existing situations/contexts to lead the team effectively.

- Creating opportunities for team building, e.g. regular team meetings, team building away days, social activities etc.

- Building trust across the team using appropriate techniques, such as:

  - role modelling the behaviours expected of the team
  - encouraging input and collaboration from all team members
  - respecting diversity and valuing the contribution of each team member; welcoming and responding positively to feedback
  - communicating in an open and honest way
  - creating a sense of belonging and discouraging cliques from forming
  - delivering on promises, being reliable and consistent.

2B   Managing conflict

- Managing conflict using recognised best practice, including:

  - recognising signs of conflict (for example, anger, reduced productivity, ongoing disagreements, cliques etc.)
  - identifying the root cause of the conflict (using effective questioning and listening skills, interpreting non-verbal communications etc.)
  - applying a recognised conflict resolution model
  - exploring best solutions with all parties and offering alternative solutions
  - using escalation procedures, if necessary.

2C   Communicating and sharing good practice

- Contributing to team and cross-team discussions, including:

  - showing respect for the views of others and showing willingness to understand others' concerns and considerations
  - communicating effectively (clear and simple language, effective questioning and listening skills, use of techniques such as summarising and paraphrasing)
  - presenting viewpoints confidently, using valid evidence to support them
  - building rapport with other teams to create long-term relationships.

What needs to be learned

Learning outcome 2: Be able to create a productive and supportive environment for the team to achieve

- Providing feedback effectively, including:
  - basing feedback on credible data and/or objective judgements
  - using recognised models and strategies (e.g. right timing, preparation, being authentic, using constructive criticism etc.)
  - using effective questioning and listening skills.

- Sharing good practice, including:
  - identifying areas of good practice (for example, analysing and interpreting organisational data, researching industry best practice approaches and benchmarks)
  - communicating examples of good practice; encouraging sharing of experiences and knowledge (own and team members).

2D   Demonstrating supportive behaviours

- Developing own understanding of the organisational culture and values.

- Role modelling organisational values and culture.

- Demonstrating positive behaviours that support team development, such as patience, empathy, honesty and openness, fairness and impartiality, reliability; being approachable and confident; being calm and assertive.

Learning outcome 3: Be able to use coaching to support the development of team members

3A   Planning and preparing for coaching

- Planning coaching sessions: based on identified development needs; agreeing aims and objectives; establishing needs and ability of participants; identifying appropriate resources; identifying requirements, such as health and safety; identifying contingencies; developing a coaching plan; developing activities to achieve coaching objectives.

- Coaching plan components: including areas such as development success measures; manager and team member responsibilities; milestones/measurement points; target dates; resources required.

- Preparing coaching sessions: preparing self; preparing materials; obtaining and preparing equipment.

What needs to be learned
Learning outcome 3: Be able to use coaching to support the development of team members
3B   Delivering coaching sessions and reviewing outcomes   • Using coaching techniques: following a recognised coaching model; using appropriate communication skills, including effective questioning and active listening; building rapport; establishing participant readiness; using performance analysis; giving clear explanations and instructions; use of demonstrations.   • Giving feedback using recognised techniques, e.g. using BOOST (balanced, observed, objective, specific, timely), SBI, CORBS etc.; delivered in appropriate location; using positive-negative-positive.   • Reviewing impact of coaching: determining outcomes using available information such as sales data, post-coaching skills audit, feedback from customers etc.; identifying and noting areas for improvement.   • Meeting organisational requirements: recording coaching sessions and documenting outcomes and achievements in line with organisational requirements.

What needs to be learned
Learning outcome 4: Be able to manage change affecting the team effectively

4A Planning for managing change
 	
 • Types of changes that may affect team: for example, change in policies and procedures, organisational restructuring, change of location, range of products and services etc.
 	
 • Understanding the change: reasons for the change; affected stakeholders; identifying the potential impact of the change for individuals and whole team (positive and negative); identifying potential barriers.
 	
 • Planning how to overcome barriers to change: informing and educating; providing clear vision and leadership; creating a change climate that engages people to become involved and to contribute; establishing clear processes to generate ideas and suggestions.
 	
 • Working with other teams to identify appropriate actions to mitigate or eliminate barriers to change.
 	
 4B Managing the team through change
 	
 • Applying relevant change management practices and processes, including:
    o use of relevant project management tools
    o communicating rationale and benefits of change
    o creating and sharing the change management plan, including SMART objectives
    o allocating and delegating tasks so team members can drive the change
    o managing expectations and holding people accountable to ensure timely completion of tasks
    o monitoring barriers and implementing identified actions to eliminate/mitigate, as appropriate.
 	
 • Providing effective leadership through change, including:
    o providing a positive and professional environment to ensure success
    o engaging and empowering team members throughout the change
    o recognising team members' feelings and managing these effectively
    o demonstrating empathy and emotional intelligence in supporting team members.
 	
 • Reviewing all areas of the change management process (planning, communication, support, dealing with barriers etc.) to identify areas for improvement

Essential information for tutors and assessors

Essential resources

There are no special resources needed for this unit.

Assessment

This unit is internally assessed. To pass the 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.

It is expected that this unit will be assessed in the real working environment, where the evidence is naturally occurring and is collected over a period of time. If there are no naturally occurring activities to evidence the achievement of learning outcome 4, then the evidence to meet the related assessment criteria can be based on simulated activities.

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 skills 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 criteria has been covered and achieved.

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

Unit 8: Managing Individuals and a Team to Achieve Results

Level: 3

Unit type: Skills

Guided learning hours: 16

Unit introduction

The ability to develop individuals and manage a team that works together effectively to deliver results is a critical skill for any manager. High-performing individuals and teams are created in an environment where there is a shared understanding of values, goals and objectives, and where they are supported and motivated to achieve their goals and objectives.

The aim of this unit is to enable you to develop the key skills required to develop and manage people. You will have the opportunity to set operational objectives and performance goals for a team and individuals. You will develop the skills needed to support, develop and motivate individuals to become high-performing team members. This will involve identifying the development needs of individuals and putting in place appropriate development activities to meet these needs.

It is important that teams and individuals can see how they are progressing and you will have the opportunity to monitor team and individual progress against operational objectives and performance goals. As part of this, you will provide constructive and motivational feedback to support improved performance.

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 set operational objectives and performance goals for a team and individuals	1.1	Set and agree SMART operational objectives for the team that align with strategic/departmental objectives
		1.2	Agree appropriate Key Performance Indicators (KPIs) to measure progress against the objectives
		1.3	Communicate operational objectives and KPIs to team in a manner that secures commitment from the team
		1.4	Set and agree SMART performance goals for individuals that align with wider team operational objectives
		1.5	Use organisational tools, procedures and processes appropriately in setting and agreeing operational objectives and performance goals

Learning outcomes		Assessment criteria	
2	Be able to support, develop and motivate the team and individuals to become high performing	2.1	Manage team roles and dynamics to enable effective collaboration and team working
		2.2	Provide appropriate ongoing support and guidance to enable the team and individuals to perform well
		2.3	Identify the development needs of individuals using information from a range of relevant sources
		2.4	Select and facilitate an appropriate range of development activities to meet the development needs of individuals
		2.5	Motivate individuals to achieve personal and team objectives using recognised and appropriate motivational techniques
		2.6	Manage ongoing performance of the team and individuals to ensure objectives and goals are met
3	Be able to monitor team and individual progress against operational objectives and performance goals and provide constructive feedback	3.1	Track team and individual progress against performance indicators and performance standards on a regular basis
		3.2	Assess team and individual performance using relevant data from a range of sources
		3.3	Communicate overall team performance to team effectively
		3.4	Provide constructive and motivational feedback to team
		3.5	Provide constructive and motivational feedback to individuals and take any necessary steps to address underperformance

.

What needs to be learned
Learning outcome 1: Be able to set operational objectives and performance goals for a team and individuals

1A Setting operational objectives and performance goals
 	
• Role of the manager in delivering the operational plan.
 	
• Operational objectives: determined by organisational strategy, mission and aims; targeted to achieve specific strategic outcomes (performance, financial, quality, core values).
 	
• Performance goals: related to specific duties or tasks in job role; related to departmental and organisational objectives.
 	
• Setting operational objectives:
   o analysing department/organisational objectives and operational plan to identify requirements for team operational objectives
   o using organisational processes and tools to translate requirements into SMART operational objectives for the team, for example consulting with others, using templates and online systems etc.
   o communicating operational objectives to teams and individuals effectively, for example team meetings, one-to-one meetings.
 	
• Identifying outcomes/outputs expected and agree Key Performance Indicators (KPIs) and targets to track progress.
 	
• Setting performance goals for team members, including:
   o reviewing team operational objectives and team members' expertise, personal development requirements and responsibilities to identify requirements for performance goals
   o discussing and agree SMART performance goals with individuals
   o ensuring team members have necessary resources to achieve the goals.

What needs to be learned
Learning outcome 2: Be able to support, develop and motivate the team and individuals to become high performing

2A Developing a high-performing team and individuals

- Maintaining a balanced and effective team, e.g. assigning the necessary roles in the team with clear responsibilities; managing factors affecting the team dynamics; encouraging team bonding and team building.

- Providing practical ongoing support and guidance to the team/individuals to achieve the operational objectives and performance goals, e.g. providing clear guidance on work activities; sharing best practice ways of working; providing relevant resources; developing and implementing efficient procedures; resolving any issues or barriers to achieving the goals; ensuring the team understands performance indicators/measures.

- Developing individuals:

  o identifying individual development needs using a range of information sources, e.g. person specifications, KPIs and targets to be met, team objectives, outcomes of previous appraisals, feedback from others etc.
  o agreeing SMART development objectives and appropriate development opportunities and activities, e.g. coaching, mentoring, off-the-job courses etc.
  o monitoring and reviewing development over time.

2B Motivating individuals and managing their performance

- Motivating individuals:

  o identifying what motivates different individuals, e.g. observations of individual behaviours and performance; discussions with individuals etc.
  o applying a motivational theory appropriately to different individuals, for example Maslow's Hierarchy of Needs, Herzberg's Two-Factor theory etc.
  o offering encouragement.

What needs to be learned
Learning outcome 2: Be able to support, develop and motivate the team and individuals to become high performing

- Managing ongoing performance:
  - holding regular one-to-one meetings to review individual performance following organisational procedures and using appropriate recording documentation
  - reviewing individual performance against agreed performance standards
  - providing constructive feedback on performance using recognised strategies, e.g. BOOST, giving recommendations on how to improve, focusing on the situation, being specific etc.
  - recognising and reinforcing high performance
  - using organisational processes to manage absence
  - taking appropriate actions to correct underperformance, for example using organisational performance management processes, using a performance improvement plan (PIP), coaching etc.
- Demonstrating appropriate behaviours, e.g. being responsible and accountable, setting high standards and maintaining high expectations.

What needs to be learned

Learning outcome 3: Be able monitor team and individual progress against operational objectives and performance goals and provide constructive feedback

3A   Monitoring progress

- Tracking team and individual progress against performance indicators and performance standards on a regular basis.

- Adjusting resources as necessary to achieve objectives.

3B   Assessing performance and providing feedback

- Making objective judgements on team/individual performance using relevant data (e.g. KPIs and targets achieved, quality data etc.), feedback from others and own observations of performance and constraints.

- Communicating overall performance to the team/individuals.

- Recognising and highlighting areas where the team/individuals have performed well, i.e. met or exceeded objectives or goals.

- Identifying areas where objectives or goals were not met and providing constructive feedback on how to improve.

- Agreeing course of action to address underperforming areas, for example using organisational performance management processes, using a performance improvement plan (PIP), coaching etc.

- Demonstrating appropriate behaviours, e.g. being constructive and supportive, being positive, adaptable and solutions focused, building trust, being honest and open, being consistent and impartial.

Essential information for tutors and assessors

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.

It is expected that this unit will 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 skills 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 criteria has been covered and achieved.

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

Unit 9: Managing Operations and Budgets

Level:	**3**
Unit type:	**Skills**
Guided learning hours:	**20**

Unit introduction

The successful implementation of an operational plan is crucial to achieving the strategic goals and objectives of an organisation. As a manager, you have a key role to play in the implementation of the plan. Your responsibilities will include organising and managing the necessary resources and monitoring progress against targets.

The aim of this unit is to enable you to develop the key skills required to manage operations within the workplace. You will develop the skills needed to deliver against an operational plan, identifying SMART objectives, work activities and KPIs, communicating these to the team in an effective manner to ensure shared understanding within the team and monitoring team outputs. Finance is a key part of operational management and you will use budget control practices to achieve budget targets.

Change in the workplace can be unsettling and you will have the opportunity to respond to the resulting challenges in a professional manner. You will take ownership of the challenges to determine solutions to overcome these, involving the team, others and senior management as appropriate. You will also develop the skills needed to collate and analyse data to support decision making in the 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	Be able to deliver against an operational plan	1.1	Identify the work activities to be carried out by the team to deliver the operational plan
		1.2	Communicate activities to team members using an appropriate communication approach to ensure shared understanding
		1.3	Organise, prioritise and schedule work activities to support successful operational delivery
		1.4	Allocate work activities to team members taking account of individual roles, strengths and abilities
		1.5	Monitor and measure the team's outputs against KPIs and take any necessary actions

Learning outcomes		Assessment criteria	
2	Be able to respond professionally to operational challenges/issues resulting from change and implement solutions to overcome these	2.1	Identify two operational challenges/issues resulting from a change within the organisation
		2.2	Take ownership to resolve challenges/issues, demonstrating proactivity, resilience and adaptability
		2.3	Use recognised problem-solving and decision-making techniques to identify and select appropriate solutions to overcome these challenges/issues
		2.4	Use information from the team and others to support decision making
		2.5	Seek approval from senior management for the identified solutions
		2.6	Implement the solutions in a timely and efficient manner, following organisational procedures
		2.7	Escalate resolution of one operational challenge/issue following organisational procedures

Learning outcomes		Assessment criteria	
3	Be able to collate and analyse data and create reports	3.1	Collate data from primary and secondary sources to inform a management report
		3.2	Use appropriate data analysis techniques to extract and interpret data to provide information that can support decision making
		3.3	Prepare reports that meet audience needs and organisational requirements and standards to present the information from data analysis
4	Be able to apply financial organisational governance and compliance requirements to ensure effective budget controls	4.1	Use recognised budgetary control practices and organisational governance processes to control expenditure to achieve budget targets
		4.2	Explain how they have complied with organisational governance and compliance requirements

.

What needs to be learned

Learning outcome 1: Be able to deliver against an operational plan

1A   Identifying and communicating work activities

- Translating the operational plan to identify the work of the team:

    o   determining the activities that must be carried out by the team to meet the identified operational objectives

    o   identify any interdependencies with activities of other teams.

- Communicating activities, output/outcomes and KPIs to team members using appropriate methods, for example team meetings.

- Check team's understanding of activities to be completed.

1B   Planning, resourcing and monitoring progress

- Planning work:

    o   setting clear and realistic goals and objectives

    o   ensuring there is sufficient staff with relevant skills, knowledge and expertise

    o   identifying time required, prioritising activities using agreed criteria

    o   negotiating deadlines and timescales where priorities conflict.

- Scheduling work:

    o   based on available resources/equipment

    o   assessing the impact of current working arrangements (job sharing, part-time, flexible working)

    o   identifying and obtaining budgets and resources required

    o   identifying risks and contingencies to avoid and/or overcome these.

- Providing resources and guidance to support team in completing activities/undertaking actions.

- Managing team performance, measuring performance against agreed KPIs; providing feedback and taking actions to improve underperformance.

What needs to be learned
Learning outcome 2: Be able to respond professionally to operational challenges/issues resulting from change and implement solutions to overcome these

2A   Responding to challenges/issues in the workplace due to change

- Operational challenges/issues as a result of change: e.g. lack of time, resources or trained staff; cultural issues; risk aversion etc.

- Individual personal challenges/issues as a result of change: e.g. fear of failure, anxiety, stress, insecurity etc.

- Recognising and planning for potential challenges/issues based on the nature of change, e.g. using lessons-learnt reports, talking to colleagues, reviewing management reports.

2B   Finding solutions to identified challenges/issues

- Finding solutions to challenges/issues, including:
  - consulting with relevant colleagues, as appropriate
  - applying relevant problem-solving techniques and models to identify potential solutions, e.g. use of the problem-solving process, using problem-solving techniques (e.g. PDCA, FOCUS model, problem-solving cycle etc.)
  - use of decision-making techniques to select the most appropriate solution, e.g. decision tree, decision matrix, cost–benefit analysis etc.
  - using data to identify solutions.

- Identifying solutions (for example, increased resources, more time, additional training etc.).

- Making requests for approval of solutions to senior managers, with robust supporting evidence.

- Implement solutions in timely and efficient manner; support team members accordingly to adapt to changes, as necessary.

- Responding positively to challenges/issues: demonstrating accountability, flexibility, resilience and proactivity.

- Following relevant organisational procedures and processes.

What needs to be learned
Learning outcome 2: Be able to respond professionally to operational challenges/issues resulting from change and implement solutions to overcome these
2C   Escalating issues/challenges • Recognising boundary and limit of own authority. • Assessing the need to escalate, e.g. lack of knowledge and skills to resolve, beyond own remit, explored all potential resolutions etc. • Using organisational escalation procedures appropriately – directing to right person; use of appropriate documentation, systems and channels. • Taking ownership: following up to ensure resolution is followed through; providing additional information as necessary; updating affecting parties on progress.
Learning outcome 3: Be able to collate and analyse data and create reports

3A   Analysis and interpretation of data
 	
• Data collation: bringing data together and presenting in a manageable form to make it easier to analyse:
 	
    o summarising, categorising/grouping and tabulating data from relevant primary (e.g. documents, emails, surveys etc.) and secondary sources (e.g. articles, industry magazines and reports, internet etc.)
    o presenting data in tables, charts, graphs etc.
 	
• Analysing and interpreting business data:
 	
    o using basic statistical techniques to describe quantitative data (e.g. mean, mode and median, range, standard deviation)
    o identifying patterns and themes in the data to draw conclusions relevant to the purpose of the report
    o explaining how the conclusions support decision making
    o assessing credibility of secondary data sources, e.g. author, currency, purpose, audience, facts versus opinions
    o using appropriate pictorial representations, for example scatter plots, correlations and association, cross-tabulations.

What needs to be learned
Learning outcome 3: Be able to collate and analyse data and create reports
3B Producing reports using outputs from data analysis   • Using the agreed reporting format and house style; following organisational procedures; acknowledging the limitations of the analysis, referencing data sources.   • Using appropriate written communications: appropriate tone, language and use of formality; correct grammar and spelling; writing style appropriate to purpose of the report and audience.   • Formats for the presentation of information: table, chart, graph, diagram.
Learning outcome 4: Be able to apply financial organisational governance and compliance requirements to ensure effective budget controls

4A Budget control
 	
 • Confirm expenditure requirements with relevant colleagues.
 	
 • Use the budget process in line with own area of authority, organisational governance and compliance requirements.
 	
 • Identifying, investigating and monitoring variances (absolute, relative).
 	
 • Negotiating revisions to budget, as necessary.
 	
 • Monitoring budgets at agreed intervals and reporting regularly against budgets.
 	
 4B Organisational governance and compliance
 	
 • Complying with organisational governance:
    o following policies, processes and procedures that exist to satisfy governance and statutory compliance requirements
    o ensuring costs are controlled
    o delivering value for money (VFM) and efficiency
    o complying with internal requirements, for example audit requirements.
 	
 • Demonstrating appropriate behaviours: professionalism, i.e. open and honest, shows integrity, pays attention to detail and operates within organisational values.

Essential information for tutors and assessors

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.

It is expected that this unit will be assessed in the real working environment, where the evidence is naturally occurring and is collected over a period of time. If there are no naturally occurring activities to evidence the achievement of learning outcome 2, then the evidence to meet the related assessment criteria can be based on simulated activities.

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 skills 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 criteria has been covered and achieved.

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

Unit 10: Communicating and Building Relationships with Others

Level:	**3**
Unit type:	**Skills**
Guided learning hours:	**17**

Unit introduction

An organisation cannot overlook the importance of communication and collaboration between departments. Business innovation and improvement requires collaboration among a variety of departments. Collaboration is important, especially as organisations become more geographically dispersed and complex.

The aim of this unit is to enable you to develop the skills required to communicate effectively in the workplace, including skills in chairing and presenting at meetings. You will also develop the skills and abilities to collaborate with colleagues in other teams. This unit will give you the ability to negotiate with and influence others, whether they are customers, colleagues or senior managers.

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 communicate effectively with others, using verbal, written and digital communication formats	1.1	Communicate clearly, using verbal and non-verbal communication skills and techniques that are appropriate to the situations
		1.2	Communicate accurately and clearly in writing, in line with organisational standards and accepted business conventions
		1.3	Communicate clearly using a digital platform, in line with organisational digital media policies
		1.4	Follow organisational procedures when communicating
		1.5	Adapt verbal and non-verbal communication techniques as appropriate to meet the specific or changing needs of the audience and/or the situation
2	Be able to chair meetings, presenting information and managing discussions effectively to achieve the agreed objectives	2.1	Plan and prepare for meetings accordingly
		2.2	Facilitate and manage discussions during meetings to achieve meeting objectives
		2.3	Present information during meetings to team and management in a clear and logical manner
		2.4	Take the necessary steps to ensure that agreed actions from meetings are completed

Learning outcomes		Assessment criteria	
3	Be able to collaborate and build relationships with other teams to achieve team and/organisational objectives	3.1	Agree objectives and priorities of cross-team collaborations
		3.2	Build trust with colleagues using recognised principles and demonstrating positive personal behaviours
		3.3	Contribute positively to cross-team discussions to achieve agreed objectives
		3.4	Provide constructive feedback within cross-team discussions
		3.5	Identify and share good practice with other teams
4	Be able to build positive relationships with customers and manage these effectively	4.1	Communicate effectively with customers, using appropriate communication skills and techniques
		4.2	Build rapport and trust with customers, using recognised principles and demonstrating positive personal behaviours
		4.3	Manage customer relationship in a way that results in customer satisfaction
		4.4	Resolve customer issues to maintain a positive relationship

Learning outcomes		Assessment criteria	
5	Be able to use negotiation and influencing skills effectively to achieve desired outcomes	5.1	Prepare effectively for negotiations
		5.2	Influence negotiations to achieve the desired outcomes
		5.3	Maintain accurate records of negotiations, outcomes and agreements made
		5.4	Adhere to organisational policies and procedures, and legal and ethical requirements when conducting negotiations
		5.5	Review the effectiveness of own performance in the negotiation process

What needs to be learned
Learning outcome 1: Be able to communicate effectively with others, using verbal, written and digital communication formats

1A   Communicating effectively
 	
• Using different methods of communication for different purposes: verbal (face to face, telephone, video conferencing, telephone conferencing); written (letters, emails, reports); digital (web posts, social networking, instant messaging, podcasts, webinars, emails).
 	
• Using appropriate verbal and non-verbal communication techniques and behaviours, including:
 	
   o verbal techniques, such as use of questioning; active listening; empathising, summarising and paraphrasing; use of positive non-technical language; reflecting to check understanding; use of appropriate formality etc.
   o non-verbal techniques such good eye contact; using positive facial expressions; adopting an open posture; mirroring positive body language etc.
 	
• Clear and accurate written communication, including:
 	
   o using professional language, correct spelling, tone and grammar
   o using appropriate tone and vocabulary to suit purpose (informal, formal)
   o appropriate use of jargon, abbreviations and acronyms
   o clear presentation of information
   o use of appropriate format, house style
   o meeting business communication conventions, as appropriate to the intended audience and subject matter.
 	
• Following organisational procedures, protocols and corporate communication guidelines.
 	
• Adapt style and method, considering:
 	
   o the primary and secondary audience
   o the communication objectives
   o the context of the communication situation.
 	
• Confirming understanding of the message.

What needs to be learned
Learning outcome 2: Be able to chair meetings, presenting information and managing discussions effectively to achieve the agreed objectives

2A   Chairing meetings

- Preparing for meetings (organisational skills): planning the date, time and location; sourcing and booking the meeting venue; preparing and distributing meeting-related documentation, e.g. agenda, minutes of last meeting etc.; considering potential issues, e.g. clashing personalities, hidden agendas etc.; considering meeting protocols and procedures.

- Facilitating and managing meetings:
  - o opening the meeting and introducing the agenda
  - o outlining the purpose of the meeting
  - o controlling the meeting (agenda order, persons dominating discussion, interruptions, refocusing discussion, setting the pace, keeping to time)
  - o indicating progress made, concluding one point before the next
  - o emphasising main points and supporting the note taker
  - o clarifying any misunderstanding
  - o summarising achievements and agreed actions
  - o arranging the time and date of next meeting, if appropriate.

- Using relevant interpersonal skills: communicating clearly; problem-solving skills; negotiation skills; building rapport; resolving conflicts; questioning techniques; active listening; summarising techniques.

- Using emotional intelligence to adapt leadership style where necessary to ensure the best decisions are taken.

- Demonstrating appropriate behaviours: being assertive, methodical, consistent and fair; attention to detail.

2B   Presenting information during meetings

- Confirm and interpret the information to be presented and any required format.

- Consider the most appropriate format for the presentation of the information (e.g. tables, graphs, pie charts etc.).

- Consider the needs of the audience in deciding how to present the information.

- Follow relevant organisational templates and guidelines in presenting information.

- Use a logical structure to present the information.

- Use questioning to confirm understanding and gather thoughts from management or team members.

Learning outcome 2: Be able to chair meetings, presenting information and managing discussions effectively to achieve the agreed objectives

2C   Following up after meetings

- Ensuring minutes are circulated in a timely manner.

- Ensuring agreed actions are recorded correctly.

- Liaising with colleagues to ensure that agreed actions are completed.

Learning outcome 3: Be able to collaborate and build relationships with other teams to achieve team and/organisational objectives

3A   Contributing to cross-team working

- Contributing to cross-team discussions:

  o showing respect for the views of others
  o showing willingness to understand other teams' concerns and considerations
  o communicating effectively (clear and simple language, effective questioning and listening skills, use of techniques such as summarising and paraphrasing)
  o presenting viewpoints confidently, using valid evidence to support them
  o creating rapport with other teams to build long-term relationships.

- Providing feedback effectively:

  o basing feedback on credible data and/or objective judgements
  o using recognised models and techniques, e.g. CORBS, SBI etc.
  o using effective questioning and listening skills.

- Sharing good practice:

  o identifying areas of good practice (for example analysing and interpreting organisational data, researching industry best practice approaches and benchmarks)
  o communicating examples of good practice to other team, using appropriate communication methods and techniques; encouraging sharing of experiences and knowledge.

Learning outcome 4: Be able to build positive relationships with customers and manage these effectively

4A   Engaging with customers and building relationships

- Using verbal and non-verbal communication skills relevant to the situation.

- Using positive language and emotional intelligence to manage interactions.

- Demonstrating appropriate behaviours: professionalism (demonstrating organisational values and following processes), being friendly and approachable, being transparent and honest, being flexible and adaptable, delivering on promises.

- Creating rapport to build long-term relationships.

4B   Maintaining positive customer relationships

- Maintain positive long-term relationships with customers, using recognised practices such as:

  o providing necessary information in a timely manner
  o meeting customer needs within own remit and liaising with other relevant teams to meet needs outside of remit
  o meeting Service Level Agreements (SLAs) and monitoring customer satisfaction
  o negotiating with and influencing customers to reach a satisfactory agreement
  o being available when required to answer routine questions
  o resolving problems and complaints in a timely manner.

Learning outcome 5: Be able to use negotiation and influencing skills effectively to achieve desired outcomes

5A   Negotiating and influencing

- Negotiations could be with customers, colleagues in other teams, team members or other managers.

- Pre-negotiation – preparing to negotiate:

  o identifying goals and outcomes to be achieved
  o carrying out research on the other party and identifying their interest and benefits
  o setting negotiation parameters and fall back positions.

- Negotiating successfully:

  o using positive language and emotional intelligence to guide negotiations: communicating effectively to understand other party position (listening and questioning skills, verbal and non-verbal communications)
  o building rapport and developing relationships (identifying shared goals/outcomes, mirroring, empathising)
  o using appropriate influencing strategies and techniques
  o overcoming objections and showing the other party how their needs will be met
  o managing personal impact and presence (for example demonstrating a balance of confidence, conviction and vulnerability, being authentic and consistent).

- Recording agreement: using organisational documentation and sign-off processes, detailing agreed actions and terms.

Essential information for tutors and assessors

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.

It is expected that this unit will 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 skills 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 criteria 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 Projects

Level: 3

Unit type: Skills

Guided learning hours: 15

Unit introduction

The aim of this unit is to enable you to develop the key skills required to plan and manage a project to meet a specified organisational need. You will be able to develop your project planning skills, establishing objectives, timescales and stakeholder expectations. To support this, you will use appropriate project management tools and create the required project planning documentation, including a stakeholder communication plan.

Based on your plan, you will have the opportunity to deliver the project against the requirements you have specified. Key aspects of this will be allocating and monitoring resources, monitoring project progress using appropriate project management tools, managing risks and issues, and evaluating the effectiveness of project delivery.

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 to meet a specific organisational need	1.1	Clarify project objectives and timescales
		1.2	Identify and engage with stakeholders to agree involvement and expectations
		1.3	Estimate and secure the resources required to deliver the project
		1.4	Use relevant project management tools in planning the project
		1.5	Create project documentation, including a project plan, communication plan and a risk and issue log

Learning outcomes		Assessment criteria	
2	Be able to deliver a project successfully against a project plan	2.1	Allocate resources in line with the project plan to ensure sufficiency and availability of resource
		2.2	Review resource usage and make any necessary changes to ensure effective resource utilisation
		2.3	Track and monitor progress against project deliverables, milestones and deadlines using the appropriate project management tools
		2.4	Regularly communicate with project team and stakeholders in line with the communication plan
		2.5	Manage risks and issues to ensure successful project delivery
		2.6	Revise project plan to take account of any changes in circumstances or risk impact
		2.7	Demonstrate appropriate behaviours in the delivery of the project
		2.8	Evaluate the effectiveness of the project delivery

What needs to be learned

Learning outcome 1: Be able to plan a project to meet a specific organisational need

1A   Project planning

- Confirming project scope: clarifying the requirements of the project with project sponsor; confirming understanding of project objectives and timescales.

- Engagement with stakeholders to agree involvement and expectations (internal and external stakeholders).

- Identifying activities to be completed and the sequencing of activities.

- Resourcing:
  - identify the resources needed to complete the project activities
  - resources, including people, equipment, technology, time, space (venue and other physical facilities), materials and supplies, budget (money)
  - secure the resources to deliver the project successfully and on time.

1B   Project documentation and project tools

- Setting up the project plan:
  - use of relevant project management tools, such as Gantt chart, PERT chart, Plan on a page
  - project plan to include: project objectives, project stages, project activities, actions, project team members and their responsibilities, target timescales and resource requirements.

- Creating a communication plan to include: relevant stakeholders, information to be communicated and timescales.

- Creating a risks and issues log:
  - identifying, categorising and analysing types and probability of risk, e.g. environmental uncertainty, supply chain, outsourcing, market, task loading
  - risks and issues log to include: known and potential risks and likelihood, impact and possible mitigation strategies/steps.

- Use of other project tools in planning stage, e.g. fishbone diagram, cost–benefit analysis, milestone chart, RACI.

Learning outcome 2: Be able to deliver a project successfully against a project plan

2A **Organising and managing resources**

- Allocating resources in accordance with the project plan (finance, human resources, for example staff numbers; specific expertise; physical resources, for example equipment and materials).

- Ensuring appropriate sufficiency and type of resources are available: monitoring resource usage against project plan; resource levelling.

2B **Managing project risks and issues**

- Following risk management processes, including:

  - risk awareness
  - monitoring of risk log to assess changes to risk probability
  - making risk decisions
  - applying risk mitigation strategies where risks materialise
  - communicating with stakeholder regarding risks
  - amend project plan where risks impact on timelines.

- Identifying and assessing issues; implementing and supervising controls.

2C **Monitoring and communicating project progress**

- Using project management plan (Gantt chart, PERT chart, Plan on a page) to track activities and progress against planned deliverables, milestones and deadlines.

- Monitoring progress against the project plan, including:

  - setting project review dates
  - recording achievements against activities and milestones
  - recording feedback from progress updates
  - project reviews and focus group meetings with team and stakeholders
  - reviewing progress using project plan
  - reviewing and revising objectives.

Learning outcome 2: Be able to deliver a project successfully against a project plan

2D   Evaluating project effectiveness

- Assessing:
  - the success of the project against original project scope, project plan and objectives
  - the achievement of critical success factors and performance measures
  - negative outcomes and implications (internal and external).

- Lessons learnt for the future.

- Demonstrating appropriate behaviours when delivering the project: resilience and accountability; attention to detail; being solutions-focused; conscientious, collaborative, positive and adaptable, clear communication, proactive.

Essential information for tutors and assessors

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.

It is expected that this unit will be assessed in the real working environment, where the evidence is naturally occurring and is collected over a period of time. If there are no naturally occurring activities to provide evidence for assessment criteria 2.5 and 2.6, then the evidence for these assessment criteria can be based on simulated activities.

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 skills 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 criteria has been covered and achieved.

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

Unit 12: Managing Personal Effectiveness in a Management Role

Level: 3

Assessment type: Skills

Guided learning hours: 10

Unit introduction

In this unit, you will apply your transferable skills and personal attributes to demonstrate your effectiveness in your role as a manager.

You will demonstrate your ability to manage your own time effectively and efficiently and to use feedback gained from others in your workplace in order to help you improve your performance. Additionally, you will have the opportunity to create a personal development plan, which will allow you to review and evaluate your performance against a set of key goals and targets, and to monitor this plan to ensure continuous improvement.

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 demonstrate professionalism and good work ethics in a management role	1.1	Show courtesy, respect and consideration to colleagues and other stakeholders
		1.2	Behave in an open, honest and trustworthy manner
		1.3	Show respect for diversity and actively promote diversity and inclusion in the workplace
		1.4	Demonstrate fairness and impartiality when addressing personal performance or standards of behaviour
		1.5	Demonstrate personal qualities and behaviours that reflect good work ethics
2	Be able to manage own personal performance in the workplace	2.1	Manage own workload and time pressures using appropriate time management tools and techniques
		2.2	Respond positively to changing business priorities and adapts work plan appropriately to meet these
		2.3	Proactively seeks feedback about own performance and leadership style from a range of sources
		2.4	Assess own performance and reflect on feedback to identify strengths and weaknesses
		2.5	Make timely improvements to own performance using learning from feedback received

Learning outcomes			Assessment criteria	
3	Be able to manage own personal and professional development in the workplace	3.1	Agree specific, measurable, achievable, realistic and time-bound (SMART) learning and development objectives to meet identified needs	
		3.2	Produce a personal development plan to meet agreed SMART objectives	
		3.3	Undertake planned learning and development activities to fulfil the personal development plan	
		3.4	Review progress against agreed objectives and amend the personal development plan accordingly	
		3.5	Record personal development in a continuous professional development (CPD) log	
		3.6	Evaluate the effectiveness of own CPD in improving performance in own job role as a manager	

Unit content

What needs to be learned
Learning outcome 1: Be able to demonstrate professionalism and good work ethics in a management role

1A   Demonstrating professionalism as a manager

- Positive personal behaviours: politeness and kindness; allowing others to express their views; listening to others; fairness and integrity; use of positive body language; utilising emotional intelligence and personal awareness.

- Showing respect for colleagues as a manager, including:
  - respecting colleagues' personal time and work-life balance
  - taking all necessary steps to safeguard colleagues from harassment or bullying
  - supporting colleagues to understand fully their responsibilities, areas of authority and accountability
  - encouraging and assisting colleagues to develop their skills and progress their careers
  - valuing the contribution of colleagues, and recognising their achievements
  - showing regard for the physical and mental health, safety and wellbeing of colleagues, recognising their specific needs and the pressures and problems they face.

- Behaving in an honest, open and trustworthy manner, e.g.:
  - taking responsibility for own actions and decisions
  - disclosing any personal interest which may affect decision making
  - taking timely and reasonable actions in identifying and resolving ethical conflicts of values
  - being truthful and transparent in all communications
  - neither offering nor accepting gifts or services which could create, or imply, an improper obligation.

- Professional conduct, including: complying with code of conduct for managers stipulated by professional body; avoiding behaviours that will damage the reputation of the profession; not taking personal advantage of access to confidential, proprietary, commercially sensitive and personal information etc.

Learning outcome 1: Be able to demonstrate professionalism and good work ethics in a management role

- Showing respect for diversity and inclusion: being tolerant and open-minded, respecting the background, values, beliefs and customs of colleagues; use of non-discriminatory language; using communication appropriate to different people and situations; integrity, fairness and consistency in decision making.

- Promoting diversity and inclusion, including:

  o ensuring colleagues are aware of their responsibilities under equality legislation and organisational policy
  o identifying potential issues
  o recommending ways to improve equality and inclusion
  o supporting individuals with diverse needs.

1B   Demonstrating good work ethics in a management role

- Demonstrating good work ethics, including:

  o taking ownership for understanding own role, goals, responsibilities and standards for performance
  o behaving in a manner that supports the organisation's overall objectives and reputation
  o complying, and promoting compliance with organisational policies and procedures and relevant legislation (e.g. data protection, health and safety, equality etc.) in carrying out own job role
  o managing own time and workload effectively
  o managing own continuing professional development (CPD)
  o establishing, maintaining and developing business relationships based on mutual confidence, trust and respect.

Learning outcome 2: Be able to manage own personal performance in the workplace

2A Managing personal performance in the workplace

- Managing own workload and time pressures, including:
  - agreeing priorities, realistic goals and deadlines with line manager
  - prioritising tasks using appropriate basis, e.g. importance versus urgency (Covey Time Management Matrix); Lakein's ABC; stakeholder needs and influence; timescales
  - use of time management techniques appropriate to the situation, such as 'To do' lists (monthly, weekly, daily); scheduling activities; delegating
  - allowing flexibility in scheduling to facilitate any changing priorities.
  - Managing activities to completion, e.g. regularly reviewing workload; keeping multi-tasking to a minimum; taking actions to minimise distractions; managing emails effectively (4Ds – Do, Delegate, Defer, Delete).
  - Responding positively to changing priorities, such as:
  - being receptive and positive (e.g. saying 'yes' rather than 'no' and asking questions to understand the nature and reason for the change)
  - controlling emotions and not taking it personally (use of emotional intelligence)
  - agreeing new priorities with line manager
  - thinking creatively about how to facilitate the change
  - collaborating with colleagues where appropriate to implement change
  - managing own stress and showing resilience.

2B Monitoring and assessing own performance

  - Asking for feedback:
  - potential sources of feedback: direct reports; line manager; senior management; other teams and departments; other stakeholders
  - areas for feedback: personal and professional behaviours, leadership style; people management; performance targets; communications; quality standards
  - seeking clarification where necessary: positive use of questioning; asking for examples; paraphrasing and summarising key points.
  - Reflecting on feedback, including assessing suitability of management style against organisational culture and team needs; evaluating impact of management style on team.

Learning outcome 2: Be able to manage own personal performance in the workplace

- Applying feedback on performance to improve own work practice on an ongoing basis, for example, adjusting leadership style, making changes to management practice etc.

- Attending and engaging in regular one-to-one meetings.

- Actively participating in performance appraisal process, e.g. regularly updating performance review systems, preparing evidence for discussion at meeting etc.).

- Using feedback to inform personal development planning.

Learning outcome 3: Be able to manage own personal and professional development in the workplace

3A Identifying learning and development needs

- Other sources of information for self-assessment:

  o analysis of industry/professional trends and the external environment
  o analysis of job description and team objectives; CPD requirements
  o performance reviews and appraisals
  o own career aspirations and personal brand
  o customer surveys; KPI reports.

- Using self-assessment tools, e.g. reflection activities, SWOT analysis, skills audit, analysis of feedback.

- Reflecting on outcomes of self-assessment activities in relation to:

  o own skills, knowledge and behaviours
  o productivity level, quality standards and working practices
  o identifying strengths and weaknesses
  o identifying areas for development
  o recognising achievements and successes.

3B Agreeing SMART objectives and selecting appropriate development activities

- Working with line manager or relevant others to agree the scope of development plan: agreeing a reasonable number of development areas for focus in the development plan - consideration of factors such as time, capacity and resources.

Learning outcome 3: Be able to manage own personal and professional development in the workplace

- Agreeing SMART learning and development objectives to address the agreed development areas as well as to build and leverage strengths.

- Agreeing what success looks like (evidence of success; success criteria).

- Identifying learning and development activities:

  o considerations, including development needs and objectives, development impact, budget, learning styles, capacity etc.
  o selecting a variety of learning and development activities, e.g. applying the 70:20:10 model (Lombardo & Eichinger (2000)).

3C Producing and managing a personal development plan (PDP)

- Contents of a PDP: agreed SMART objectives; selected learning and development activities; success criteria; resources; timescales; review mechanisms.

- Using relevant organisational systems, procedures and templates to produce and record PDP.

- Monitoring a personal development plan:

  o setting review dates
  o reviewing and revising objectives
  o tracking against targets (milestones, completion)
  o identifying reasons for deviations from plan and exploitative or corrective actions.

3D Maintaining a continuous professional development (CPD) log

- Recording learning and development activities in a CPD log:

  o date and duration of learning and development activities
  o learning and development achieved – what was learnt (formally and informally)
  o rationale for the appropriateness of the learning and development (how well it matches identified development needs)
  o how you have applied, are applying or will apply what has been learnt in the workplace.

- Use of professional body template or other acceptable template; regular updating of CPD log to accurately capture learning and development activities.

- Evaluating the effectiveness of own CPD: using information from range of valid sources to assess changes in skills, behaviours and knowledge, e.g. feedback from manager, peers and direct reports; outcomes of appraisals and reviews; diagnostic tests.

Essential information for tutors and assessors

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.

It is expected that this unit will 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 skills 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 criteria has been covered and achieved.

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

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 – *Effective Teambuilding – How to Make a Winning Team*, revised edition (Pan Macmillan, 2015) ISBN 9781509817269

Armstrong M, Taylor S – *Armstrong's Handbook of Human Resource Management Practice* (Kogan Page, 2017) ISBN 9780749474119

Bagley C, Dean A, Stubbs L, Gardiner M – *BTEC National Business,* UK ed., 2nd edition, (Collins Educational, 2011) ISBN 9780007418473

Barker S – *Brilliant Project Management: What the Best Project Managers Know, Do and Say* (Brilliant Business) (Pearson, 2012) ISBN 9780273775096

Cobb Anthony T – *Leading Project Teams* (Sage Publications, Inc, 2006) ISBN 9781412909471

Graham N – *Project Management for Dummies* (John Wiley & Sons, 2010) ISBN 9780470711194

Horine G – *Project Management Absolute Beginner's Guide,* 4th edition (Que, 2017) ISBN 9780789756756

James R **–** *Emotional Intelligence: 21 Most Effective Tips and Tricks on Self Awareness, Controlling Your Emotions, and Improving Your EQ* (CreateSpace, 2017) ISBN 9781977792426

Liddle D **–** *Managing Conflict: A Practical Guide to Resolution in the Workplace* (Kogan Page Ltd, 2017) ISBN 9780749480882

Liraz M – *How to Improve Your Leadership and Management Skills – Effective Strategies for Business Managers* (CreateSpace, 2017) ISBN 9781548369521

McCloud A – *Team Building: Discover How to Easily Build and Manage Winning Teams* (Pro Mastery Publishing, 2017) ISBN 9781640482029

Pardey D – *Introducing Leadership,* 1st edition (Routledge, 2006) ISBN 9780750669016

Pinto J – *Project Management: Achieving Competitive Advantage*, 4th edition (Pearson, 2015) ISBN 9781292094793

Radcliffe S – *Future – Engage – Deliver: The Essential Guide to Your Leadership* (Matador, 2008) ISBN 9781848760288

Radcliffe S – *Leadership: Plain and Simple*, 2nd edition (FT Press, 2012)
ISBN 9780273772415

Richards S – T*eam Leadership: How to Build and Manage Highly Effective Teams*
(CreateSpace, 2015) ISBN 9781519637871

Shwom B, Snyder L – *Business Communication: Polishing Your Professional Presence,*
3rd edition (Pearson, 2015) ISBN 9780133863307

Whitmore J – *Coaching for Performance: The Principles and Practice of Coaching and
Leadership,* fully revised 25th anniversary edition (Nicholas Brealey Publishing, 2017)
ISBN 9781473658127

Journals

Bonaccio S, O'Reilly J, O'Sullivan S, Chiocchio F – *Nonverbal Behavior and
Communication in the Workplace* – Journal of Management, vol. 42, 5: pp. 1044–1074,
first published February 2, 2016

Buvik M, Tvdt S – *The Influence of Project Commitment and Team Commitment on the
Relationship between Trust and Knowledge Sharing in Project Teams,* Project
Management Journal, vol. 48, 2: pp. 5–21, first published April 1, 2017

Coffelt T A, Baker M J, Corey R C – *Business Communication Practices from Employers'
Perspectives*, Iowa State University, first published May 25, 2016

Conroy S A, Gupta N – *Team Pay-For-Performance – The Devil is in the Details*, Group &
Organization Management, vol. 41, 1: pp. 32–65, first published September 28, 2015

Johnson A, Nguyen H, Groth M, White L – *Workplace aggression and organisational
effectiveness: The mediating role of employee engagement*,
Australian Journal of Management, first published 29 May 2018

Ljungblom M, Lennerfors T – *Virtues and Vices in Project Management Ethics: An
Empirical Investigation of Project Managers and Project Management Students*, Project
Management Journal, vol. 49, 3: pp. 5–16, first published June 21, 2018

Pinder D – *On 'Value' and 'Performance'*, Journal of Creating Value, vol. 1, 2: pp. 150-158,
first published December 24, 2015

Websites

www.businessballs.com	Free resources on all aspects of leadership, supervisory roles and management
www.businesscasestudies.co.uk	*The Times* site is a free educational resource for teachers and learners, providing 100 case studies of companies and business issues
www.cipd.co.uk	Useful resources employment legislation and other employment topics
www.equalityhumanrights.com	The Equality and Human Rights Commission site contains case studies and other material on areas such as employment practice, equal pay and discrimination
www.forbes.com/sites/lizryan/2016/03/27/management-vs-leadership-five-ways-they-are-different/#72308e9869ee	Considers management versus leadership and the key differences
www.ft.com	*The Financial Times* website will help keep learners up to date with business matters and contains an excellent archive
www.in-equilibrium.co.uk/equality-diversity-resources/	Contains free resources and articles relating to equality and diversity

Websites (continued)

www.investorsinpeople.co.uk	The Investors in People site provides a library of case studies, and has statistics and recent research materials
www.managementstudyguide.com	Helpful information on methods of business communication
www.managementtoday.co.uk	Articles on all aspects of business, including leadership
www.mindtools.com/pages/article/newPPM_60.htm	Free skills audit for project management skills
www.personalityexplorer.com	Free resources on conflict management
http://positivepsychology.org.uk	Theories and measure of emotional intelligence
http://projectmanagementskills.info	Useful articles, White Papers and tools for project management
www.projectsmart.co.uk/articles.php	Critical insight into project management tools, methodology and facilitation skills
www.psychologytoday.com	Offers an insight into emotional intelligence

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

Books, software and online resources for UK schools and colleges: 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, diversity and inclusion 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

Annexe A

Mapping of the Team Leader/Supervisor Apprenticeship Standard to the qualification content

The grid below maps the knowledge, skills and behaviours (KSBs) of the Team Leader/Supervisor Apprenticeship Standard to the content covered in the Pearson BTEC Level 3 Certificate and Diploma for Managers.

Please note: only Units 1–6 are part of the Certificate structure.

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 Specialist units KSBs from the Apprenticeship Standard		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
Knowledge	**Leading People** Understand different leadership styles and the benefits of coaching to support people and improve performance. Understand organisational cultures, equality, diversity and inclusion.	#					

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
	Managing People Understand people and team management models, including team dynamics and motivation techniques. Understand HR systems and legal requirements, and performance management techniques, including setting goals and objectives, conducting appraisals, reviewing performance, absence management, providing constructive feedback, and recognising achievement and good behaviour.			#			
	Building Relationships Understand approaches to customer and stakeholder relationship management, including emotional intelligence and managing conflict. Know how to facilitate cross-team working to support delivery of organisational objectives.				#		

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
	Communication Understand different forms of communication and their application. Know how to chair meetings, hold challenging conversations, provide constructive feedback and understand how to raise concerns.				#		
	Operational Management Understand how organisational strategy is developed. Know how to implement operational/team plans and manage resources and approaches to managing change within the team. Understand data management, and the use of different technologies in business.		#				
	Finance Understand organisational governance and compliance, and how to deliver Value for Money. Know how to monitor budgets to ensure efficiencies and that costs do not overrun.		#				

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
	Project Management Understand the project life cycle and roles. Know how to deliver a project including: managing resources, identifying risks and issues, using relevant project management tools.					#	

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
#	**Personal Effectiveness – managing self** **Awareness of self** Know how to be self-aware and understand unconscious bias and inclusivity. Understand learning styles, feedback mechanisms and how to use emotional intelligence. **Management of self** Understand time management techniques and tools, and how to prioritise activities and approaches to planning. **Decision making** Understand problem-solving and decision-making techniques, and how to analyse data to support decision making.	#	#	#	#		#
#	**Behaviours** Takes responsibility Inclusive Agile Professionalism						#

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 7	Unit 8	Unit 9	Unit 10	Unit 11	Unit 12
Skills	**Leading People** Able to communicate organisation strategy and team purpose, and adapt style to suit the audience. Support the development of the team and people through coaching, role modelling values and behaviours, and managing change effectively.	#					
	Managing People Able to build a high-performing team by supporting and developing individuals, and motivating them to achieve. Able to set operational and personal goals and objectives and monitor progress, providing clear guidance and feedback.		#				
	Building Relationships Building trust with and across the team, using effective negotiation and influencing skills, and managing any conflicts. Able to input to discussions and provide feedback (to team and more widely), and identify and share good practice across teams. Building relationships with customers and managing these effectively.				#		
	Communication Able to communicate effectively (verbal, written, digital), chair meetings and present to team and management. Use of active listening and provision of constructive feedback.				#		

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 7	Unit 8	Unit 9	Unit 10	Unit 11	Unit 12
	Operational Management Able to communicate organisational strategy and deliver against operational plans, translating goals into deliverable actions for the team, and monitoring outcomes. Able to adapt to change, identifying challenges and solutions. Ability to organise, prioritise and allocate work, and effectively use resources. Able to collate and analyse data, and create reports.			#			
	Project Management Able to organise, manage resources and risk, and monitor progress to deliver against the project plan. Ability to use relevant project management tools, and take corrective action to ensure successful project delivery.					#	
	Finance Applying organisational governance and compliance requirements to ensure effective budget controls.			#			

BTEC Specialist units KSBs from the Apprenticeship Standard		Unit 7	Unit 8	Unit 9	Unit 10	Unit 11	Unit 12
	Personal Effectiveness – managing self **Self-awareness** Able to reflect on own performance, seek feedback, understand why things happen, and make timely changes by applying learning from feedback received. **Management of self** Able to create an effective personal development plan, and use time-management techniques to manage workload and pressure. **Decision making** Use of effective problem-solving techniques to make decisions relating to delivery using information from the team and others, and able to escalate issues when required.			#			#
	Behaviours Takes responsibility Inclusive Agile Professionalism	#	#	#	#	#	#

Annexe B

Glossary of terms used in assessment criteria

This is a summary of the key terms used to define the assessment requirements in the units.

Terms	Definition
Analyse	Examine methodically and in detail, typically in order to interpret.
Assess	Considers all the factors/events/concepts that apply to a situation to identify those that are most relevant and arrive at a conclusion.
Compare	Identify the main factors relating to two or more items/situations, explain the similarities and differences, and in some cases say which is best and why.
Define	Specify exactly the meaning, nature or scope of something. The use of correct terminology is expected.
Describe	Give a clear account in their own words, including all the relevant information, e.g. qualities, characteristics or events etc. Description shows recall and in some cases application.
Detailed	Having additional facts or information beyond a simple response.
Discuss	Consideration of different aspects of a topic or theme, including how they relate to each other and the extent to which they are important.

Terms	Definition
Evaluate	Bring together all information and review it to form a conclusion, drawing on evidence, including strengths, weaknesses, alternative actions, relevant data or information.
Explain	Provide details and give reasons and/or evidence to support an argument or point. *OR* Provide details and give relevant examples to clarify and extend a point. This would usually in the context of learners showing their understanding of a technical concept or principle.
Outline	A description setting out the main characteristics or points; write a clear description but without going into too much detail.
State	Express information in clear and precise terms.