SVQs IN MANAGEMENT

Syllabus | May 2017 | Version 4

CMI Chartered Management Institute

CONTENTS

INTRODUCTION

This document provides guidance for Approved Centre staff in the assessment and quality assurance of the Team Leading and Management Scottish Vocational Qualifications.

TITLES AND REFERENCE NUMBERS

The titles given below are the titles as they will appear on the qualification when awarded to the Learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of accreditation, which confirms that this is an accredited qualification on the SCQF. The CMI code is the code which should be used when registering Learners with CMI.

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

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
3SVQ	SVQ3 in Management at SCQF Level 7	GA1A 23
4SVQ	SVQ4 in Management at SCQF Level 9	GC6W 24
5SVQ	SVQ5 in Management at SCQF Level 11	GC6T 25

ACCREDITATION DATES

These qualifications are accredited from 1st June 2011, with a last registration date of 30th September 2017. The last certification date is 30th September 2021.

RULES OF COMBINATION

Rules of combination are defined as being a description of the credit accumulation requirements for the achievement of a named qualification. The rules of combination must be adhered to in order to achieve the qualification.

SVQ3 in Management at SCQF Level 7

Learners will need to complete four mandatory units and three optional units (from a choice of 28) in order to achieve the full qualification.

UNIT NUMBER	UNIT NAME	SCQF CREDITS	SCQF LEVEL
MANDATORY			
SA2	Manage your own resources and professional development	8	7
SB5	Provide leadership for your team	9	7
SD6	Allocate and monitor the progress and quality of work in your area of responsibility	14	7
SE6	Ensure health and safety requirements are met in your area of responsibility	11	7
OPTIONAL			
SB1	Develop and implement operational plans for your area of responsibility	11	8
SB11	Promote equality of opportunity and diversity in your area of responsibility	10	8
SC1	Encourage innovation in your team	11	6
SC5	Plan change	15	9
SC6	Implement change	11	8
SD1	Develop productive working relationships with colleagues	9	6
SD3	Recruit, select and keep colleagues	12	9
SD7	Provide learning opportunities for colleagues	11	8
SD8	Help team members address problems affecting their performance	5	6
SD9	Build and manage teams	8	7
SD10	Reduce and manage conflict in your team	5	7
SD11	Lead meetings	4	7
SD13	Support individuals to develop and maintain their performance	5	7

SD14	Initiate and follow disciplinary procedure	6	6
SD15	Initiate and follow grievance procedure	6	6
SE1	Manage a budget	11	7
SE2	Manage finance for your area of responsibility	14	8
SE8	Manage physical resources	9	8
SE9	Manage the environmental impact of your work	4	8
SE10	Take effective decisions	4	8
SE11	Communicate information and knowledge	3	7
SF1	Manage a project	11	8
SF6	Monitor and solve customer service problems	6	6
SF8	Work with others to improve customer service	8	6
SF14	Prepare for and participate in quality audits	6	8
SF17	Manage the delivery of customer service in your area of responsibility	9	6
SF18	Prepare sales proposals and deliver sales presentations	TBC	TBC
SF19	Sell products/services to customers	TBC	TBC

SVQ4 in Management at SCQF Level 9

Learners will need to complete four mandatory units and four optional units (from a choice of 40) in order to achieve the full qualification.

UNIT NUMBER	UNIT NAME	SCQF CREDITS	SCQF LEVEL
MANDATORY			
SB1	Develop and implement operational plans for your area of responsibility	11	8
SB6	Provide leadership in your area of responsibility	9	8
SD2	Develop productive working relationships with colleagues and stakeholders	12	9
SF3	Manage business processes	15	9

	OPTIONAL		
SA2	Manage your own resources and professional development	8	7
SA6	Develop your personal networks	10	9
SB8	Ensure compliance with legal, regulatory, ethical and social requirements	12	9
SB11	Promote equality of opportunity and diversity in your area of responsibility	10	8
SC2	Encourage innovation in your area of responsibility	12	9
SC4	Lead change	15	9
SC5	Plan change	15	9
SC6	Implement change	11	8
SD3	Recruit, select and keep colleagues	12	9
SD6	Allocate and monitor the progress and quality of work in your area of responsibility	14	7
SD7	Provide learning opportunities for colleagues	11	8
SD9	Build and manage teams	8	7
SD10	Reduce and manage conflict in your team	5	7
SD11	Lead meetings	4	7
SE2	Manage finance for your area of responsibility	14	8
SE8	Manage physical resources	9	8
SE9	Manage the environmental impact of your work	4	8
SE10	Take effective decisions	4	8
SE6	Ensure health and safety requirements are met in your area of responsibility	11	7
SD13	Support individuals to develop and maintain their performance	5	7
SD14	Initiate and follow disciplinary procedure	6	6
SD15	Initiate and follow grievance procedure	6	6

SD16	Manage redundancies in your area of responsibility	5	7
SE2	Manage finance for your area of responsibility	14	8
SE3	Obtain additional finance for the organisation	18	10
SE6	Ensure health and safety requirements are met in your area of responsibility	11	7
SE8	Manage physical resources	9	8
SE9	Manage the environmental impact of your work	4	8
SE10	Take effective decisions	4	8
SE12	Manage knowledge in your area of responsibility	4	9
SE14	Support team and virtual working	TBC	TBC
SE15	Procure supplies	5	8
SE16	Select suppliers through a tendering process	6	9
SE17	Outsource business processes	9	9
SF1	Manage a project	11	8
SF2	Manage a programme of complementary projects	12	10
SF4	Develop and review a framework for marketing	5	9
SF9	Build your organisation's understanding of its market and customers	12	9
SF11	Manage the achievement of customer satisfaction	9	9
SF13	Manage quality systems	5	9
SF14	Prepare for and participate in quality audits	6	8
SF15	Carry out quality audits	6	10
SF16	Manage the developments and marketing of products/services in your area of responsibility	9	10
SF18	Prepare sales proposals and deliver sales presentations	TBC	TBC
SF19	Sell products/services to customers	TBC	TBC

Learners will need to complete three mandatory units and four optional units (from a choice of 24) in order to achieve the full qualification.

UNIT NUMBER	UNIT NAME	SCQF CREDITS	SCQF LEVEL
MANDATORY			
SB7	Provide leadership for your organisation	13	11
SC3	Encourage innovation in your organisation	16	11
SF12	Improve organisational performance	11	11
OPTIONAL			
SA3	Develop your personal networks	13	11
SB2	Map the environment in which your organisation operates	16	11
SB3	Develop a strategic business plan for your organisation	11	11
SB4	Put the strategic business plan into action	9	10
SB8	Ensure compliance with legal, regulatory, ethical and social requirements	12	9
SB9	Develop the culture of your organisation	13	11
SB10	Manage risk	12	11
SB12	Promote equality of opportunity and diversity in your organisation	12	11
SC4	Lead change	15	9
SC5	Plan change	15	9
SC6	Implement change	11	8
SD2	Develop productive working relationships with colleagues and stakeholders	12	9
SD4	Plan the workforce	12	11
SD17	Build and sustain collaborative relationships with other organisations	9	9

SE3	Obtain additional finance for the organisation	12	10
SE4	Promote the use of technology within your organisation	12	9
SE7	Ensure an effective organisational approach to health and safety	12	11
SE13	Promote knowledge management in your organisation	7	11
SE17	Outsource business processes	9	9
SF2	Manage a programme of complementary projects	12	10
SF9	Build your organisation's understanding of its market and customers	12	9
SF10	Develop a customer focused organisation	12	11
SF15	Carry out quality audits	6	10
SF16	Manage the developments and marketing of products/services in your area of responsibility	9	10

ASSESSMENT THROUGH PERFORMANCE IN THE WORKPLACE

The SVQs in team leading and management are intended to be assessed using evidence from the workplace i.e. observable performance, physical products of work (such as reports, plans, correspondence etc), witness testimony etc. Such evidence, together with information gained from discussion with and questioning by the assessor, should enable learners to show that they:

- Have achieved all the stated outcomes of effective performance
- Have demonstrated all the behaviours which underpin effective performance
- Possess and are capable of applying all the required items of knowledge and understanding.

Assessment of outcomes is often best done through the products of work activity. The Evidence Requirements identify specific examples of these products, most of which occur naturally from effective performance in the workplace. However, some outcomes do not produce direct evidence, and personal statements can be useful in providing this evidence. Direct observation by assessors is also particularly useful in this respect, but indirect observation (video and audio recordings) can be as effective, as can witness testimony, if it consists of first person descriptions of observed behaviour (as opposed to confirmations of the Learner's own account).

The behaviours that underpin effective performance do not often lead directly to physical evidence, although much of the evidence of the outcomes will be dependent on appropriate behaviours. Observation in the workplace is the best way of assessing behaviours but it is unlikely to enable all or even a majority of behaviours to be evidenced, unless it is an extensive part of the assessment approach. For this reason,

many of the behaviours will be evidenced indirectly, through personal statements and witness testimony, particularly the latter.

However, assessors should be cautious of accepting bold statements that the Learner "demonstrated xxx behaviour". Good quality evidence of behaviours would consist of a narrative description of the Learner's actual behaviour, set into a specific context. It is the Learner's responsibility to map this to the specific behaviours required for individual units. In the same way that a Gantt chart could be evidence of a Learner's ability to plan a sequence of events, for example:

- an account of a Learner's decision to refer a serious breach of company policy to a line manager could indicate that 'You act within the limits of your authority'
- helping a team member to negotiate flexible working arrangements to help care for a relative could indicate that 'You show empathy with others' needs, feelings and motivations and take an active interest in their concerns'.

Both of these examples could be evidenced by a personal statement, the former backed up by an email sent at the time, the latter by a written proposal to a line manager about a possible change in working times, backed up by work schedules 'before' and 'after'.

Some knowledge and understanding will be clearly evidenced by outcome evidence. 'The importance of inviting participants (to meetings), giving them sufficient notice to enable them to attend', will be clear from emails sent out several weeks before the meeting, and backed up by a personal statement about the reasons for doing so in good time. Other knowledge and understanding will need to be more explicitly explained in a personal statement or a commentary with an evidence portfolio.

However, assessors may need to confirm specific knowledge and understanding by questioning or professional discussion. This can be done during an interview with a Learner and may take the form of a structured set of questions or the questions may arise naturally during the discussion. Whilst a question schedule may be useful in ensuring that all the knowledge and understanding is covered, a standard knowledge 'test' is not the best way to approach assessment of knowledge and understanding and is not advocated, as it divorces underpinning knowledge and understanding from its practical application.

SIMULATION

Many development programmes include simulation exercises before trainees/students are able to apply their new skills in the workplace and develop competence. This simulated experience alone is not appropriate for the assessment of competence. The current evidence requirements do not indicate any areas or aspects for which simulation is allowed. In the event that a Centre feels the only effective way to assessment in a specific situation is the use of simulation, guidance must be sought from CMI at the earliest opportunity, and before any assessment takes place, so the issue can be decided in conjunction with the MSC and the Management and Leadership Qualifications Forum.

KNOWLEDGE & UNDERSTANDING

To ensure adequate, tangible assessment that Learners possess and are capable of applying all the required items of knowledge and understanding the National Occupational Standards for Management and Leadership provide:

- the specification of underpinning general knowledge and understanding, industry/sector specific knowledge and understanding, and context specific knowledge and understanding for each unit
- evidence requirements, which clearly indicate where general/industry/sector specific/context specific knowledge & understanding, and behaviours, may be demonstrated.

CONFIRMING AUTHENTICITY

Assessment of SVQs in management and leadership will be based on a number of key principles, as follows:

- there must be valid evidence from those who report to the Learner and from those to whom the Learner reports (except in cases where the Learner does not report to anyone – for example, they own the organisation)
- there must be some assessor observation of the Learner's performance. It is not acceptable for a Learner to be awarded a SVQ based on the NOS for management and leadership, which attests to competent performance in the workplace, if the assessor has never actually observed them undertaking management and leadership functions/activities

prior to achievement of the full SVQ, there must be an interview between the assessor and the Learner which provides an opportunity to discuss performance and evidence across the suite of completed or soon-to-be completed units. This need not be a face-to-face interview i.e. it could be done over the phone or electronically. Key points from the interview will need to be recorded by the assessor for verification purposes.

OCCUPATIONAL EXPERTISE REQUIREMENTS FOR ASSESSORS & VERIFIERS

Occupational Expertise Requirements for Assessors - Appendix A

In order to be appointed and retained as an assessor for the SVQs in management and leadership, individuals must demonstrate that they:

- have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to assess
- keep themselves up-to-date with developments in management and leadership practice
- have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to assess
- hold or be working towards, an appropriate assessor qualification. Achievement of the qualification will need to be within appropriate timescales.

The following questions may be useful to approved centres in appointing and retaining individuals as assessors:

- What management and leadership posts has the individual held, particularly during the past five years?

- Have the posts been at or above the 'level' of the SVQs the individual is seeking to assess?

- What relevant formal qualifications does the individual possess and how recently were they achieved?

- How do the individual's qualifications relate to the 'level' of the SVQs they are seeking to assess?

- How has the individual kept themselves up-to-date with developments in management and leadership practice?

- Is the individual familiar with the NOS for management and leadership at the 'level' of the SVQs they are seeking to assess?

Occupational Expertise Requirements for Internal Verifiers - Appendix B

In order to be appointed and retained as an internal verifier for the SVQs in management and leadership, individuals must demonstrate that they:

- have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to internally verify
- keep themselves up-to-date with developments in management and leadership practice
- have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to internally verify.

The following questions may be useful to approved centres in appointing and retaining individuals as internal verifiers:

- What management and leadership posts has the individual held, particularly during the past five years?

- Have the posts been at or above the 'level' of the SVQs the individual is seeking to internally verify?

- What relevant formal qualifications does the individual possess and how recently were they achieved?

- How do the individual's qualifications relate to the 'level' of the SVQs they are seeking to internally verify?

- How has the individual kept themselves up to-date with developments in management and leadership practice?

- Is the individual familiar with the NOS for management and leadership at the 'level' of the SVQs they are seeking to internally verify?

APPENDIX A

Occupational Competence & Evidence Indicators

All Management SVQs at Levels 3, 4, and Level 5 – ASSESSORS

OCCUPATIONAL COMPETENCE *ASSESSORS MUST HAVE:*	EVIDENCE INDICATORS *COMPETENCE MIGHT BE INDICATED BY:*
1. have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to assess.	• explanation and putting the National Occupational Standards for Management in the appropriate context
2. keep themselves up-to-date with developments in management and leadership practice;	• a qualification in support of a management job at the appropriate level/specialism • training, development and experience as an adviser and/or assessor in the relevant managerial area
3. experience and a working knowledge of the operational and assessment processes for Management SVQs	• a CPD type portfolio or updated development programme • at least 2 years' experience and working knowledge • fully assessed at least one management qualification (or its equivalent in units) within the first year in role • fully assessed at least three management qualifications (or equivalent in units) within the first two years in role • recent (within 2 years) assessment evidence
4. have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to assess	• current (2 years within the last five years) managerial experience appropriate to the level(s), key roles and individual role concerned • a history of progressive industrial/commercial experience • development of managers appropriate to the level and/or specialism concerned
5. unit A1, or evidence of working towards it, or D32 and/or D33. In Scotland other qualifications may exempt assessors from holding D Units, any exemptions must be approved by SQA.	• unit A1, or evidence of working towards it in an agreed timeframe, or D32, D33 units
6. well developed interpersonal skills – particularly spoken and written	• provision of positive feedback leading to development of others

communication skills	• ability to probe and elicit information
7. a commitment to the philosophy of competence based management development	• training, development and two years' practice in assessment processes and techniques for managers • current research to identify changing management practices

APPENDIX B

Occupational Competence & Evidence Indicators

All Management SVQs at Levels 3, 4 and Level 5 - INTERNAL VERIFIERS

OCCUPATIONAL COMPETENCE INTERNAL VERIFIERS MUST HAVE:	EVIDENCE INDICATORS COMPETENCE MIGHT BE INDICATED BY:
1. have a thorough understanding of the NOS for management and leadership at the level(s) of the SVQs they are seeking to internally verify.	• explanation and putting the National Occupational Standards for Management in the appropriate context
2. keep themselves up-to-date with developments in management and leadership practice;	• a qualification in support of a management job at the appropriate level/specialism • management S/NVQs and/or other management (or related) qualification appropriate to the level of award
3. experience and a working knowledge of the operational and assessment processes for Management SVQs	• training, development and experience as an adviser and/or assessor in the relevant managerial area • a CPD type portfolio or updated development programme • at least two years' experience and working knowledge • demonstrating understanding of the organisations management centre policies and procedures • demonstrating knowledge and understanding of the awarding body, accrediting body etc. procedures, criteria, outcomes and expectations • practice, understanding and knowledge of auditing and its requirements • practice, understanding and knowledge of quality management systems and procedures • at least two years managerial S/NVQs assessment experience
4. have credible expertise in management and leadership relevant to the level(s) of the SVQs they are seeking to internally verify;	• current (2 years within the last five years) managerial experience appropriate to the level(s), key roles and individual role concerned • a history of progressive industrial/commercial experience

		• a management S/NVQs and/or other management (or related) qualification appropriate to the level of award
5. unit V1 or evidence of working towards it, or D34. It is recommended that IVs also hold A1 or D32 and / or D33. In Scotland, IVs may hold qualifications that provide exemption from these Units; these must be approved by SQA.		• unit V1 or working towards in an agreed timeframe • for SVQs, Unit V1, or D34 and ideally A1 or D32 and/or D33
6. well developed interpersonal skills - particularly spoken and written communication skills		• practice in the training and development of others • high level interpersonal skills, especially in evaluation, review and feedback to others • a qualification in advising, counseling or training and development • effective two-way communication
7. a commitment to the philosophy of competence based management development		• the development of managers appropriate to the level and/or specialism concerned • training, development and two years practice in assessment processes and techniques for managers • current research to identify changing management practices • at least two years managerial SVQ assessment experience • practice in the training and development of others • carrying out, or contributing to, research into management practices to identify changes and developments