

# **CMI SCQF LEVEL 8 QUALIFICATIONS IN MANAGEMENT AND LEADERSHIP.**

Syllabus | January 2021 | Version 6



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# QUALIFICATION PURPOSE

These qualifications are for the development of the role and skills of managers. These qualifications aim to develop personal management capabilities, make effective use of information in decision-making, operations and the development of the skills in managing people.

# 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 a fundable qualification on the QCF and on the Register. The CMI code is the code which should be used when registering Learners with CMI.

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

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
S8A1V1	CMI SCQF Level 8 Award in Management and Leadership	R457 04
S8C1V1	CMI SCQF Level 8 Certificate in Management and Leadership	R458 04
S8D1V1	CMI SCQF Level 8 Diploma in Management and Leadership	R459 04
S8XD1V1	CMI SCQF Level 8 Extended Diploma in Management and Leadership	R460 04

# ACCREDITATION DATES

These qualifications are accredited from 16th September 2015, and the operational start date in CMI Centres is 13<sup>th</sup> November 2015. The accreditation end date is 31<sup>st</sup> August 2021.

# PROGRESSION

CMI would recommend the below qualifications as a possible progression route, once completing the First Line Management qualifications:

- CMI SCQF Level 11 Qualifications in Strategic Management and Leadership
- CMI Level 5 Qualifications in Management Coaching and Mentoring (QCF)
- CMI Level 6 Qualifications in Management and Leadership (QCF)

Please see also the CMI Website for further information on CMI's portfolio of SCQF qualification options or QCF Level 5 and 6 qualifications.

# ENTRY AND RECRUITMENT

These qualifications can be offered to Learners from age 19. CMI does not specify entry requirements for these qualifications, but Centres are required to ensure that Learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment.

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

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

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

- Provide relevant programme information, guidance and advice, to enable informed Learner choice
- Publish entry and selection criteria
- Demonstrate that Learners are recruited with integrity
- Carry out comprehensive Learner induction that:
  - addresses programme and organisational requirements
  - explains Learner facilities
  - identifies Learners' development needs
  - develops an Individual Learning Plan

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

# EQUIVALENCES

CMI qualifications at SCQF Level 8 portray practical skills and competences that are rated in academic terms as being comparable to Foundation Degrees and Higher National Diplomas (HND).

## ABOUT CMI UNITS

**Credit value** is defined as being *the number of credits that may be awarded to a Learner for the successful achievement of the learning outcomes of a unit.*

**Learning time** is defined as *the amount of time a Learner at the level of the unit is expected to take, on average, to complete the learning outcomes of the unit to the standard determined by the assessment criteria.*

**Guided Learning Hours** is defined as *the number of hours of teacher-supervised or directed study time required to teach a qualification or unit of a qualification.*

# 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.

## CMI SCQF Level 8 Award in Management and Leadership

To achieve a CMI SCQF Level 8 Award in Management and Leadership, learners must complete any combination of units to a minimum of 6 credits.

UNIT NUMBER	UNIT NAME	CREDITS	LEVEL	GLH
S8001V1	Personal development as a manager and leader	6	8	20
S8002V1	Information based decision making	7	8	25
S8003V1	Managing team and individual performance	9	8	30
S8004V1	Practices of resource management	7	8	25
S8005V1	Meeting stakeholder and quality needs	6	8	20
S8006V1	Conducting a management project	10	8	35
S8007V1	Organisational financial management	9	8	30
S8008V1	Conducting a marketing plan	9	8	30
S8009V1	Project development and control	6	8	20
S8010V1	Planning for development	6	8	20
S8011V1	Managing recruitment, selection and induction	7	8	25
S8012V1	Being a leader	7	8	30
S8013V1	Leadership practice	7	8	30
S8020V1	Introduction to management and leadership	7	8	45
S8021V1	Operational risk management	7	8	25
S8022V1	Organisational corporate social responsibility	7	8	30

## CMI SCQF Level 8 Certificate in Management and Leadership

To achieve a CMI SCQF Level 8 Certificate in Management and Leadership, learners must complete any combination of units to a minimum of 13 credits.

UNIT NUMBER	UNIT NAME	CREDITS	LEVEL	GLH
S8001V1	Personal development as a manager and leader	6	8	20
S8002V1	Information based decision making	7	8	25
S8003V1	Managing team and individual performance	9	8	30
S8004V1	Practices of resource management	7	8	25
S8005V1	Meeting stakeholder and quality needs	6	8	20
S8006V1	Conducting a management project	10	8	35
S8007V1	Organisational financial management	9	8	30
S8008V1	Conducting a marketing plan	9	8	30
S8009V1	Project development and control	6	8	20
S8010V1	Planning for development	6	8	20
S8011V1	Managing recruitment, selection and induction	7	8	25
S8012V1	Being a leader	7	8	30
S8013V1	Leadership practice	7	8	30
S8020V1	Introduction to management and leadership	7	8	45
S8021V1	Operational risk management	7	8	25
S8022V1	Organisational corporate social responsibility	7	8	30

## SCQF Level 8 Diploma in Management and Leadership

To achieve a CMI SCQF Level 8 Diploma in Management and Leadership, learners must complete any combination of units to a minimum of 38 credits.

UNIT NUMBER	UNIT NAME	CREDITS	LEVEL	GLH
S8001V1	Personal development as a manager and leader	6	8	20
S8002V1	Information based decision making	7	8	25
S8003V1	Managing team and individual performance	9	8	30
S8004V1	Practices of resource management	7	8	25
S8005V1	Meeting stakeholder and quality needs	6	8	20
S8006V1	Conducting a management project	10	8	35
S8007V1	Organisational financial management	9	8	30
S8008V1	Conducting a marketing plan	9	8	30
S8009V1	Project development and control	6	8	20
S8010V1	Planning for development	6	8	20
S8011V1	Managing recruitment, selection and induction	7	8	25
S8012V1	Being a leader	7	8	30
S8013V1	Leadership practice	7	8	30
S8020V1	Introduction to management and leadership	7	8	45
S8021V1	Operational risk management	7	8	25
S8022V1	Organisational corporate social responsibility	7	8	30

## SCQF Level 8 Extended Diploma in Management and Leadership

To achieve a CMI SCQF Level 8 Extended Diploma in Management and Leadership, learners must complete all units in Mandatory Group A to a total of 30 credits, a minimum of 7 credits from Optional Group B and any combination of units in Optional Group C to a minimum of 19 credits. Learners should achieve a total of 62 credits to complete this qualification.

UNIT NUMBER	UNIT NAME	CREDITS	LEVEL	GLH
MANDATORY GROUP A				
S8001V1	Personal development as a manager and leader	6	8	20
S8002V1	Information based decision making	7	8	25
S8004V1	Practices of resource management	7	8	25
S8005V1	Meeting stakeholder and quality needs	6	8	20
S8006V1	Conducting a management project	10	8	35
OPTIONAL GROUP B				
S8003V1	Managing team and individual performance	9	8	30
S8012V1	Being a leader	7	8	30
OPTIONAL GROUP C				
S8007V1	Organisational financial management	9	8	30
S8008V1	Conducting a marketing plan	9	8	30
S8009V1	Project development and control	6	8	20
S8010V1	Planning for development	6	8	20

S8011V1	Managing recruitment, selection and induction	7	8	25
S8013V1	Leadership practice	7	8	30
S8020V1	Introduction to management and leadership	7	8	45
S8021V1	Operational risk management	7	8	25
S8022V1	Organisational corporate social responsibility	7	8	30

## RELATIONSHIP TO NATIONAL OCCUPATIONAL STANDARDS (NOS)

UNIT NUMBER	UNIT NAME	NOS UNITS
S8001V1	Personal development as a manager and leader	LAA1; LAA2; LDB7; LDB9; LEB1
S8002V1	Information based decision making	LDB5; LDD6; LEC2; LEC3; LEC4; LEC5
S8003V1	Managing team and individual performance	LBA3; LDA6; LDA7; LDB4; LDC5
S8004V1	Practices of resource management	LBA9; LEB2; LEB3
S8005V1	Meeting stakeholder and quality needs	LDD2; LFE1; LFE2; LFE3; LFE4; LFE5
S8006V1	Conducting a management project	LEC5; LFA5;
S8007V1	Organisational financial management	LEA1; LEA2; LEA3;

		LEA4
S8008V1	Conducting a marketing plan	LBA4; LFB1; LFB2; LFB3
S8009V1	Project development and control	LFA5
S8010V1	Planning for development	LDA1; LDB4; LDC1; LDC2
S8011V1	Managing recruitment, selection and induction	LDA1; LDA2; LDA3
S8012V1	Being a leader	LAA1; LBA2; LBA3; LBA8; LDD6
S8013V1	Leadership practice	LAA1; LBA8
S8020V1	Introduction to management and leadership	LAA1; LAA2; LDA2; LDB4; LDC5; LDB9; LEC5
S8021V1	Operational risk management	LBB1; LEB1
S8022V1	Organisational corporate social responsibility	LBB3; LEB4

## DELIVERY OF CMI QUALIFICATIONS

CMI does not specify the mode of delivery for its qualifications at Level 8; therefore CMI Centres are free to deliver the Level 8 qualifications using any mode of delivery that meets the needs of their Learners. However Approved Centres should consider the Learners' complete learning experience when designing the learning programmes.

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

Guided learning hours (GLH) which are listed on the CMI unit gives the Approved Centres the number of hours of teacher-supervised or direct study time required to teach a unit of a qualification.

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

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

# ASSESSMENT AND VERIFICATION

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

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

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

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

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

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

- Accurate, current and authentic
- Relevant in depth and breadth

and must also show the Learner's:

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

There is no grading system for CMI qualifications, and external moderation of Learners' work only confirms that the required criteria for achievement have been met. CMI Centres are, however, free to apply their own grade scales, but it must be understood that these are completely separate from the CMI qualification.

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

CMI Centres are encouraged to use a range of methods to ensure that all the learning outcomes and assessment criteria are met, and to enhance Learners' development.

Assessment methods can include:

- Case studies
- Role play
- Time constrained tests
- Examinations
- Assignments
- Reports
- Integrated work activities
- Viva voce
- Projects
- Presentations

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

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

## WORD COUNT AND APPENDICES

The written word, however generated and recorded, is still expected to form the majority of assessable work produced by Learners at Level 8. The amount and volume of work for each unit at this level should be broadly comparable to a word count of 2500 - 3000 words.

Learner work should aim to minimise the amount of unnecessary attachments or appendices. Information that is essential to the Learners work in order to meet the learning outcomes and assessment criteria should be included within the main body of the report. However, CMI understands that from time to time a Learner may need to include additional supporting information which enhances the overall work and it is recommended that it is kept to a minimum and does not over-exceed.

## CMI MARKING SERVICE

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

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

This service provides CMI Centres with a simplistic, professional and cost effective way to get their CMI Learner's work assessed and certificated within a six week period. Please refer to the CMI Fees Guide for current fees.

Please see the CMI Centre Handbook for information on the process of the CMI Marking Service.

## RECOGNITION OF PRIOR LEARNING (RPL)

There will be instances where Learners will wish to claim recognition of prior learning which has not been formally assessed and accredited. In those instances, Centres are free, after discussion and agreement with their Quality Manager, to allow these Learners direct access to the relevant assessment for the unit, without unnecessary repetition of learning. For further information, please refer to the CMI Recognition of Prior Learning Policy.

## ACCESSIBILITY OF CMI QUALIFICATIONS

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

## CHARTERED MANAGER

Chartered Managers are consistent high performers, committed to current good practice and ethical standards

A unique designation, exclusively awarded by the Chartered Management Institute, Chartered Manager embodies a professional approach to management through knowledge, competence, professional standards and commitment to continuing professional development (CPD).

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

## CMI LEARNER MEMBERSHIP

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

# STUDY RESOURCES

Take advantage of the CMI's management knowledge through ManagementDirect. Our resources, which are unequalled in scope, variety and accessibility, are available to members and are designed to give you the support you need to succeed throughout your studies and management career.

## Study Support

[www.managers.org.uk/study](http://www.managers.org.uk/study)

Study Support is organised by qualification and unit. It brings together a range of materials and resources to assist members in their research and studies. These resources include Management Checklists on key skills and techniques, suggested further reading and links to e-journals. Click on the link 'Current learners' to view your course and study materials.

A series of Study Guides will help you to cope with the stresses and demands of study, while our expanding Management Models series provide a one-page overview of some of the more widely used techniques. View all our exciting resources by category in our updated Management Direct.

## Management Direct

[www.managers.org.uk/mgtdirect](http://www.managers.org.uk/mgtdirect)

*It's fast, accurate and free to members*

Management Direct is an effortless retrieval facility which delivers the full range of CMI resources on management skills and practice.

- Multimedia resources – 60 Leader Videos, CMI podcasts and e-learning modules
- Authoritative definitions of management terms
- 225 Management Checklists and 60 Management Thinker profiles
- Downloadable articles and research
- Lists of books and articles which are available from our management library

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

## For in depth research try our e-journals service

[www.managers.org.uk/ejournals](http://www.managers.org.uk/ejournals)

The Chartered Management Institute has joined forces with EBSCO Information Services to offer members access to Business Source: Corporate, a database providing direct access to articles on management and

business from a range of academic journals and business magazines. Members also have access to country, company and industry reports from leading providers.

### **CMI Library**

[www.managers.org.uk/library](http://www.managers.org.uk/library)

The CMI Library database offers members access to CMI's database of books, reports and documents on management techniques and practice. The database provides abstracted references to help you identify appropriate resources. You can search by a wide range of criteria; download content and export lists of resources. Members (within the UK) can submit requests to borrow books and pamphlets from the library.

### **E-books**

[www.managers.org.uk/ebooks](http://www.managers.org.uk/ebooks)

Our collection of e-books provides you with 24 hour access to a selection of general management and consulting textbooks. Search through each book for specific content or use the chapter index to browse. E-books are available when you need them – no more waiting for a book to be returned to the library.

### **Contact CMI's Information Services**

Enquiry line: 01536 207400 or email: [ask@managers.org.uk](mailto:ask@managers.org.uk)

The Information Centre is open to visitors Monday - Friday 9am - 5pm

# PERSONAL DEVELOPMENT AS A MANAGER AND LEADER

**SCQF Level**

8

**Unit Number**

S8001V1

**SQA Unit Number**

U347 04

**Credit Value**

6

**Guided Learning Hours**

20

## Good Practice

CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners.

When assessing this unit please be aware that the learner has to meet all the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 8 level of difficulty.

## LEARNING OUTCOMES

1

Be able to assess and plan for personal professional development

## ASSESSMENT CRITERIA

1.1

Identify the importance of continual self-development in achieving organisational objectives

Here you have been asked to explain the importance of continual self-development in achieving organisational objectives referencing. It would be helpful to answer this criterion with reference to your own development. You might use writers such as Pedler, Burgoyne and Boydell (2007) to support your explanation. There are numerous writers on this subject and your response should not only look at personal reasons for development but also how your development helps your organisation in achieving its objectives. A comprehensive answer might also include writers such as Mullins (2013) or Torrington *et al* (2008) to show how personal development can

			support organisations.
		1.2	<p>Assess current skills and competencies against defined role requirements and organisational objectives</p> <p>This criterion requires that you make some assessment of your current skills and competencies with reference to your current or future role and link this to organisational objectives. In effect you are asked to make an analysis to identify your skill and competency gap.</p> <p>Your answer might include reference to skills in terms of behavioural competences and underpinning knowledge required to carry out current and potential job tasks and role requirements. In addition, your gap analysis might then include objectives to fill these gaps, which may be carried forward into your development plan at 1.4.</p>
		1.3	<p>Identify development opportunities to meet current and future defined needs</p> <p>Having made an analysis of your current skills and competencies and identified gaps, here you are asked to identify ways in which these gaps might be filled through a range of development opportunities. This could be through a range of activities including: work-placements, sabbaticals, courses, e-learning, shadowing, coaching, mentoring and project work. Reference might also be made to the development cycle, Kolb, and to your personal learning style (VAK or Honey and Mumford).</p>
		1.4	<p>Construct a personal development plan with achievable but challenging goals</p> <p>Here you are required to produce a personal development plan with achievable but challenging goals. This can be in chart format or as a narrative but, as a minimum, should include the following</p> <ul style="list-style-type: none"> <li>• Key tasks</li> <li>• SMART objectives</li> <li>• Performance indicators</li> <li>• Dates</li> </ul>

				<ul style="list-style-type: none"> <li>• Milestones</li> <li>• Review dates</li> </ul>
2	Be able to plan the resources required for personal professional development	2.1	Identify the resources required to support the personal development plan	Having developed a plan you are required to indicate the answer to the assessment of resources you might require to support your personal development plan. Resources could include some of the following: time away from work, personally managing own time, materials, technologies, finance and access to people to act as a mentor, access to a coach and support of colleagues or family.
		2.2	Develop a business case to secure the resources to support the personal development plan	This criterion requires that you develop a business case to secure the resources to support your personal development plan. Here you will show how you plan to achieve the resources that you have identified in 2.1. A business case could indicate timescales and possible payback for support of your business case with some literature on this subject for example Torrington, Hall and Taylor (2008). A well developed answer might also show how you might calculate a Return on Investment (ROI) of the development.
3	Be able to implement and evaluate the personal development plan	3.1	Discuss the processes required to implement the personal development plan	Here you are asked to discuss - this is more than a mere description of the implementation strategy for your plan. You might also include how this has been shared with stakeholders, revision of SMART objectives, KPIs, assumptions and milestones to be achieved. You might also want to outline how your job role will be covered during any periods when you will be undertaking development activities. The process might also include how your PDP is to be monitored,

				managed and updated.
		3.2	Evaluate the impact of the personal development plan on the achievement of defined role requirements and organisational objectives	This criterion requires an evaluation of the impact of your personal development plan on the achievement of a defined role requirements and organisational objectives. A full answer might include an evaluation of the gap analysis illustrating the gap between current “skills and know hows” with the future role requirements and how the gap is being or will be bridged with an indication of the impact on the achievement of SMART objectives and contribution to achievement of the organisation’s strategy.
		3.3	Review and update the personal development plan	Here you will indicate how and with whom you might review and update your personal development plan against key milestone and SMART objectives. Your answer might also show how the review process might be affected by personal or organisational changes over a period of time. Depending on when you started the personal development plan, you may be able to conduct an actual rather than hypothetical update. In which case, it may be helpful to add a column to a tabular format plan for outcomes, and to add additional rows for any new development needs which have emerged in the intervening period, to demonstrate that the process is ongoing.
4	Be able to support and promote staff welfare	4.1	Discuss the relationship between staff welfare and organisational objectives	Here you are asked to discuss and not just describe some of the issues that relate to staff welfare and meeting organisational objectives. This is more than Health and Safety and could include the proactive approach to Occupational Health (OH), Work Life Balance (WLB), work place staff, managing sickness absence or flexible working and how these requirements:

			<ul style="list-style-type: none"> <li>• Fit with the business strategy</li> <li>• Add value to operational requirements</li> <li>• Are appropriate to the size of your organisation</li> <li>• Are fully supported by management at the highest level.</li> </ul>
		4.2	<p>Explain the process for assessing staff welfare</p> <p>Here you are required to explain the process for assessing staff welfare. You should refer to the points raised in 4.1 and look at how each might be measured with reference to the organisational objectives again highlighted in 4.1.</p>
		4.3	<p>Explain the actions to be taken by the manager in dealing with a staff welfare issue</p> <p>This could potentially be a very large section. In order to keep within your word count you should limit your response to include staff welfare issues with which you have some experience. You might use some of the following and with examples show how a manager might need to respond:</p> <ul style="list-style-type: none"> <li>• Ensuring a healthy and safe workplace environment</li> <li>• A manager's role with reference to the Control of Substances Hazardous to Health (COSHH) Regulations 2002</li> <li>• Risk assessment of the premises and working practices</li> <li>• Communication and staff welfare</li> <li>• Organising health and safety personnel and allocating individual responsibilities</li> <li>• Arranging appropriate training</li> <li>• Devising appropriate documentation</li> <li>• Implementing policies and procedures including inspections and audits, evaluating performance and making changes</li> <li>• Enabling flexible working</li> </ul>

		4.4	Describe how to communicate responsibilities for staff welfare to the team	<ul style="list-style-type: none"> <li>Highlighting work place stress</li> </ul> <p>For this criterion your answer would build on the response to assessment criteria 4.3. A good answer might mention different methods of communication and might also mention Shannon and Weavers' communications model.</p>
		4.5	Discuss records that may be maintained to demonstrate that staff welfare is supported	<p>This section requires a discussion of the records that may be maintained to demonstrate that staff welfare is supported. Reference needs to be made to a specific context, most probably explored in different parts of this assignment.</p> <p>Specific records might include:</p> <ul style="list-style-type: none"> <li>Sickness and absence records</li> <li>Accident records</li> <li>Risk analyses</li> </ul> <p>Maintenance records and reports</p>

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about assessing and improving individual management and leadership skills and competencies against objectives.

# INFORMATION BASED DECISION MAKING

<b>SCQF Level</b>	8	<b>Good Practice</b>  CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners.  When assessing this unit please be aware that the learner has to meet all the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 8 level of difficulty.
<b>Unit Number</b>	S8002V1	
<b>SQA Unit Number</b>	U348 04	
<b>Credit Value</b>	7	
<b>Guided Learning Hours</b>	25	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	
1	Be able to identify and select sources of data and information	1.1 Examine the nature of data and information	<p>Ideally providing a recognised definition of both data and information, this narrative will seek to examine the nature of data and information and may usefully include (but is not confined to) the following aspects:</p> <ul style="list-style-type: none"> <li>• What needs to happen to create information from data</li> <li>• Information into knowledge; tacit</li> </ul>

			<ul style="list-style-type: none"> <li>knowledge and knowledge management</li> <li>• Qualitative v quantitative data/information characteristics</li> <li>• Primary and secondary data/information characteristics</li> </ul>
		1.2	<p>Evaluate relevant sources of data and information</p> <p>Ideally contextualising to own organisation and, ensuring that this response ‘evaluates’ (rather than simply lists), this narrative considers the likely sources of information that a manager will use to support decision making. Given the plethora of information available to managers both internally and externally. The narrative will elaborate the process of considering the relevance, applicability, accessibility (including timeliness), currency, adequacy, reliability and cost effectiveness of using the differing sources.</p>
		1.3	<p>Discuss the criteria for selection of data and information</p> <p>An example could be that, some market intelligence is already freely available in the public domain for a similar geographic area to the one required; the manager will need to weigh up whether the immediacy of availability and reasonable fit to requirements means that this source is fit for purpose and outweighs the cost, time and effort required to collect primary data to support this decision</p> <p>Another example, and a method of presenting this element, would be to select a workplace example of data or information (internal or external) and to create a table that explores the nature this has against the criteria outlined above (currency</p>

		<b>1.4</b>	Identify the legal requirements relating to the collection, use and storage of data and information	<p>adequacy etc).</p> <p>Again ideally drawing from own organisational context, this section requires the identification of legal requirements in the organisational management of data and information. This may usefully include :</p> <ul style="list-style-type: none"> <li>• The Data Protection Act 1998</li> <li>• The Freedom of Information Act 2000</li> </ul> <p>Learners should ensure that they apply aspects of the legislation in context where possible.</p>
<b>2</b>	Be able to analyse and present information to support decision making	<b>2.1</b>	Evaluate the decision making models which are used to support decision making	<p>There are many methods, models and approaches that can assist and support decision making. These range from simple intuition to the systematic application of models and other tools. There is a need to 'evaluate' these approaches, ideally providing examples from organisational scenarios. It is also relevant to identify those within the organisation that would be involved in this process (e.g. managers, technical specialists, accountants, consultants etc).</p>
		<b>2.2</b>	Identify those to be involved in analysing information and decision making	<p>Examples of approaches and models may include (but are not confined to):</p> <ul style="list-style-type: none"> <li>• Following tradition</li> <li>• Routine decisions (going by the book)</li> <li>• Intuitive (gut reaction; use of tacit</li> </ul>

			<p>knowledge)</p> <ul style="list-style-type: none"> <li>• Pros and cons</li> <li>• Criteria based (e.g. grid analysis)</li> <li>• Weighting and rating methods</li> <li>• Risk assessment</li> <li>• Formulaic and number driven models (e.g. ratio analysis)</li> <li>• Ishikawa (the fish bone diagram)</li> <li>• De Bono's 6 Thinking Hats</li> </ul>
		<p><b>2.3</b> Evaluate methods of presenting decisions made</p>	<p>Once a decision has been made it will usually need to be communicated and presented in some form or other depending on the importance, urgency and impact of the decision. Examples that should be evaluated as to their applicability and efficacy for certain decision types and could include:</p> <ul style="list-style-type: none"> <li>• Orally communicated decisions</li> <li>• Formal presentations</li> <li>• Technical reports</li> <li>• Meetings</li> <li>• Electronic means (blogs, emails, social media, webinar)</li> </ul>

				<p>Within these methods there are many ways in which the details can be articulated including (but certainly not confined to):</p> <ul style="list-style-type: none"><li>• Flowcharts</li><li>• Charts created in spreadsheet programmes (pie, bar etc)</li><li>• Tabulated information</li><li>• Graphs, trends</li><li>• Distribution curves</li></ul>
3	Be able to communicate information that supports decision making	3.1	Evaluate methods of communicating decisions	<p>See 2.3 above but in addition this AC requires you to consider the wider issues of communication which suggest that the same report would not be read by everyone due to factors like time constraints, technical knowledge and abilities. This implies that the message needs to be cited using a range of methods tailored to a variety of different audience all of whom are required to have an understanding of the decision, as related to their own working practice. A working example of how this is applied in an organisational context would support your demonstration of the concept, and could be linked to 3.2 and 3.3 below.</p>
		3.2	Discuss the processes for implementing a communications method	<p>This section can usefully draw from the communication process, discussing the ways in which the selected communication method aligns with and considers this process to achieve an</p>

					<p>efficacious outcome. Ideally drawing from a workplace example, the discussion could evaluate the method using the classic “Shannon Weaver” model of communication that discusses:</p> <ul style="list-style-type: none"> <li>• Source</li> <li>• Encoder</li> <li>• Channel</li> <li>• Receiver</li> <li>• Decoding</li> <li>• Noise source / interference</li> </ul> <p>For example, choosing to communicate a decision concerning redundancy orally in the middle of a busy factory could be problematic in terms of an ‘appropriate’ channel and the receiver’s ability to decode due to interference.</p>
		<b>3.3</b>	Evaluate the implementation of a communications method		

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about using, presenting and communicating data that supports decision making.

# MANAGING TEAM AND INDIVIDUAL PERFORMANCE

**SCQF Level**

8

**Unit Number**

S8003V1

**SQA Unit Number**

UG74 04

**Credit Value**

9

**Guided Learning  
Hours**

30

## Good Practice

CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners.

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## LEARNING OUTCOMES

1

Be able to identify and agree performance objectives for your team and individuals

## ASSESSMENT CRITERIA

1.1

Explain the links between individual, team and organisational objectives

For this element and, ideally drawing from a known organisational context, the linkages can readily be demonstrated through the notion of the 'golden thread' that joins vision, mission, values and strategic objectives, through (often) hierarchical plans linking objectives relating to the teams and the individuals that comprise those teams. There are various theoretical contributors to golden thread and associated theory (e.g.

			organisational alignment and structure) that would support this explanation and similarly, an ideal opportunity exists to use diagrammatic evidence to demonstrate the concept in organisational practice.
		1.2	Identify the selection of individual and team objectives for agreement
		1.3	Identify areas of individual and team responsibility in achieving objectives
			<p>Closely interrelated and supported by the explanation in 1.1 above, this section could be evidenced in a number of ways including (but not confined to) the identification of team and individual objectives and responsibilities:</p> <ul style="list-style-type: none"> <li>• As part of the appraisal process; where objectives for a given period of time are (mutually) agreed at the individual level (but as a function of team objectives). Organisational examples/templates (anonymised if necessary) could provide further evidential support for this section.</li> <li>• As part of the business planning process where departmental (team) objectives are determined and distilled from the strategic overview/composite.</li> <li>• As part of the line management process where individual objectives are allocated as part of the overall team objectives. This requires management knowledge of the skills sets, team dynamics and other attributes within the team to inform 'best fit/alignment' when assigning tasks</li> <li>• Recognising the general use of SMART objective setting would also support this</li> </ul>

				section
		1.4	Identify the need to create an environment of trust and support with others	<p>This section considers the ways in which the management function can create an environment of trust and support and could be usefully framed in a known organisational context where possible; content could include:</p> <ul style="list-style-type: none"> <li>• The consideration of behaviours that engender trust</li> <li>• The role of communication in creating (or destroying) trust</li> <li>• Organisational values and norms</li> <li>• Interpersonal/relationship skills and attributes</li> <li>• Psychological contracts</li> </ul> <p>There are many contributors to this area of management who include but are certainly not confined to: McGregor, Maslow, Luft and Ingham, Covey and Guest.</p>
2	Be able to assess performance against objectives and provide feedback	2.1	Evaluate individual and team performance against objectives	<p>Naturally linked but can be dealt with separately if preferred; these assessment criteria provide a broad opportunity for the candidate to consider their own organisation in; explaining recording systems for performance, examining methods of providing feedback and ways of evaluating performance. Areas to consider that are common to most organisations could include (but again, are not confined to):</p> <ul style="list-style-type: none"> <li>• Systems, methods and</li> </ul>

		2.2	Examine methods of feedback to individuals and teams in relation to their performance against agreed objectives	documentation/records relating to the appraisal or supervision process
		2.3	Examine the causes of conflict, and strategies used to minimise or prevent conflict	<ul style="list-style-type: none"> <li>• Informal and formal ways of providing feedback; whether positive or negative</li> <li>• The so called 'Feedback sandwich' approach</li> <li>• Difficult conversations</li> <li>• Recognising and celebrating success</li> <li>• Performance management recording</li> <li>• 360 degree appraisal processes</li> <li>• Using the business planning process to review team targets</li> <li>• Reporting against performance measures e.g. KPIs</li> <li>• Team meetings</li> <li>• Cultural dimensions</li> </ul>
		2.4	Explain recording systems for performance assessment for individuals or teams	<p>Linking closely to 1.4, managing conflict can be a challenging occurrence for managers. Ideally drawing from workplace experiences this section could usefully examine:</p> <ul style="list-style-type: none"> <li>• Causes of conflict (e.g. personality clashes, territory and protectionism, organisational culture)</li> </ul>

				<ul style="list-style-type: none"> <li>• Symptoms of conflict (e.g. lack of co-operation)</li> <li>• Tactics used that can create conflict (e.g. sabotage, withholding information, whispering campaigns)</li> </ul> <p>Dealing with conflict (e.g. mediation, intervention, negotiation)</p>
3	Be able to provide advice guidance and support to improve performance	3.1	Examine how the performance improvement cycle can support an individual and the team to improve upon their performance	<p>Although these parts can be readily answered together; there are certain elements that are specific to each criteria as follows:</p> <p>The performance improvement cycle is a recognised model and its component elements should be explicitly identified in the narrative. Thereafter this could be applied to a workplace scenario to examine how the steps can support performance (e.g. agreeing a plan of action).</p>
		3.2	Discuss the indicators of poor performance	<p>Elements relevant to this section could range from the explicit to the subtle and good responses will create a depth of discussion relating to this (e.g. customer complaints = explicit indication whereas 'not going the extra mile' may be more subtle). The discussion could also usefully encompass:</p> <ul style="list-style-type: none"> <li>• The need for clear objectives for clear measurement</li> <li>• Written job descriptions as a baseline</li> <li>• Training and other support received by the</li> </ul>

				individual
		<b>3.3</b>	Evaluate a range of methods that support performance improvement	<p>This element holds significant potential in the breadth and depth of subject matter that could usefully contribute to it. These include but are certainly not limited to:</p> <ul style="list-style-type: none"> <li>• Action planning including PIPS (performance improvement plans)</li> <li>• Training, coaching or mentoring</li> <li>• Formal performance management processes</li> </ul> <p>Soft approaches underpinned by the manager's awareness of motivational techniques</p>
<b>4</b>	Be able to apply the organisation's disciplinary and grievance procedures	<b>4.1</b>	Discuss the organisation's disciplinary and grievance procedures	<p>Readily responded to together, this learning outcome seeks to ensure that learners are able to apply organisational procedures and is ideally contextualised in own organisational context.</p> <p>Most organisations will have formal procedures for disciplinary and grievance – some will have separate performance management policies and in this instance the discussion can usefully embrace all of these to ensure that the organisational context is central to the response. The discussion should outline the procedures briefly and provide linkages to the legislative framework within which such activity exists; this could also include reference to the ACAS code of</p>

		4.2	Examine the role of the manager in implementing both a disciplinary and a grievance procedure
		4.3	Summarise key aspects of legislation to an organisation's disciplinary and grievance procedures

conduct. Clearly legislation can change and it is important that learners refer to the current legislation applicable.

As part of the discussion learners should examine the role of the manager in implementing the procedures; such an examination could include their duties around:

- Maintaining records
- Arranging and chairing meetings
- Ensuring the policy is followed
- Making judgements as applicable where latitude exists
- Liaising with other functions such as HR as needed

In most cases the role of the manager will vary according to whether the case in hand is one of discipline (including the level of the alleged disciplinary incident) or of grievance, and learners are expected to be able to demonstrate the distinction between their actual or potential role in each of these situations.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about the management of individual and team performance and how to improve performance.

# PRACTICES OF RESOURCE MANAGEMENT

SCQF Level

8

Unit Number

S8004V1

SQA Unit Number

UG75 04

Credit Value

7

Guided Learning  
Hours

25

## Good Practice

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## LEARNING OUTCOMES

1

Be able to identify and plan resources needed to meet objectives

## ASSESSMENT CRITERIA

1.1

Identify those resources required to achieve objectives

Readily responded to together and, ideally using a known organisational context and evidence from that source, the content for this element could include, but is not limited to:

- **Planning processes** such as: business planning, forecasting, budgeting and stock control that seeks to ensure that resources are deployed in line with objectives. At a practical level this will include activities such as managing seasonal fluctuations (supply and demand), planning for 'random influences' such as a strike or a

		1.2	Explain the process of planning resource use to achieve objectives	<p>sudden crisis and, using historical trends to predict and forecast resource requirements going forward</p> <ul style="list-style-type: none"> <li>• <b>Resource types</b> will mainly fall under 4 main categories: time, money, equipment and human resources and learners should ideally identify ones that are relevant to their organisation. Resources could be internal or external. Resources also do not necessarily need to have a tangible presence so these could also include licences, permissions and so forth. Typical examples of mainstream resource needs might include: stock; machinery; vehicles, raw materials; 'cash'; agency staff; permanent staff, etc.</li> </ul> <p>In terms of analysing costs evidence could take a number of forms that are relevant to the Learners organisation or to give examples; these could include:</p> <ul style="list-style-type: none"> <li>• Budgets (including cash flows)</li> <li>• Costing activities for particular products or services</li> <li>• Management accounts</li> <li>• Stock records</li> <li>• Overtime records</li> <li>• Agency costs records</li> </ul> <p>Rather than simply attaching such documents the Learner should demonstrate how the analysis takes place so, for example if a budget is provided</p>
		1.3	Analyse the costs associated with the resource required to achieve objectives	

				the Learner should supply some brief narrative to say how this is analysed.
2	Be able to select and use the resource supply chain to meet planned objectives	2.1	Evaluate sources of supply to meet planned objectives	<p>These criteria can readily be responded to together; an ideal opportunity exists for the learner to introduce the narrative with a brief discussion and definition concerning the notion of the 'supply chain' (e.g. Porter).</p> <p>Sources of supply can be internal and external and can include:</p> <ul style="list-style-type: none"> <li>Suppliers for things like stock, materials, equipment, services (e.g. maintenance). Suppliers can be internal or external (e.g. an internal supplier could be a college's photocopying department or, a secondment of staff from another department)</li> </ul>
		2.2	Explain processes to manage the supply, continuity and quality of resources to meet plans	<p>Organisations will strive to manage the continuity and quality of resources in a variety of ways which may include:</p> <ul style="list-style-type: none"> <li>Establishing a procurement function in order that purchases can be effectively managed and centralised where possible</li> <li>Multi-sourcing key resources in case of a failure of a supplier</li> <li>Engaging in 'make or buy' decisions (is it better to make the resource or buy it in)</li> <li>Training and development (for the human</li> </ul>

			<p>resource)</p> <ul style="list-style-type: none"> <li>• Inventory/Stock management approaches (e.g. Kanban, Just in Time, SAP systems and other electronic management systems)</li> <li>• 'Bulk buying' or buying through a trade association or other collaborative means</li> <li>• Preferred supplier processes</li> <li>• Market tendering for contracts</li> <li>• Service Level Agreements (e.g. in particular internal suppliers)</li> <li>• Disaster planning / business interruption planning</li> </ul>
		<p><b>2.3</b></p>	<p>Analyse strategies that could be used to predict and manage disruption in resource supply, and the associated costs</p>
			<p>The final criteria in this learning outcome requires the analysis of strategies that could be used to predict and manage disruption in resource supply, and the associated costs; ideally this could be based on the Learners own organisational approach and could reflect some of the examples as relevant shown above. Outputs here should consider but are not limited to:</p> <ul style="list-style-type: none"> <li>• How the approach manages disruption in resource supply and associated costs – in terms of high and lower level risks e.g. major disaster versus limited availability of key raw materials, or specialist skills</li> </ul>

				<ul style="list-style-type: none"> <li>• Whether it has been tested and what the outcome was</li> <li>• If there are shortcomings how these could be mitigated</li> <li>• How the organisation manages</li> </ul>
3	Be able to monitor and evaluate internal and external resource use to meet plans	3.1	Review progress of actual resource use against planned resource use	Readily responded to as one task if required, this learning outcome would ideally be supported by organisational examples, documentation and/or context. Whilst the use of appendices is not encouraged, short extracts of live data inserted into the main body of the assignment may help to illustrate the examples discussed.
		3.2	Discuss methods of recording, monitoring and reporting on resource used	<p>Resource use is recorded, monitored and reported in many different ways depending on the resource type and organisational setting; methods include (3.1 &amp; 3.2)</p> <ul style="list-style-type: none"> <li>• Stock records</li> <li>• Financial records / budgets/ cash flows/ management accounts</li> <li>• Timesheets</li> <li>• Overtime and other wage-related records</li> <li>• Production records (e.g. showing yield from a particular process – especially in manufacture)</li> </ul>

				<ul style="list-style-type: none"> <li>• Variance analysis as against the above sources of information (actual versus planned difference)</li> </ul>
		3.3	Explain methods of using resource information to inform future actions	<p>Depending on the organisation's planning approaches, resource-use records will be used in informing forward planning processes such as business plans and budgets. There are many techniques that can be associated with this process and this element is ideally served using the Learners own organisational context; the following non-exhaustive list provides some examples:</p> <ul style="list-style-type: none"> <li>• Capital investment appraisals (such as Payback and Net Present Value)</li> <li>• Sensitivity analysis (modelling a range of different cost and revenue scenarios)</li> <li>• Return on Investment accounting methods</li> <li>• Zero based budgeting approaches</li> <li>• Incremental approaches (that base future activity on past activity)</li> <li>• Stock re-ordering systems</li> <li>• Capacity planning</li> </ul>

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about identifying, planning, using and evaluating resources to meet objectives.

# MEETING STAKEHOLDER AND QUALITY NEEDS

**SCQF Level**

8

**Unit Number**

S8005V1

**SQA Unit Number**

U351 04

**Credit Value**

6

**Guided Learning  
Hours**

20

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## LEARNING OUTCOMES

1

Understand how to identify stakeholders and their requirements

## ASSESSMENT CRITERIA

1.1

Determine organisational stakeholders and their expectations

This criterion would benefit from an introductory paragraph that outlines the value to a business of understanding its stakeholders and, then to link this to who stakeholders are (be sure to consider both internal and external stakeholders). This would ideally be supported by your own organisational examples.

In terms of determining 'stakeholder expectations' this will, again, vary from organisation to organisation however, some typical examples

			could include the following:
			<ul style="list-style-type: none"> <li>• Shareholders – expecting a financial return on their investment</li> <li>• Workforce – expecting secure employment and fair wages</li> <li>• Regulators – expecting compliance with relevant standards and regulations</li> <li>• Local community - expecting consideration of their needs in decision making, contribution to community causes, environmental expectations</li> <li>• Customers – expecting products and/or services that conform to (amongst other things) their particular quality, availability and price requirements</li> </ul>
		1.2	<p>Discuss methods of meeting stakeholder expectations or requirements</p> <p>These sections consider how organisations can meet stakeholder expectations and key to this is the process of updating the understanding of what those expectations are. There are many examples from the world of business and industry that illustrate both good and bad examples of this that could support this section including, potentially, examples from the Learners own organisation. As an example, Henry Ford once famously said that his customers could have one of his cars in <b>“any colour as long as it’s black”</b>. Coupled with contemporary examples (which will vary depending on when the assessment is taken) Learners can illustrate this point through real-life</p>

			<p>examples.</p> <p>Other examples of content that would illustrate ‘processes for updating information on stakeholder requirements’ could include but are not confined to:</p> <ul style="list-style-type: none"> <li>• Determining ‘customer gaps’ (the difference between expected and experienced service levels) and causes (e.g. using tools such as Ishikawa)</li> <li>• Understanding the seasonality and patterns of demand through record keeping and, for example, stock monitoring</li> <li>• Market research</li> <li>• Customer (internal or external) surveys, attitude surveys, mystery shopper reports</li> <li>• Complaints analysis</li> <li>• External reports and comments concerning the organisation (e.g. Trip Advisor, Which?, Watchdog)</li> </ul>
		1.3	<p>Evaluate methods of communicating stakeholders’ requirements with team members</p> <p>In evaluating methods of communicating stakeholders’ requirements with team members, the examples used would ideally be drawn from the Learners organisational context, however, if this is limiting some of the more general approaches could also be considered as follows:</p> <ul style="list-style-type: none"> <li>• Through so called ‘Quality Circles’ or similar task groups</li> </ul>

		1.4	Explain processes for updating information on stakeholder requirements	<ul style="list-style-type: none"> <li>• As a regular agenda item in team meetings</li> <li>• As part of feedback on KPI's and other targets whether individually or on a team basis</li> <li>• Through service standards or service level agreements</li> <li>• Through training</li> </ul>
2	Understand how to apply and improve quality standards	2.1	Evaluate the meaning of quality to an organisation	<p>Presenting the ideal opportunity to include a definition of 'quality' using a recognised source (e.g. from a quality standard such as the ISO 9000 family or an author such as Dale, Juran, Deming, or, Crosby) this definition can then be matched against the Learners own organisation where possible to evaluate the meaning of quality from the organisation's point of view. The following points may assist:</p> <ul style="list-style-type: none"> <li>• Does the organisation use quality control, quality assurance or total quality management approaches? Does it know what its objective is around quality? Are quality approaches explicit or have they simply evolved over time (ad hoc)?</li> <li>• Does the organisation know why it manages quality and what its expectations are in terms of the business benefits? Does it measure its progress towards these?</li> <li>• Where does the organisation place the</li> </ul>

			customer in their quality management approach?
			<ul style="list-style-type: none"> <li>How does quality feature in the organisation's culture?</li> </ul>
	2.2	Establish how to apply organisational quality policies and procedures	<p>In terms of applying organisational quality policies and procedures, there are many 'tools', methods and 'philosophies' that have seen popularity over the years; the learner's organisation may have been involved with particular approaches that can be used to respond to this criteria; however in general terms the following examples are all relevant to this section too:</p> <ul style="list-style-type: none"> <li>Using the Continuous Improvement Cycle (and similar Plan Do Check Act approaches)</li> <li>Reviewing processes and creating policy frameworks</li> <li>Using 'Zero defect' (Crosby) approaches (including Lean Six sigma)</li> <li>Setting standards/benchmarking</li> <li>Using Service Level Agreements/targets</li> <li>Using inspection systems for quality control</li> <li>Using Operations Management for quality</li> </ul>

				<p>assurance</p> <ul style="list-style-type: none"> <li>• Using whole organisation process management for TQM (Total Quality Management)</li> <li>• Promoting awareness, giving training</li> <li>• Using change management, bringing about cultural change</li> <li>• Promoting a culture of organisational learning (the so called 'Learning Organisation')</li> <li>• Working towards accreditations in line with external quality systems such as ISO (International Organisation for Standardisation) BRC (British Retail Consortium) and others</li> </ul>
		2.3	Determine how to encourage staff to contribute ideas to improving quality	Linking very closely to 4.3 below (and those methods being mostly relevant to this criterion also) this element looks for examples of the ways in which staff are encouraged to contribute ideas to improving quality.
3	Be able to conduct a quality audit	3.1	Conduct a quality audit and make recommendations for improvement	This element requires evidence in the form of an actual or simulated quality audit in some form that is, ideally, relevant to the Learners organisation. Therefore, evidence for this section could be an extract or actual audit document (if commercial confidentiality allows) that outlines the activities,

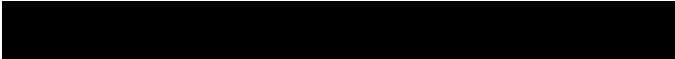
			<p>objectives, measurements, scope etc.</p> <p>In every case there should be justifiable recommendations for improvement so, if the audit reveals <b><i>“Waste on line 4 running at 20% over the target”</i></b> then there should be recommendations that support the findings in line with organisational objectives.</p> <p>In this case those recommendations could be, for example, <b><i>“training required on correct operation of packaging machine”, “maintenance required for machine X” and “analysis of raw material batch X for conformance to purchase standard”</i></b></p>
4	Understand how to promote continuous improvement and change	4.1	<p>Discuss the concept of and need for continuous improvement</p> <p>Although readily responded to as one discussion, the following elements have been separated for clarity</p> <p>This element would benefit from a definition of ‘continuous improvement’ for which there are many contributors including Drucker, Juran and Deming along with the recognition that incremental small step improvements have business benefits in terms of (for example):</p> <ul style="list-style-type: none"> <li>• Culture</li> <li>• Change management</li> <li>• Customer focus</li> </ul>

			<ul style="list-style-type: none"> <li>• Remaining competitive</li> <li>• Reducing costs</li> </ul> <p>Links to so called lean philosophies and approaches may be relevant to the Learner and their organisation and could be discussed here too if they are familiar with these.</p> <p>The need for continuous improvement has clear connections with commercial or organisational sustainability in the face of the changing environment – links with PEST factors – and the need to avoid complacency, and there are a number of high profile examples (like Woolworths) which might be used as illustrations.</p>
	4.2	Evaluate work activities and identify areas for improvement	<p>Potentially cross referencing to AC's 3.1, 4.3 and 2.2, this section can be covered through the use of examples (ideally from own organisational context) of evaluating a work activity in order to identify areas for improvement. The following examples would all meet this requirement:</p> <ul style="list-style-type: none"> <li>• Quality audit content and activities</li> <li>• Process reviews and analysis</li> <li>• Task breakdowns, workflows</li> <li>• Identifying bottlenecks ('Theory of Constraints')</li> <li>• Using efficiency and effectiveness as ways</li> </ul>

				<p>of evaluating work activities</p> <ul style="list-style-type: none"> <li>• Benchmarking</li> <li>• Using tools such as Ishikawa diagrams, Pareto, Value Stream mapping (if known by the candidate) to 'diagnose' work activities</li> </ul>
		4.3	Determine a range of methods that can be used to encourage staff to contribute ideas for continual improvement	<p>Some examples relevant to this section are as follows (it should be noted that different terminology may be used for the same method, these are not exhaustive and the Learners own organisation may have different approaches)</p> <ul style="list-style-type: none"> <li>• Quality improvement groups (key process groups, innovation groups, quality circles)</li> <li>• Ideas and suggestions schemes</li> <li>• Project group /matrix groups</li> <li>• Training and qualifications with business improvement projects as part of the assessment</li> <li>• The company participating in quality accreditation such as the ISO9000 family, ISO14000, EFQM, Investor in People and many others</li> </ul> <p>Learners may also find that tools and techniques to encourage the contributions and involvement of staff have a strong link to motivational theory, and</p>

				related examples might be relevant to use here
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## ADDITIONAL INFORMATION ABOUT THIS UNIT



### Unit Aims

This unit is about meeting stakeholder requirements to agreed quality standards and seeking improvements.

# CONDUCTING A MANAGEMENT PROJECT

**SCQF Level**

8

**Unit Number**

S8006V1

**SQA Unit Number**

U352 04

**Credit Value**

10

**Guided Learning Hours**

35

## Good Practice

CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners.

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## LEARNING OUTCOMES

1

Be able to identify and justify a management project

## ASSESSMENT CRITERIA

1.1

Determine a management area for investigation that has an implication for a work-related area

In producing a project plan – you will need to cover all of the components in this section of the unit – aim, scope and objective of the project.

When deciding on a topic area for investigation, you are advised to select an area that interests you, is substantial enough to be researched and one that enables you to make recommendations for change. It may be a problem that needs to be resolved, an issue that is affecting your organisation or an opportunity for improvement. If

				you are struggling for ideas - refer to Joan Knutson (2001) who suggests they may come from top-down, bottom-up or from customers or clients.
		1.2	Identify the aim, scope and objective of the project	<p>You need to identify and justify the intentions of your investigation. <b>The project aim</b> is what you intend to do – what you intend to investigate and why. This needs to be very clear and simple – avoid too many sentences – this will make it more complex than it needs to be. The <b>scope</b> is a short description of the area for investigation – that justifies its purpose and limitations within the context of your workplace – and outlines the key deliverables and how its success can be measured. Your investigation may have more than one <b>objective</b> and these need to be specific and outline exactly what will have been achieved at the end of the project. If you think about the project from the perspective of the project sponsor - this will help you to create focused rationale. It can be useful to deploy the SMART model for project objective setting. The addition of a project plan is also beneficial at this stage. You might choose to use a Work Breakdown Structure or a Gantt chart for this purpose.</p>
		1.3	Justify the aim and objective of the project	
2	Be able to conduct research using sources and analyse data and options	2.1	Identify sources of data and information for the project	When identifying sources of data and information, you need to demonstrate that you recognise the merits of the four key sources of information (primary, secondary, qualitative and quantitative) and understand the relevance and value that each

			could have for you in addressing your project aim.  You could refer to your research methods e.g. interviews, questionnaires, desk research or alternative methods such as focus groups or observation methods, depending on which seem most relevant to your project.  You need to demonstrate that you have analysed the data and information collected. Depending on the sources used – you could cover this in different ways. For example, qualitative data may be analysed using a software tool, whereas qualitative data may need to be analysed using key themes. Analysis of the data and information should enable you to determine a range of options to address the key objectives of the project. It might be helpful to identify selection criteria that will enable you to choose the option or alternative that best meets the project aim. There should be a link between your analysis and the options generated.
		<b>2.2</b>	Analyse the data and information for options or alternatives that meet the project aim
		<b>2.3</b>	Determine an option or alternative that meets the project aim  It would then be useful to deploy at least one recognised model for options appraisal. Examples include: <ul style="list-style-type: none"> <li>• Grid analysis</li> <li>• Paired comparison</li> <li>• Pareto analysis</li> <li>• Cost/Benefit analysis</li> </ul>

				<ul style="list-style-type: none"> <li>• Or a decision-making model e.g.</li> <li>• Vroom-Yetton-Jago</li> <li>• Kepner-Tregoe</li> <li>• OODA loops</li> </ul> <p>There may be others which are more appropriate to your project</p>
3	Be able to make conclusions and recommendations that achieve the project aim	3.1	Evaluate the research to make conclusions	<p>You need to demonstrate that when you evaluate research it enables you to draw conclusions. This could include a synopsis of all steps carried out in the process. It would be helpful to summarise the research approaches used and the results of the research analysis. You could also factor in any limitations that you have spotted in your research and the impact of these on your findings, including what you might do differently if you had the chance to start again. You could then highlight the key themes of your conclusions, which will affect your recommended course of action for the project implementation.</p>
		3.2	Recommend a course of action to meet the project aim	<p>It would help if your recommendations were clear and to the point, and justified by the models you have used to determine the required course of action. You might choose to present your recommendations in the form of a table, as an action plan with timescales and ownership for</p>

		<b>3.3</b>	Assess the impact of the project recommendations	<p>outcomes.</p> <p>The final part of this learning outcome requires you to assess the impact of the recommendations – this may need to be intended impact if your project has not yet been implemented. You could refer to the Kaplan and Norton Balanced Scorecard as an approach to assessing the impact of recommendations.</p>
<b>4</b>	Be able to show and review the results of the project	<b>4.1</b>	Determine the medium to be used to show the results of the project	<p>You need to find the most appropriate way to communicate the results of your project within your workplace. This may be how to show the final outcome if the project has been implemented, if not then it could be how you are going to show the results of your research along with your recommended course of action. You need to show that you have considered the recipients of this information and choose the most appropriate method for communication as this will impact upon their buy-in. Communication methods chosen will vary depending on the stakeholders involved and will need to adjust for the following audiences – project sponsor, project stakeholders, project team and others involved. You need to factor in what they need to know and the key messages that need to be conveyed. The use of theory concerning the advantages and disadvantages of different channels of communications would add value to your analysis.</p>
		<b>4.2</b>	Produce the results of the project	<p>You could refer back to the original project aim</p>

		4.3	Discuss the impact of the project on the work-related area	and assess both the result of the project and the impact that the results have had on the work-related area. You could discuss the impact on different aspects of the organisation's work and on both people and processes. The Kaplan and Norton Balanced Scorecard might again be a useful model to use in this regard.
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## ADDITIONAL INFORMATION ABOUT THIS UNIT

<b>Unit Aims</b>	This unit is about identifying, researching and producing a work-related project and evaluating its impact.
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# ORGANISATIONAL FINANCIAL MANAGEMENT

**SCQF Level**

8

**Unit Number**

S8007V1

**SQA Unit Number**

UG76 04

**Credit Value**

9

**Guided Learning  
Hours**

30

## Good Practice

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## LEARNING OUTCOMES

1

Understand how to control a financial system

## ASSESSMENT CRITERIA

1.1

Assess the relationship(s) between a financial system/function and other systems/function in an organisation

Ideally contextualising to a known organisation, these criteria can be narrated together if required, with the assessment seeking to assess how financial systems and the financial function interact and relate to other systems and functions within an organisation. In responding, it is recommended that an overview of the systems of accounts and financial statements are described by way of an introduction which sets the scene for selecting examples and their linkages. The introductory discussion would usually touch on key aspects such as: financial statements (e.g. balance sheet and profit and loss statements),

			management accounts and financial plans and the budgetary framework.
		1.2 Describe the systems of accounts and financial statements used to control a financial system	<p>Once this is outlined, then examples can be selected to explain the linkages to other organisational functions. An example of this (that would be common to almost all organisations of any size), would be the budgetary process that controls activity and behaviour through the framework of cost centre budgets, limits, protocols and parameters that it creates. There will be variables from organisation to organisation in how this happens which will allow a thorough grasp of the subject matter through contextualisation.</p> <p>Other examples that would support these criteria include (but are not confined to) how management accounts inform the management function in real time on performance and action needed and, how metrics and indicators (e.g. targets, KFI, KPIs) drive activity.</p>
		1.3 Analyse financial information contained in a set of accounts or financial statements	<p>The analysis of financial information contained in a set of accounts or financial statements could take various forms and therefore the following suggestions are not exhaustive. If the financial statements are used, then ratio analysis is a useful way of providing appropriate analytical evidence however, equally appropriate are the analysis of a budget, a cash flow statement or a capital investment appraisal. Simply providing calculations is not sufficient to demonstrate analysis and, therefore, the Learner should also provide narrative that describes how and why the</p>

			<p>quantitative information might inform decisions or activities for example.</p> <p>Depending on the financial statements used for this element there could be the opportunity to cross map this work with the evidence required in LO2.</p>
2	Be able to identify and use a range of financial controls	2.1	<p>Construct a budget for an area of management responsibility</p> <p><b>Generally: whilst these criteria are described separately the opportunity exists to generate the evidence required through one activity that discusses and identifies the budgetary journey from planning, doing, checking and acting upon intelligence arising as part of and, from the process.</b></p> <p>This criterion is evidenced by an 'actual' budget construction again, ideally from the learner's own, or a known organisation.</p> <p>Supporting narrative in this section could include a discussion outlining the process that develops budgets ideally, within own organisation, and could include explanations concerning: top down or bottom up approaches, zero based or incremental forecasting methods, tools and techniques used as part of the process such as the use of environmental scanning, 'limiting factors', using trends and knowledge of seasonal fluctuations in costs and revenues, the creation of functional budgets and so forth.</p>

		2.2	Develop budgetary control systems comparing actuals with planned expenditure	<p>This section seeks to understand how budgetary processes compare <b>actuals</b> with planned out turn and what action could be taken as a result to correct variances.</p> <p>The criteria could be usefully demonstrated using a known organisational system, ideally showing the kinds of reports and statements that are generated to support this process.</p> <p>Once budgetary variances are identified, there are options as to the required and appropriate next steps. Much will depend on the type of variance - adverse or favourable: both can have ramifications - the extent (relative size) of the variance and, the type of business and its objectives/priorities. In most businesses accountability for variances will be that of the 'budget holder' who will consider what needs to happen. Examples of corrective actions could include (but are not confined to):</p> <ul style="list-style-type: none"> <li>• An adverse variance in the spend on direct labour could result in tighter controls over overtime or an examination of agency expenditure etc</li> <li>• A favourable variance on income could mean that the number of items being sold has exceeded the planned sales which may bring to bear pressure on other budgets such as raw material and labour; therefore these associated budgets may need to be revised to ensure that output</li> </ul>
		2.3	Discuss corrective actions to be taken in response to budgetary variations	

				<p>can keep pace.</p> <ul style="list-style-type: none"> <li>• An adverse variance on the cost of machinery maintenance may mean that a piece of equipment is at the end of its economic life and plans need to be put in place to replace it</li> </ul> <p>In most organisations, the budgetary process and other financial management control systems represent a form of organisational ‘rationing’ and as such conflicts will arise as different departments and functions compete for scarce resources. Conflicts may include:</p> <ul style="list-style-type: none"> <li>• “What gets measured gets done” budgets create behaviours that strive to meet the metrics set but these can be at the exclusion of other activity that would be beneficial to the organisation but are not recognised, e.g. a lucrative international opportunity may be overlooked as the department only has a UK income target</li> <li>• In striving to remain within budgetary or other control limits ‘counter-intuitive’ actions may arise e.g. to avoid exceeding the materials budget the buyer may purchase inferior quality stock which creates more waste, may cause problems with machinery or storage etc.</li> <li>• Budget holders play so called ‘budgetary games’ in order to get the most from the</li> </ul>
		<b>2.4</b>	Identify conflicts that can occur with management control systems and how these could be resolved or minimised	

				system e.g. slush finds, conservative forecasting etc
3	Understand the sources and availability of finance to an organisation	3.1	Define the current and potential sources of finance that support organisational activities	<p>Ideally referring to own or a known organisation (unless this limits the discussion; in which case other examples should be cited) this criteria defines sources of finance - which should include an outline of their use and applicability - and may include, but are not confined to:</p> <ul style="list-style-type: none"> <li>• Internal sources of finance such as retained profits or sale of assets</li> <li>• Overdrafts, bank loans</li> <li>• Mortgages</li> <li>• Factoring and invoice discounting</li> <li>• Issue of shares and debentures</li> <li>• Grants (match funded, co finance)</li> <li>• Venture capital, business angels</li> </ul>
		3.2	Evaluate the distribution of finance in support of organisational activities	<p>Linking in part with LO2 (and relatively easy to embed) this section seeks an evaluation of the ways in which finance is distributed ('shared/rationed'), monitored and controlled in line with organisational activities and ideally will draw from a known organisational context.</p>
		3.3	Evaluate the monitoring and control of finance employed in support of organisational activities	<p>Aspects to consider in an evaluative manner may include but are not confined to:</p> <ul style="list-style-type: none"> <li>• How priorities (and associated activities)</li> </ul>

				<p>are determined and how these link to organisational objectives.</p> <ul style="list-style-type: none"> <li>• To what extent do organisational objectives and priorities feature in the budgetary and financial control mechanisms of the organisation (and how does this influence internal allocation of financial resource and prioritisation)?</li> <li>• How effectively changes to priorities or objectives are integrated into these processes?</li> </ul> <p>How monitoring and control processes support organisational activities e.g. are variances considered in terms of organisation-wide ramifications or, in isolation? Are there any conflicts resulting from the process that are damaging to organisational efficiency and effectiveness in its activities?</p>
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## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about financial management systems and controls and the impact of external factors on organisational financial management.

# CONDUCTING A MARKETING PLAN

**SCQF Level**

8

**Unit Number**

S8008V1

**SQA Unit Number**

UG77 04

**Credit Value**

9

**Guided Learning Hours**

30

## Good Practice

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## LEARNING OUTCOMES

1

Understand the role of marketing in achievement of organisational objectives

## ASSESSMENT CRITERIA

1.1

Explain marketing as a tool in the management process

1.2

Describe how the role of marketing can identify and predict the needs of current and potential stakeholders

You need to be able to demonstrate an understanding of how marketing operates within the organisation. Whilst the marketing function may be an important part of meeting organisational objectives, in addition, marketing is viewed as integral to creating a culture within an organisation. For example - the organisations who adopt a market-orientated culture put customers at the heart of their business. Increasingly there are many organisations who operate in this way, examples of which could be incorporated into your response.

Recognising the many stakeholders associated

				<p>with your organisation is key to addressing this brief. Stakeholders range from customers, employees, shareholders and regulators, depending on the nature of your organisation. Understanding their needs and how they differ is an important part of recognising how you can predict their future needs. And marketing plays a role in getting to understand more about these needs such as conducting research in order to try to meet their expectations in the future – through better service, for example. Meeting customer needs is a crucial part of any organisation's objectives. Draw upon personal experience as a means of recognising when organisations have met your needs and use this to illustrate your understanding. It might be helpful to provide examples of how your organisation identifies customer expectations and determines the 'customer gap' between current products and services and actual requirements. Examples of how your organisation measures quality of service to customers might also help to illustrate your understanding.</p>
2	Understand the organisations current markets and/or sectors within which it operates	2.1	Evaluate the current position of the organisation within its chosen sector or market	<p>All organisations need to be aware of their position in relation to their competitors. Marketing planning will enable you to get a clearer picture of how to assess your current position and research will help you to understand where your organisation sits within its marketplace. If you are not able to apply this within your current</p>

			organisation – then use other organisations by way of example and infiltrate these within your response.
		2.2	<p>Determine a future market or sector position for the organisation in line with organisational objectives</p> <p>Researching the external environment by using the <b>PESTLE</b> tool will enable you to see how external factors affect your organisation in the form of opportunities and threats. Researching the internal environment is about understanding the factors that the organisation has direct control over and knowing whether these are strengths or weaknesses with regard to developing future business. For example – the current workforce – has it got the right skills to meet future business needs? Do existing products or services need to be changed to meet future requirements?</p> <p>Other tools like competitor analysis using Porters Five Forces can assist in your evaluation of current position.</p>
		2.3	<p>Identify other parts of the organisation which are impacted and involved in a future market or sector plan</p> <p>Using the <b>SWOT</b> analysis tool is one means of pulling together all your analysis into the external factors and internal issues affecting the organisation. This analysis can then provide insights into how you can develop a future market position. A meaningful SWOT analysis will also show how you can enlist support from other areas of the business – for example – production, sales, finance or HR and understand their contribution to future strategy development. The level of involvement will depend upon the context and nature of the organisation and sector you have</p>

			chosen.
<b>3</b>	Be able to develop a marketing plan that contributes towards achieving organisational objectives	<b>3.1</b>	<p>Construct a marketing plan to support organisational objectives</p> <p>Already, the previous two sections have outlined the research required to assess the external and internal environments. The completed SWOT analysis has enabled you to come up with a marketing objective in line with organisation objectives.</p> <p>You are now asked to construct a marketing plan that supports organisational objectives. This is the outcome of the marketing planning process. Key component parts of the marketing plan are as follows:</p> <ul style="list-style-type: none"> <li>• Management summary</li> <li>• Market situation (previous section)</li> <li>• SWOT and PESTLE analysis (previous section)</li> <li>• Marketing objectives (previous section)</li> <li>• Marketing strategies</li> <li>• Action programme/implementation</li> <li>• Budget</li> <li>• Control and evaluation</li> <li>• Contingencies</li> </ul>

				<ul style="list-style-type: none"> <li>• Appendices</li> </ul>
		3.2	Devise strategies to support the implementation of the marketing plan	<p>The next stage of the planning process is to use this information to create the strategy, set the objectives and indicate how it should be implemented. You could use the Ansoff matrix model to help focus on the most appropriate strategy for your situation. Again – you may choose to draw from examples from other organisations to help you illustrate strategic development.</p>
		3.3	Implement the marketing plan	<p>Implementing the marketing plan involves considering the 7Ps model – covering product, price, promotion, place, people, process and physical evidence in turn. Outline how each of these would be affected in this situation.</p>
		3.4	Assess the progress of the marketing plan	<p>You are then asked to demonstrate what controls need to be in place in order to assess the progress of the plan - this involves establishing how best to measure its success. Ongoing monitoring is required, often in the form of evaluating campaign activity and adjusting forward plans according to results. Other methods might include – surveys, discussion groups, sales figures and ROI, for example.</p>
		3.5	Evaluate how well the implementation of the marketing plan meet with the organisational objectives	<p>Evaluating the success of the plan is carried out at the end – to establish if organisational objectives have been met. You could to consider – what has been achieved in terms of measurable outcomes, and lessons learned for the future, This might acknowledge any changes that have</p>

				<p>occurred since the plan was constructed. This information will could provide insight for future projects. Examples where other organisations have learned from previous plans could be used as illustrations.</p>
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ADDITIONAL INFORMATION ABOUT THIS UNIT

Unit Aims

This unit is about understanding the role of marketing, the organisation’s current market position and planning for widening markets.

# PROJECT DEVELOPMENT AND CONTROL

**SCQF Level**

8

**Unit Number**

S8009V1

**SQA Unit Number**

U355 04

**Credit Value**

6

**Guided Learning  
Hours**

20

## Good Practice

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## LEARNING OUTCOMES

1

Be able to identify the components of project stages and lifecycle

## ASSESSMENT CRITERIA

1.1

Describe the component stages of a project

1.2

Define a project lifecycle from conception to commissioning or hand over

These criteria can readily be handled together and the narrative could be usefully introduced with a definition of what a project is and, ideally some examples of actual projects from the organisational context.

Thereafter, the component stages and lifecycle will usually contain the following (although terminology may differ from source to source and there may be other 'stages' that are organisationally-specific)

- Initiating (start up and feasibility)

			<ul style="list-style-type: none"> <li>• Planning and organising</li> <li>• Executing (implementation)</li> <li>• Monitoring and Controlling</li> <li>• Closing (completion) and evaluation / handover</li> </ul>
		<b>1.3</b> Assess where projects fit in operational management activities	<p>Projects can of course be large or small and it is useful here to draw the distinction between 'organisations' (who, as an entity, are concerned with the long term, survival and continuance) as opposed to 'projects' that have specific objectives and defined lifecycles (even though a project could, arguably, be larger in scale and value than an entire organisation) .</p> <p>Notwithstanding this difference, the two entities need to co-exist when a project is commissioned to achieve an organisational need and, as such, the day to day operations need to find a 'fit' and alignment with the project's activities (and vice versa!). Some considerations here to respond to this section (and ideally supported with workplace examples) include:</p> <ul style="list-style-type: none"> <li>• <b>Project team:</b> are they separate to the operational workforce or drawn from the workforce (e.g. matrix arrangements)?</li> <li>• Is the <b>team</b> focused exclusively on the project or, has a dual role e.g. operations and project?</li> <li>• <b>Resources</b> – what are the arrangements</li> </ul>

				<p>for access to resources – what are the priorities in terms of day to day ops versus project needs?</p> <ul style="list-style-type: none"> <li>• <b>Management decision making</b> – where is the power? Is the project manager part of, or separate to the operations management function?</li> <li>• <b>Cost</b> – how is the project funded? Are there separate or shared budgets?</li> </ul> <p>What are the <b>measurements</b> or KPI's? Are they aligned with the operational activity or do they produce conflict?</p>
2	Understand project methodologies and their application	2.1	Discuss standard approaches available to manage projects	<p>Project management has a wide scope and there is a significant amount of information, tools, software and so forth available. The internet is a particularly rich source of the latest information on the subject.</p> <p>In terms of 'standard' (and recognised) approaches to project management, the learner should check for currency as described, but may usefully draw from the following examples of methodologies, particularly if their own organisation uses a particular approach:</p> <ul style="list-style-type: none"> <li>• PRINCE2 (Projects in Controlled Environments) widely recognised in the public sector in particular</li> <li>• PMBOK (Project Management Body of</li> </ul>

				<p>Knowledge)</p> <ul style="list-style-type: none"><li>• DSDM (Dynamic Systems Development Method)</li><li>• SSADM (Structures Systems Analysis and Design Method)</li></ul> <p>Within these methodologies there are many tools that can be used; these are not always exclusively used in project management and the Learner may be familiar with these from other activity</p> <ul style="list-style-type: none"><li>• Project charters</li><li>• Work breakdown structures</li><li>• Flowcharts</li><li>• Critical path /PERT</li><li>• Gantt charts</li></ul>
		2.2	Describe the process of developing an effective project management environment	<p>In describing the process of developing an effective project management environment Learners should, where possible, support their discussion with organisational examples. As projects cannot exist in a vacuum (as recognised in 2.1) an awareness of the wider environment and approaches to managing factors within it could include but are not limited to:</p>
		2.3	Discuss identification of and communication with all project stakeholders	<ul style="list-style-type: none"><li>• <b>Stakeholders (2.3).</b> Stakeholders should be identified and their interest and power</li></ul>

			<p>considered (a stakeholder map is useful for this) in order to formulate a plan for communicating, influencing and negotiating with.</p> <ul style="list-style-type: none"> <li>• <b>The external environment</b> – Through understanding factors in the external environment that may impact on the project, these can be managed appropriately. Well-known tools such as PESTLE would contribute to this. An example here would be a project to decide upon the location of a new call-centre site would be influenced by the availability of the workforce (skills, demographic, transport links etc)</li> </ul>
	2.4	Identify the fundamentals of a business case to support a project	<p>In identifying the fundamentals of a business case to support a project, Learners may be able to cite organisational examples. A business case might usefully contain (but is not limited to):</p> <ul style="list-style-type: none"> <li>• Who the project sponsor is</li> <li>• Who will be the end user of the project following handover</li> <li>• Objectives, success criteria, deliverables (links to organisational objectives)</li> <li>• Scope</li> <li>• Timescales</li> </ul>

				<ul style="list-style-type: none"> <li>• Risks and contingencies</li> <li>• Roles and responsibilities</li> <li>• Communications strategy</li> <li>• Resources required including financial budget</li> <li>• Implementation plan</li> </ul> <p>The business case, drawing from the above components, should make a clear statement of benefit, impact and strategic relevance and be supported by evidence (e.g. experts' inputs, statistical information such as falling sales statistics).</p>
3	Be able to develop a project plan, identify and mitigate risks	3.1	Design a project plan to achieve a specified objective	<p>Cross referring to 2.1 in terms of elements of a plan, 3.1 require an actual project plan to be designed (which could be simulated if the opportunity does not exist to base the response on organisational evidence).</p> <p>If an organisational plan is used then this should not be simply enclosed as part of the assessment but should be supported by explanatory narrative as to how it has been constructed and how this links to recognised practice</p>
		3.2	Identify the financial components including risk appraisal, which need to be developed for effective project design and control	<p>Within the project plan there should be consideration of financial components and risk appraisal – if your plan does not cover these then some additional narrative or evidence will be</p>

				<p>required to support this section. Fulfilment of 3.2 could be represented by:</p> <ul style="list-style-type: none"> <li>• Financial analysis and costing such as payback, net present value and similar methods</li> <li>• Sensitivity analysis (contributes to risk management through looking at different financial scenarios: e.g. best and worst case scenario as well as 'expected' situation)</li> <li>• Project budget</li> </ul> <p>Risk register (if applicable) and / or project risk assessments.</p>
4	Be able to construct a monitor and review strategy	4.1	Construct a monitoring and review strategy for the project that assesses the impact and achievement of the project	<p>This element requires the inclusion of an actual or simulated project monitoring and review strategy (i.e. associated documentation) ideally drawn from own organisation. The approach should ideally include or refer to some or all of the following:</p> <ul style="list-style-type: none"> <li>• Progress reports in general (see Lawrence P Leach 2004)</li> <li>• Planned v actual monitoring forms</li> <li>• Roles and responsibilities assignment</li> <li>• Milestones (e.g. as part of an overall Gantt chart for example)</li> </ul>

- Project meetings
- Risk review (sometimes 'risk registers' are used )
- Stakeholder review (e.g. + methods proposed; surveys, interviews etc)
- Project evaluations (summative; at the close of the project) to include stakeholders, project team, sponsor, for example
- Review of documentation as required (some projects are subject to audit)
- Impact & achievement measurements (based on objectives determined as part of a project charter)

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding projects, developing project plans and ensuring projects achieve objectives with targets.

# PLANNING FOR DEVELOPMENT

**SCQF Level**

8

**Unit Number**

S8010V1

**SQA Unit Number**

UG78 04

**Credit Value**

6

**Guided Learning Hours**

20

## Good Practice

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## LEARNING OUTCOMES

1

Be able to devise a human resource plan for a work area, to meet organisational objectives

## ASSESSMENT CRITERIA

1.1

Evaluate criteria required to identify human resource requirements for a work area

It may be useful to start any narrative with a recognised definition of Human Resource Planning (e.g. Tim Hannagan 2002).

This section can be usefully framed with a discussion that outlines the human resource planning process/ framework within a known organisation which is often a part of the wider organisational business planning process. Components that may contribute to this may include, but are not confined to: identification of personnel requirements from the (work area) business plan including: numbers, skills set, when

				needed, location, development required etc. There is often, as a part of this process, a review of relevant internal and external factors that may affect the HR plan; for example: potential within existing workforce, turnover levels, known demographical factors (e.g. aging workforce) skills availability in the external market, attractiveness of the industry and so forth.
		1.2	Evaluate techniques to assess the capabilities of a team to meet objectives	Once a business plan is agreed and a team is in place to deliver this, it is relevant to assess whether the team is capable of meeting the objectives set for it. Techniques that contribute to this may include; skills matrix/mapping (leading to the identification of development needs and a Training Needs Analysis), role and responsibility definition, competence v commitment mapping, team role analysis (e.g. Belbin) and work loading techniques that consider the likely capacity of a team.
		1.3	Construct a human resource plan for a work area	This element requires the production of a human resource plan, ideally for a known work area; this should be placed in the main body of the text as it is core content. An introduction would help to provide context and the plan should include timescales and an indication of costs of implementing the plan for example, recruitment, selection, induction, training, redeployment, etc.
2	Be able to identify and plan for individual development to	2.1	Assess ability of staff to meet current and future objectives	Linking to 1.2 above, assessing ability and capability can be carried out in a number of ways.

	meet organisational objectives			Contextualising, preferably to a known organisation, techniques that can be engaged include but are not confined to: <ul style="list-style-type: none"> <li>• Appraisal/review/supervision</li> <li>• MBWA (Management by Walking Around)</li> <li>• Reviewing staff capability against a competence matrix</li> <li>• Reviewing staff behaviours against organisational expectations e.g. identified in espouse values</li> <li>• Training Needs Analysis procedures</li> </ul>
		2.2	Assess capabilities of staff to meet current and future objectives	Following the discussion above these criteria can usefully be evidenced through the production of a 'real-life' personal development plan (anonymised as required), or, an organisational template with a simulated record. Should the plan in its current form not fulfil all aspects of the criteria in 2.2 and 2.3 then the evidence should be supported with further narrative as to how this could be achieved.
		2.3	Develop a personal development plan for an individual to meet current and future objectives	
		2.4	Agree personal development plans with individuals	
3	Be able to initiate a personal development plan for an individual	3.1	Identify the support required to initiate the personal development plan	Drawing from a known organisational context, these criteria seek to assess the Learners ability to identify what support is required to initiate a personal development plan; it is accepted that each individual case may produce a different requirement but there are likely to be common areas which may include but are not confined to:

				<ul style="list-style-type: none"> <li>• Support to ensure parity (equality) of opportunity and access (e.g. disability, cultural barriers, language barriers, age etc.)</li> <li>• Support that provides the opportunities to facilitate learning (e.g. work shadowing, access to information)</li> <li>• Coaching processes</li> <li>• Providing feedback</li> </ul> <p>AC 3.2 can be evidenced through a completed PDP or an 'in-progress' plan with review(s).</p>
		3.2	Initiate the plan against agreed objectives	
4	Be able to evaluate the progress of the plan	4.1	Review and monitor progress of the plan against agreed objectives	<p>Following the usual good practice associated with PDCA processes (Plan Do Check Act), the plan should contain review points/milestones that monitor progress towards achieving the plan's objectives.</p> <p>Evidence for this element could include exhibiting the completed review documentation (anonymised or simulated as required) which could contain some, or all of the following:</p> <ul style="list-style-type: none"> <li>• Review commentary that assesses progress against the (SMART) objectives</li> <li>• Actions completed/assigned/reviewed</li> <li>• Roles and Responsibilities, resource needs</li> <li>• Learner evaluation/comments</li> </ul>
		4.2	Evaluate the plan on completion	

				<ul style="list-style-type: none"> <li>• Manager evaluation/comments</li> <li>• New or revised SMART objectives (e.g. how this new skill or knowledge could be shared or developed)</li> <li>• Sign off commentary as required</li> <li>• HR actions as needed (e.g. recording CPD)</li> </ul>
		4.3	Assess the impact of the personal development plan on organisational objectives	<p>Increasingly, competence management is becoming more concerned with ongoing sustainable competence e.g. sustainable changes to skills and behaviour rather than 'snapshots' of competence (as evidenced by a certificate for example). This links to the notion of 'impact' in line with organisational objectives in that, correctly identified and successfully accomplished training and development should contribute to organisational objectives through the oft cited 'golden thread' that connects individual &gt; team &gt; organisational goals. Examples of this may include the implementation of an idea that creates new and more effective ways of working or, contributing to the achievement of recognised standards as seen in initiatives such as Investors in People.</p> <p>Other dimensions pertinent to this area may include but are not confined to:</p> <ul style="list-style-type: none"> <li>• The notion of a 'learning organisation'</li> </ul>

- CPD/Lifelong learning

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about planning human resource requirements to enable work objectives to be met and providing objective development opportunities for individuals.

# MANAGING RECRUITMENT, SELECTION AND INDUCTION

**SCQF Level**

8

**Unit Number**

S8011V1

**SQA Unit Number**

UG79 04

**Credit Value**

7

**Guided Learning  
Hours**

25

## Good Practice

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## LEARNING OUTCOMES

1

Understand the impact of both the law and organisational procedures on the process of recruitment and selection

## ASSESSMENT CRITERIA

1.1

Summarise the legal instruments impacting on staff recruitment and selection

1.2

Identify organisational procedures and processes that affect staff recruitment and selection

Readily answered together, this section requires the Learner to provide a summary of the (current) legal framework that impacts on recruitment and selection. Whilst legislation can change, it is likely that this narrative will reflect that relating to equality and diversity (including but not confined to: age, gender, ethnicity & sexual orientation) and, for some organisations: safeguarding.

Reflecting the legal framework, organisations will create policies, procedures and processes that ensure that they recruit the right candidates for their business whilst remaining compliant with

				legislation. The discussion, in responding to the criteria could therefore draw from the following areas: <ul style="list-style-type: none"> <li>• Typical steps and approaches in the organisation's recruitment and selection process</li> </ul> How these steps and approaches align with the legal framework and fairness, objectivity and equality of opportunity
		1.3	Discuss fairness, objectivity and equality of opportunity as elements of recruitment and selections	
2	Be able to present a reasoned case for changes in staffing resources, identifying personnel requirements	2.1	Analyse staffing resources to meet current and future objectives	<p>These elements consider situations that lead to changes in staffing resources and could usefully include (but not confined to):</p> <ul style="list-style-type: none"> <li>• The catalysts for changes: e.g. staff resignation, restructures, industry changes including opportunities</li> <li>• Linkages to the HR development strategy</li> </ul> <p>Taking into account the 'catalysts' for change; the manager will be involved in activity to analyse staffing resources in order to construct a case for any changes to the resource. This activity may involve (but may differ between organisations):</p> <ul style="list-style-type: none"> <li>• Skills/competences matrix production and gap analysis</li> <li>• Forecasting staffing levels (retirement, demographic profile, attrition, replacement demand and new demand as a function of</li> </ul>

				<p>forecasted activity levels)</p> <ul style="list-style-type: none"> <li>• Business planning</li> <li>• Creating budgets and the financial case</li> </ul> <p>This element requires the demonstration of skills and therefore evidential output is required e.g. an actual business case for staffing resources in a fit for purpose form.</p> <p>This element requires a demonstrable output which, ideally, would represent an 'actual' job description with person specification. In the event that the Learner cannot access such evidence then a simulated output will suffice provided it follows recognised practice as follows:</p> <p>Generally speaking a job description will contain:</p> <ul style="list-style-type: none"> <li>• The job title</li> <li>• The main purpose of the job —a single sentence that describes why the role exists</li> <li>• Who the jobholder is responsible to and for (if applicable)</li> <li>• Any special conditions</li> <li>• Main tasks of the job — these should start with active verbs and be as precise as possible.</li> </ul>
		2.2	Develop a job description	

		2.3	Develop a person specification	<p>Generally speaking a person specification will contain:</p> <ul style="list-style-type: none"> <li>• Skills and abilities</li> <li>• Qualifications</li> <li>• Knowledge — of a particular industry or an aspect of the public sector</li> <li>• Experience — the minimum work experience required to do the job</li> <li>• Special conditions — wear a uniform, work unsocial hours, and live in at weekends</li> </ul>
		2.4	Construct a case for additional staffing resources	<p>These will be categorised as either ESSENTIAL or DESIRABLE in order to assist the selection process</p>
3	Be able to conduct a selection process, justify a decision and keep necessary records	3.1	Discuss the stages of a selection process	<p>This learning outcome similarly seeks to evidence the ability to conduct a selection process and should be supported by actual or potentially simulated outputs as indicated in the suggestions below.</p> <p>Whilst this may differ from organisation to organisation the basic framework for the selection process is likely to include (but may also contain additional activities or procedures that should be identified by the Learner in their evidence):</p> <ul style="list-style-type: none"> <li>• creating a shortlist</li> <li>• assessing the short listed candidates</li> </ul>

				<ul style="list-style-type: none"> <li>making a decision</li> <li>communicating the outcome.</li> </ul>
		3.2	Evaluate methods to support a selection decision	Learners should evaluate this process in order to recognise the importance of each stage and if improvements might be achieved.
		3.3	Identify where records are kept, and the nature of those records	<p>Again, ideally drawing from an organisational context, this section seeks to evaluate the different selection methods that could lead to selection decisions; examples could include:</p> <ul style="list-style-type: none"> <li>Interviews</li> <li>Tasks (in tray, presentations, assessments, assessment centres)</li> <li>Psychometric assessments</li> <li>Scoring methods (weighting, objectivity)</li> </ul> <p>In terms of the records retained following recruitment and selection activity the Learner should identify, ideally for their own organisation:</p> <ul style="list-style-type: none"> <li>The nature of the selection records (e.g. application forms, scoring and interview notes)</li> </ul> <p>Where the records are kept (e.g. electronically or paper-based? HR department or departmental office?)</p>
		3.4	Evaluate the selection process	
4	Be able to communicate the selection decisions	4.1	Identify the communications required during a selection process	This section could be supported by the following aspects but is not confined to these and the Learner may consider alternative perspectives where these are more relevant to the

				<p>organisational context:</p> <ul style="list-style-type: none"> <li>• Meeting and greeting candidates</li> <li>• Providing clarity concerning the process</li> <li>• Ensuring barriers to communication are mitigated (particularly in the event of disability e.g., hearing impaired)</li> <li>• Considering non-verbal communication (e.g. desk arrangements)</li> <li>• Being able to paraphrase and ask questions in different ways in order to be clear</li> <li>• Advising candidates of arrangements after the selection process</li> <li>• Communicating with successful and unsuccessful candidates (order, content, constructive feedback, respect and dignity etc.)</li> </ul>
		4.2	Review the impact of the recruitment and selection process	<p>In reviewing the impact of the recruitment and selection process, organisations may embark on some or all of the following activities:</p> <ul style="list-style-type: none"> <li>• Collecting and analysing feedback from applicants</li> <li>• Collecting feedback from staff involved in the process (e.g. interviewers,</li> </ul>

				<p>administrative staff)</p> <ul style="list-style-type: none"> <li>Updating the process in the light of new legislation and recognised good practice</li> <li>Monitoring costs</li> <li>Assessing the effectiveness of selected applicants once they are in the workplace (probationary procedures)</li> <li>Setting and monitoring standards around the process</li> </ul>
		4.3	Review the impact of the appointed candidate on the objective of the case for additional resource	<p>In reviewing the impact of the appointed candidate as against the original business case, organisations will wish to ensure that their appointment decision is justified, in that, outputs, accomplishments and other contributions from the candidate are in line with, or exceed the business case for additional resource. Some examples could include but are certainly not limited to:</p> <ul style="list-style-type: none"> <li>Increased turnover/profits</li> <li>Meeting a skills gap or shortage</li> <li>Increase in capacity</li> </ul>
5	Be able to plan induction for the appointed candidate	5.1	Develop an induction plan for an appointed candidate	<p>This element seeks to evidence the Learner's ability to induct an appointed candidate and as such requires an actual or simulated plan for an induction. The Learner could usefully contextualise this section with a short discussion that outlines why induction is an important part of</p>

the process (e.g. cultural alignment, orientation, retention benefits and legal compliance). Whilst plans may differ from organisation to organisation elements could include:

- Corporate induction element (vision, mission, values, objectives, policies and procedures) etc.
- Health and safety, medical (e.g. Display Screen Equipment (DSE))
- Admin procedures (ID badges, computer log ins, paperwork)
- Orientation
- Introductions
- Local / departmental induction

'Hygiene factors' (desk, where to get food, who to contact)

## Unit Aims

This unit is about identifying a need for staff, selecting objectively and inducting effectively within legal and organisational requirements.

# BEING A LEADER

**SCQF Level**

8

**Unit Number**

S8012V1

**SQA Unit Number**

U358 04

**Credit Value**

7

**Guided Learning Hours**

30

## Good Practice

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## LEARNING OUTCOMES

1

Understand an organisation's ethical and value-based approach to leadership

## ASSESSMENT CRITERIA

1.1

Evaluate the impact of the organisation's culture and values on leadership

You may wish to open this section with a brief explanation of the importance of an organisation's culture and values and they are communicated. You could carry out a piece of research to establish the impact on leadership, or you may wish to do a comparative study between your own organisation and an organisation with very different culture and values. You should use models to substantiate your findings, there is a lot of literature about this, so be selective, you should refer to a number of theorists. Examples are Johnson and Scholes (the cultural web); Edgar

				<p>Schein, Charles Handy; Roger Harrison. You might also find the work of Colenso on high performing teams a useful reference regarding values. When asked to evaluate, you are expected to show that you can critically appraise a subject from a range of different perspectives and from both positive and negative aspects. That applies throughout the unit wherever you see evaluate as the command verb of the assessment criterion.</p>
		1.2	Discuss the impact of organisational specific, legal, regulatory and ethical requirements on leadership demands	<p>Again an investigation could be carried out to try to establish the impact of organisational specific, legal, regulatory and ethical requirements on leadership demands. This requires you to consider how external factors (e.g. the L and E of STEEPLE) that have an impact on an/your organisation affect the leadership of an/your organisation. Use real-life examples, if possible. Otherwise you could start by explaining the concept and reasoning behind ethical leadership and ethical organisations and the legal and regulatory requirements that affect a specified organisation and go on to explain how leaders manage these requirements whilst remaining effective.</p>
		1.3	Evaluate current and emerging social concerns and expectations impacting on leadership in the organisation	<p>A brief explanation of current and emerging social concerns and expectations and why it is important that organisations are aware of and address these issues would be a useful starting point (e.g. the S from STEEPLE/PESTLE). It would be best if you were able to draw on real-life examples, of how</p>

			such issues have, and are impacting on leadership in an organisation and how leaders are responding to ensure they remain effective and maintain team performance.
2	Understand leadership styles	2.1	<p>Evaluate the relationship between management and leadership</p> <p>This section gives you the opportunity to explore and critically appraise the differences and similarities between leadership and management and how they relate to each other. A helpful introduction would be to review some of the mass of literature, such as Tannenbaum and Schmidt, Fayol, Mintzberg and Favell. It would be useful to be able to draw on your own workplace experiences in drawing some conclusions about the practical application of the theories.</p>
		2.2	<p>Evaluate leadership styles</p> <p>You may wish to start this section by reviewing leadership styles (such as Lewin, Morris, Willcocks and Knasel, O'Neill, Kouzes, Posner and Adair) and go on to discuss the advantages and disadvantages of each in specific situations and draw conclusions to summarise your findings. Use personal examples, if possible to enhance your answer.</p>
		2.3	<p>Discuss why leadership styles need to be adapted in different situations</p> <p>If you can draw on your own experiences as a leader in different situations, that would begin to address this section. You may wish to assess your own leadership style and investigate what others think your style is and how you adapt your style to suit different situations. Discuss not only how you do this, but why you do this and the range of factors that influences your leadership</p>

				style and the outcomes achieved. Draw on the literature from a number of theorists to help your discussion and illustrate the points you make. For instance, reviewing the practical application of Hersey and Blanchard’s work on situational leadership may be useful, especially if you are able to relate this to real-life examples.
3	Understand the leadership skills required to ensure team involvement and achievement of objectives	3.1	Discuss how to establish a culture of professionalism, mutual trust, respect and support within the team	You need to explain how you, as a manager would develop a culture of professionalism, mutual trust, respect and support: you may wish to describe what that looks like, initially, in order to measure whether you have achieved this. If you are able to draw on workplace experiences that would be best, but in any case, you should include in your discussion some references to relevant theories and models, such as the Trust/Co-operation matrix. Colenso’s work on high performing teams might again be useful here.
		3.2	Evaluate the impact of a leader’s clear focus in leading the team in the achievement of the team objectives	It might be helpful to look at a range of situations, both where leaders are more focused, and where they are less focused and compare the outcomes of team objectives in relation to that leadership focus, in order to be able to evaluate the impacts. You could also investigate ways in which that focus is communicated to the team members and how they come to understand their role and goals. This can be linked to A.C.3.3, where the team understand the wider objectives and the organisation’s direction, which in turn refers back to concepts you may have discussed at 3.1. If you
		3.3	Evaluate how the leader supports and develops understanding of the organisation’s direction	

				<p>can use workplace examples of how you have supported your team and helped them understand their purpose, and the effect this has on outcomes and performance, that would be useful here. You need to evaluate how successful or otherwise different methods have been in achieving this. You might find reference to the application of John Adair's Action-centred leadership model of value here.</p>
		3.4	Discuss how leadership styles are adapted to meet changing needs, and to enable team development and commitment	<p>In this section you could use real-life examples, backed up with insight into theorists' writings. You could start with explaining the importance of adapting your leadership style, how to gain commitment from individuals, the importance of motivating your team and identifying any skills gaps or other developmental needs. It would also be useful to discuss the external (STEEPLE/PESTLE) factors that necessitate changing your leadership style, such as emerging trends around social responsibility and how this may affect team commitment. You might also want to show the links between leadership and motivational theories. Again you could use John Adair's model in relation to team development.</p>

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding and applying leadership skills and the understanding of ethical and cultural issues within the organisation.

# LEADERSHIP PRACTICE

**SCQF Level**

8

**Unit Number**

S8013V1

**SQA Unit Number**

U359 04

**Credit Value**

7

**Guided Learning Hours**

30

## Good Practice

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## LEARNING OUTCOMES

1

Understand the links and differences between management and leadership

## ASSESSMENT CRITERIA

1.1

Discuss the concept of managers as effective leaders

This Learning Outcome and associated criteria would benefit from the inclusion of recognised definitions or other references (including, for example, citations from the many contributors that discuss 'differences between'). Contributors in this field include Drucker, Adair, Blanchard and Johnson, Turnbull, Ulrich and many others; this is a richly populated area for theoretical underpinning and learners are encouraged to seek and include both traditional and contemporary viewpoints.

		1.2	Discuss the concept of leaders as effective managers	<p>The ensuing discussion could usefully include the following dimensions:</p> <ul style="list-style-type: none"> <li>• Similarities and differences in job roles of 'leaders' and 'managers'</li> <li>• Leadership and management 'activities'</li> <li>• The extent to which managers lead and leaders manage; continuum of leadership vs management.</li> <li>• Examples from own experiences, own work context, or one with which the candidate is familiar</li> </ul>
		1.3	Evaluate the balance needed between the demands of management and the demands of leadership	<p>In terms of specificity in evaluating the balance needed (1.3), this could usefully be underpinned by some kind of 'Leadership v Management audit' which would assist in drawing out the evaluative discussion that considers the extent to which individuals apply leadership and management approaches as part of their job. The identified tension/balance could be evaluated using 'mutually exclusive vs mutually inclusive' perspectives (e.g. when certain aspects are at the expense of others and, in contrast, when they complement).</p> <p>Areas to consider could include: activities, expectations, characteristics, attributes, traits and so forth and an example may be: when an overly 'managerial' approach might be good for task accomplishment but, this may be at the expense of a more strategic focus/generating a vision for the future.</p>

2	Understand leadership principles that support organisational values	2.1	Analyse the role of the leader in contributing to the creation of the organisation's vision, and in its communication to others	<p>Building on the work in LO1, AC2.1 should analyse the specific elements of creating and communicating the vision of the organisation and could draw usefully from the work of (amongst others) Ulrich et al, Gill and Turnbull. Areas to consider include (and can be analysed using the context of your own organisation as applicable):</p> <ul style="list-style-type: none"> <li>• Definition of 'vision' and its purpose</li> <li>• The leader's role in creating the vision and associated aims and objectives of the organisation</li> <li>• The leader's role in considering (amongst other things) organisational culture, norms sustainability (succession) &amp; capability to achieve objectives</li> <li>• The leader's role in engaging with others to glean views on hopes, intentions and ideas</li> <li>• The leader's role in being able to communicate the vision with authenticity, passion, conviction and inspiration in order to enthuse and engage the workforce</li> <li>• Methods that a leader can use to communicate the vision e.g. personal presentation</li> </ul>
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		2.2	Evaluate how personal energy, self-belief and commitment impact on leadership styles	<p>This area lends itself well to the use of examples and case studies concerning recognised leaders whether historical, contemporary or personal and the extent to which their leadership 'style' was shaped by personal energy, self-belief and commitment. Evaluative parallels could be drawn with the learner's own experiences of the world of work or their own leadership development</p>
		2.3	Evaluate how empowerment and trust through ethical leadership impacts on organisational practice	<p>This criterion asks for an evaluation concerning how empowerment and trust through ethical leadership impacts on organisational practice and could be usefully introduced with a critique of what 'ethical leadership' is about along with any observations from own organisation or other experiences. Contributors here could include, but are not confined to Bryson and Crosby, and Kanter and Gill; areas to usefully include are:</p> <ul style="list-style-type: none"> <li>• The impact of role modelling; the leader setting the (ethical) tone</li> <li>• Ethics and the connections to organisational values</li> <li>• How values drive behaviours</li> <li>• Organisational culture (opportunity to illustrate through a tool such as the cultural web; for example)</li> </ul> <p>How trust is deployed, built or destroyed and its impact on performance</p>

3	Understand and apply leadership styles to achieve organisational objectives	3.1	Distinguish between two different leadership styles	<p>Closely intertwined these criteria can be readily integrated but can, if required be answered separately. Whichever method is selected, it would be useful to outline the ways in which contributors (such as McGregor, Tannenbaum and Schmidt, Burns, Bass, Zigarmi, Blake and Mouton, and Adair to name but a few) have suggested leadership style can be described and distinguished. Thereafter, ideally selecting a contributor that is most aligned with the Learner's requirements or context (e.g. own organisation), leadership styles can be distinguished, evaluated and interpreted using situational variables.</p> <p>Content may include, but is not confined to:</p> <ul style="list-style-type: none"> <li>• Transformational v transactional leadership</li> <li>• Team, task and individual considerations</li> <li>• Situational leadership</li> <li>• Continuums of leadership style</li> <li>• Examples of situations and an appropriate leadership style (with rationale)</li> <li>• Examples of situations and an inappropriate leadership style (with rationale)</li> <li>• Team maturity and leadership style</li> </ul>
		3.2	Evaluate the practical value of a leadership style to a manager in achieving organisational objectives	
		3.3	Interpret how situational variables influence the choice of leadership style	

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about the links between management and leadership, key leadership principles and leadership theory

# INTRODUCTION TO MANAGEMENT AND LEADERSHIP

**SCQF Level**

8

**Unit Number**

S8020V1

**SQA Unit Number**

U360 04

**Credit Value**

7

**Guided Learning  
Hours**

45

## Good Practice

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When assessing this unit please be aware that the learner has to meet all the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 8 level of difficulty.

## LEARNING OUTCOMES

1

Understand the purpose of a personal development plan

## ASSESSMENT CRITERIA

1.1

Explain the purpose of a personal development plan for the middle manager and the organisation

1.2

Discuss a management style and its impact on the middle manager's need to work with others

Here you are asked to explain the purpose of a personal development plan for both the middle manager and the organisation. You might make reference to the organisational context and the relevance of personal development in enabling the organisation to meet its objectives.

In this section you might also make reference to the development cycle (Kolb) identifying a development need, a reflective learning log, identifying clear objectives, identifying development opportunities and how people learn.

You are asked to discuss a management style

				<p>and its impact on the middle manager's need to work with others and not merely to describe a management style. You could make reference to one style from a wide number of styles including the management style theories of Kurt Lewin, Blake and Mouton, Tannenbaum and Schmidt's leadership continuum, Hersey and Blanchard's 'situational leadership' and Reddin's 3D style model. You might also make reference to Favell's (2004) ASK ABE model:</p> <ul style="list-style-type: none"> <li>• Actions and Activities</li> <li>• Skills and Specialisms</li> <li>• Knowledge and Knowledgeability</li> <li>• Attitudes and Approaches</li> <li>• Behaviour and Body language</li> <li>• Emotional awareness and Emotional control</li> </ul>
2	Be able to construct a personal development plan	2.1	Construct a personal development plan that addresses the middle manager's short and longer term needs	<p>Here you are required to construct a personal development plan addressing your short and longer term needs. This may be in tabular format but as a minimum should include the following:</p> <ul style="list-style-type: none"> <li>• What you plan to achieve (written in the form of FRAMED or SMART objectives)</li> <li>• How you plan to achieve the objectives (i.e. what development activities you will undertake). Learners should show they</li> </ul>

				<p>have considered the resource implications required to address the 'Realistic' element of their SMART objectives.</p> <ul style="list-style-type: none"> <li>• How you will know when you have succeeded</li> <li>• How you will measure your progress and success</li> <li>• The target dates for completion</li> </ul>
3	Understand data and information, and their use in meeting stakeholders' needs	3.1	Determine the differences between data and information, showing quantitative and qualitative examples	<p>Here you are asked to give the differences between data and information, and to provide further examples to show quantitative and qualitative data and information.</p> <p>Your answer should clearly indicate the difference between data and information and through examples the differences between qualitative and quantitative data and information. These examples might best be sourced from your organisation or one with which you are familiar.</p>
		3.2	Identify organisational stakeholders	<p>For this criterion you are required to identify your organisational stakeholders, their needs from your organisation, and the data or information available on these stakeholders. Stakeholders should be both internal and external and the types of data and information available both qualitative and quantitative. You could provide your answer in a tabular format including identification of primary and secondary stakeholders.</p>
		3.3	Explain stakeholders needs from the organisation	<p>A more developed response might also include</p>

		<b>3.4</b>	Identify data or information available on these stakeholders	Porters 5 Forces model and a stakeholder map.
<b>4</b>	Be able to develop a plan that meets a stakeholder needs	<b>4.1</b>	Develop a plan that meets stakeholder needs, including resources required	<p>In this section you should build upon the stakeholder analysis and develop a plan for one particular stakeholder or one set of stakeholders identified in AC 2.2. You are also asked to identify the resources required to support this plan.</p> <p>A full answer might include writers to support the development of the plan for example; Ann Svendsen (1998) who suggested fostering collaborative stakeholder relationships through a six stage process. The answer should also include comments on the resources required and could include time.</p>
<b>5</b>	Understand the selection processes, performance development and team welfare	<b>5.1</b>	Discuss the general principles and processes of recruiting and selecting staff	<p>This criterion requires a discussion of the general principles and processes of recruiting and selecting staff to meet an existing vacancy.</p> <p>This is a very broad subject but should, as a minimum, include the following:</p> <ul style="list-style-type: none"> <li>• Equality in the recruitment and selection process</li> <li>• Organisational recruitment and selection process to be followed</li> <li>• Identification of basic need — the job analysis and job design</li> <li>• Deciding the requirements of the job —</li> </ul>

				<p>writing a job description and person specification</p> <ul style="list-style-type: none"> <li>• Considering internal or external appointments</li> </ul> <p>You should ensure that you demonstrate an awareness of the distinction between the stages of the recruitment process and the stages of the selection process, and where possible relate these to the filling of a current or past vacancy within your range of experience.</p>
		5.2	Determine a method that identifies poor performance	<p>You are asked to give methods used to identify poor performance and how you might support performance improvement. This might include individual performance and team performance.</p>
		5.3	Determine and a process for supporting performance improvement	<p>Here you can give examples to support your narrative, showing how a manager recognises and then supports poor performance including observation; clear monitoring; being clear about priorities and outcomes; setting clear and measurable objectives and providing individuals with support that meets their individual learning and development needs. You might also refer to leadership or management style for example situational leadership (Blanchard).</p> <p>As a minimum you should refer to the four main stages in an interview to explore poor performance</p> <ol style="list-style-type: none"> <li>1. Identify the problem</li> <li>2. Establish the reason</li> </ol>

				3. Establish a way forward 4. Monitor the situation
		5.4	Assess the impact of encouraging team welfare on the achievement of objectives	For this criterion you are asked to assess the impact of encouraging team welfare. This is more than a description and might include models to support your response for example motivational theories of Maslow, Herzberg or Vroom.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about the foundation skills and knowledge of a middle manager and leader.

# OPERATIONAL RISK MANAGEMENT

**SCQF Level**

8

**Unit Number**

S8021V1

**SQA Unit Number**

U361 04

**Credit Value**

7

**Guided Learning  
Hours**

25

## Good Practice

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## LEARNING OUTCOMES

1

Understand the concept of risk management

## ASSESSMENT CRITERIA

1.1

Discuss the meaning of risk to an organisation

This section requires a discussion not a description of risk. You might refer to the ISO Guide 73:2009: Risk Management. In your answer you might explore the meaning of risk to an organisation in terms of:

- Why manage risk
- The consequences of failing to manage risk
- Key risk concepts and components
- Different types of risk which might include; operational risk, financial risk, liquidity risk,

				<p>credit risk</p> <p>A more developed answer might also describe the context in which the organisation operates and why some people may take risks.</p>
		1.2	Define the responsibilities for risk management at operational management level	<p>This criterion requires you to define the responsibilities for risk management at operational management level. Here you might include reference to employees, line managers, shareholders, customers and suppliers and how the poor management of risk could adversely affect the categories.</p> <p>A full response might also include the end to end supplier customer value chain and the roles and responsibilities for risk management at each stage across value chain.</p>
		1.3	Explain a risk management model	<p>A good practice answer would explain a risk management model in context of the regulatory environment in which the organisation operates and the nature and types of operational risk. For example product/service risk; HR risk, asset and IT risk, supply chain risk, compliance risk. A good answer would also include comments on the risk management process. (The various parts of the risk management process are defined by ISO Guide 73:2009). This could include reference to tools such as the <i>Failure Mode, Effects and Criticality Analysis</i> (FMECA) used to assess the probability of failures across the end to end supplier to customer cycle.</p>

2	Understand the identification of risk and risk probability	2.1	Develop and justify risk management criteria against which risk can be assessed	<p>In this section you might again refer to ISO 31000:2009: Risk Management — Principles and Guidelines and the associated risk criteria and risk management process. Your response will be highly dependent upon the sector in which you manage but might include some of the following:</p> <ul style="list-style-type: none"> <li>• Nature and types of consequences of risk that can occur</li> <li>• How risk can be measured</li> <li>• Risk rating, its likelihood and consequences</li> <li>• How likelihood is defined</li> <li>• The time frame(s) of the likelihood and/or consequence</li> <li>• How the level of risk is to be determined</li> <li>• The level at which risk becomes acceptable or tolerable</li> <li>• What level of risk requires treatment</li> <li>• Whether combinations of multiple risks should be taken into account</li> </ul> <p>This criterion requires that you identify, evaluate and select techniques to identify risk including risk interdependencies. Here you should define risk interdependency and through some of the following complete an evaluation and selection of techniques to identify risk:</p> <ul style="list-style-type: none"> <li>• Risk identification techniques</li> <li>• Questionnaires and interviews</li> <li>• Delphi technique to prioritise risks</li> </ul>
		2.2	Identify and evaluate techniques to specify risk and risk interdependencies	

				<ul style="list-style-type: none"> <li>• Checklists</li> <li>• Tools and techniques such as FMECA (see 1.3 above) analysis, Hazard and Operability (HAZOP) studies, Monte Carlo, Consultative, Objective and Bi-functional Risk Analysis (COBRA) and Business Impact Analysis</li> <li>• Benchmarking including audits and reviews</li> </ul>
		<b>2.3</b>	Analyse a risk management model to quantify risk	In this section you should identify a given risk management model for example, likelihood-consequence matrix to quantify risk including comments on risk assumptions made and selection of risk criteria used. Other models are however available and can be used.
<b>3</b>	Be able to manage risk response	<b>3.1</b>	Evaluate the level of risk against pre-established criteria	<p>A good practice answer would evaluate the level of risk against pre-established criteria such as:</p> <ul style="list-style-type: none"> <li>• Nature and types of consequences that can occur and how they will be measured</li> <li>• Risk rating likelihood and consequences</li> <li>• How likelihood will be defined</li> <li>• The time frame(s) of the likelihood and/or consequence</li> <li>• How the level of risk is to be determined</li> <li>• The level at which risk becomes acceptable or tolerable</li> <li>• What level of risk requires treatment</li> <li>• Whether combinations of multiple risks</li> </ul>

			should be taken into account
		<b>3.2</b> Select and evaluate activities to eliminate, mitigate, deflect or accept risk	<p>In this section you are required to identify, evaluate and select activities to eliminate, mitigate, deflect or accept risk. Building upon your responses to other sections of this unit you can use this section to make a full analysis and evaluation. You might include some of the following:</p> <ul style="list-style-type: none"> <li>• Avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk</li> <li>• Seeking an opportunity by deciding to start or continue with an activity likely to create or enhance the risk</li> <li>• Removing the source of the risk</li> <li>• Changing the likelihood</li> <li>• Changing the consequences</li> <li>• Sharing the risk with another party or parties</li> <li>• Retaining the risk by choice</li> <li>• Removing the sources of risk</li> <li>• Changes consequences</li> <li>• Sharing risks</li> <li>• Selecting and implementing risk treatment options</li> </ul>
		<b>3.3</b> Determine a process for implementing and managing a disaster recovery plan	<p>Here you are asked to give a process for implementing and managing a disaster recovery plan. This may include specific work examples or could be a description of what might be part of the process. Any process however, should include the</p>

				<p>following:</p> <ul style="list-style-type: none"> <li>• A risk and issues register (Risks, Assumptions, Issues, Dependencies (RAID) log)</li> <li>• Constructing and Managing the disaster recovery plan</li> <li>• Testing the disaster recovery plan against scenarios</li> <li>• Monitoring and reviewing the disaster recovery plan</li> <li>• Monitoring and reviewing techniques</li> <li>• A disaster recovery risk plan</li> </ul>
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## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding risk, assessing risk, implementing and evaluating risk management activities.

# ORGANISATIONAL CORPORATE SOCIAL RESPONSIBILITY

**SCQF Level**

8

**Unit Number**

S8022V1

**SQA Unit Number**

U362 04

**Credit Value**

7

**Guided Learning  
Hours**

30

## Good Practice

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## LEARNING OUTCOMES

1

Understand the principles of an organisational Corporate Social Responsibility strategy

## ASSESSMENT CRITERIA

1.1

Explain the environmental, social and governance, principles of Corporate Social Responsibility

This section gives the opportunity to set the scene for the environmental, social and governance, principles of Corporate Social Responsibility (CSR).

This is a very broad subject but should include some of the following:

- Environmental: Principles such as not damaging the environment, minimising waste or energy use and recycling when possible.

- Social principles: Treating employees, customers or service users fairly, selling products that are safe to use and encouraging diversity.
- Governance principles: Ensuring the financial viability of the organisation, obeying the law, being open in dealings with suppliers and customers and considering the needs of all the organisation's stakeholders.

You might also note the potential conflict between the various principles noting CSR covers all aspects of corporate governance. It is about how companies conduct their business in an ethical way, taking account of their impact economically, socially, environmentally and in terms of human rights.

**1.2** Discuss the links between an organisational Corporate Social Responsibility strategy and the organisation's internal stakeholders

In this section you are asked to discuss the links between an organisational Corporate Social Responsibility strategy and the organisation's internal stakeholders in terms of the organisation's corporate and business strategy. In terms of strategy you might use a range of writers including Johnson and Scholes. This could include reference to a deliberate or an emergent strategy in response to changes in the STEEPV factors and how these could impact on the internal stakeholders in terms of, for example:

- Energy consumption

			<ul style="list-style-type: none"> <li>• Waste management</li> <li>• Sustainable development</li> <li>• Ecology</li> </ul> <p>HR policies and procedures. This section will, however, be dependent upon the sector in which you operate.</p>
		<b>1.3</b> Discuss the links between an organisational Corporate Social Responsibility strategy and the organisation's external stakeholders	<p>In discussing the links between an organisational Corporate Social Responsibility strategy and the organisation's external stakeholders you are required to explore your customers, communities, partners and suppliers. It might be useful to further discuss aspects such as satisfying legal requirements and acting ethically across the business end to end value chain but could include other examples from your current role or organisation. A more developed answer might also make reference to the V in STEEPV where V represents the values and beliefs of the stakeholders.</p>
		<b>1.4</b> Assess the impact of an organisational Corporate Social Responsibility strategy on corporate governance	<p>Here you are required to assess the impact of an organisational Corporate Social Responsibility strategy on corporate governance. In so doing you might include some of the following topics, but could also include those which are specific to your organisation or sector:</p> <ul style="list-style-type: none"> <li>• The rights of, and relationships with, shareholders; the role of stakeholders</li> </ul>

				<ul style="list-style-type: none"> <li>• Disclosure and transparency</li> <li>• The responsibilities and key functions of the board</li> <li>• Auditing and accountability</li> <li>• Internal control and risk management</li> <li>• Governance and legislation</li> </ul>
2	Understand the impact of an organisational Corporate Social Responsibility strategy on organisational performance	2.1	Explain how a Corporate Social Responsibility strategy for stakeholders can affect organisational performance	When explaining how a Corporate Social Responsibility strategy for stakeholders can affect organisational performance you might refer to primary and secondary stakeholders, their expectations and their areas of focus. A more developed response might also include a stakeholder power/interest matrix and the benefits of adopting CSR principles including methods of measuring performance, for example, Kaplan and Norton's Balance Scorecard methods and the European Foundation for Quality Management model (EFQM).
		2.2	Identify how a Corporate Social Responsibility strategy for product/service safety and quality can affect organisational performance	In this section you can build upon your answers to assessment criteria 2.1 and comment on the interrelations between, for example, the EFQM criteria, your organisation's scorecard or other form of analysis. A more developed response might also include comments on health, safety and welfare.
		2.3	Review the regulatory standards that protect customers/consumers and other competitive	Here you are asked to provide the regulatory standards that protect customers/consumers and

			organisations	other competitive organisations. These may relate to your organisation or sector but might also include; competition law, European law and consumer law.
3	Be able to implement and evaluate an organisational Corporate Social Responsibility Strategy at the operational level	3.1	Devise a plan to deliver the Corporate Social Responsibility strategy at an operational level	<p>Here you are asked to devise a plan to deliver the Corporate Social Responsibility strategy at an operational level. This could include how the CSR strategy is developed and how the subsequent corporate policy is cascaded to business units and departments including how governance will be implemented. Your plan should include:</p> <ul style="list-style-type: none"> <li>• Activities</li> <li>• Target outcomes</li> <li>• Dates</li> <li>• Responsibilities</li> <li>• Resource implications</li> <li>• Success criteria and measurement</li> <li>• Review and revision</li> </ul>
		3.2	Develop methods to communicate and implement the plan at an operational level	<p>Here you are required to give methods to communicate and implement the plan at an operational level. A full response might not only refer to specific methods of communication for example, team briefings, emails and information sessions but also reference writers such as</p>

			Shannon and Weaver. You could draw up a plan to show how you will ensure that your organisation's CSR strategy is implemented by your team.
		3.3	<p>Discuss methods to evaluate the impact of the plan at the operational level and to report the results</p> <p>This criterion requires a discussion of the methods you might use to evaluate the impact of the plan at the operational level and to report the results. You might make use of the plan proposed in 3.1 but might also include how the organisation has changed over time perhaps using approaches such as SWOT.</p> <p>A more developed response might also include comments on how the impact of these changes are monitored and evaluated across the organisation and might include the impact of measurements for example:</p> <ul style="list-style-type: none"> <li>• The balanced scorecard (see 2.1 above)</li> <li>• KPIs.</li> <li>• Reference to Kirkpatrick's 4 level evaluation</li> </ul>

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding the organisational strategy for Corporate Social Responsibility, developing an implementation plan, delivering the plan and evaluating and reporting results

# APPENDIX 1

## Revisions to Document

The below table summarises any revisions made to this document since publication.

Revisions to Document	Rationale for Revision	Document Version	Date Revisions Made
Revision to Key Dates	Extension of Qualification	Version 5	14 <sup>th</sup> September 2020
Revision to Key Dates	Extension of Qualification	Version 4	4 <sup>th</sup> July 2019
Revision to Key Dates	Extension of Qualification	Version 3	24 <sup>th</sup> July 2018
-	-	Version 2	1 <sup>st</sup> November 2016
First publication		Version 1	1 <sup>st</sup> Sept 2015