# SVQ in Management at SCQF Level 11 (8387-05/95)

Version 1.5 (March 2018)

# Qualification Handbook

# Qualification at a glance

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|---|---|
| **Subject area** | Management and Leadership |
| **City & Guilds number** | 8387 |
| **Age group approved** | 16-19, 19+ |
| **Entry requirements** | There are no formal educational requirements but participants will undertake an initial assessment to determine the appropriate SVQ Level and optional units. Participants should normally be employed in a first line management role. Competence may be demonstrated in the private sector, not-for-profit sector or public sector. Participants may be employed as full-time, part-time, paid or voluntary members of staff. |
| **Assessment types** | Portfolio |
| **Approvals** | Approval application required |
| **Registration and certification** | Consult the Walled Garden/Online Catalogue for last dates |

| Title and level | City & Guilds number | Accreditation number |
|---|---|---|
| SVQ in Management at SCQF Level 11 | 8387-05 | GN1G 51 |

| Version and date | Change detail | Section |
|---|---|---|
| 1.0 September 2017 | Handbook created | All |
| 1.1 October 2017 | Minor amends to:<br>– Entry requirements<br>– Who did we develop the qualification with?<br>– What opportunities for progression are there?<br>– Qualification registration validity<br>– Website link to Assessment Strategy | Qualification at a glance<br>Introduction<br>Assessment |
| 1.2 October 2017 | Accreditation number updated | Qualification at a glance |

| Version and date | Change detail | Section |
|---|---|---|
| 1.3 November 2017 | SQA Awarding Body Criteria (2007) replaced with SQA Regulatory Principles Version 2 (December 2014) | Appendix 2 - Sources of general information |
| 1.4 February 2018 | Structure table headings amended.<br>Is it part of an apprenticeship framework or initiative? - Answer changed to Yes | Structure<br>Introduction |
| 1.5 March 2018 | Reference to Regulatory Arrangements for the Qualifications and Credit Framework removed | Appendix 2 - Sources of general information |

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# 1 Introduction

This document tells you what you need to do to deliver the qualification:

| Area | Description |
|---|---|
| Who is the qualification for? | The SVQ in Management at SCQF Level 11 is for you if you are a senior manager who<br>• has operational responsibility for substantial programmes and resources<br>• has a broad span of control<br>• pro-actively identifies and implements change and quality improvements<br>• negotiates budgets and contracts, and<br>• leads high level meetings |
| What does the qualification cover? | The SVQ in Management at SCQF Level 11 covers the range of activities which managers working at this level are expected to carry out. It has been specially designed for senior managers with a high degree of autonomy for deploying resources and achieving strategic goals. The qualification aims to give participants an opportunity to develop their professional management, skills, knowledge and understanding. |
| Is it part of an apprenticeship framework or initiative? | Yes |
| Who did we develop the qualification with? | The qualification is based on National Occupational Standards developed by Skills CFA. The qualification structures, core skills signposting and assessment strategy were developed by Qualifications for Industry (QFI) and approved by SQA Accreditation. |
| What opportunities for progression are there? | This SVQ in Management at SCQF Level 11 could provide progression to:<br>• a post-graduate degree in Management or Business Enterprise or a related area<br>• further employment across many sectors in senior management roles |

## *Structure*

To achieve the City & Guilds SVQ in Management at SCQF Level 11,learners must complete three mandatory units and a minimum of four units from the optional group

The table below illustrates the unit titles and the credit value of each unit the qualification will be awarded to candidates successfully completing the required combination of units

| SVQ in Management at SCQF Level 11 | | | | |
|---|---|---|---|---|
| City & Guilds Unit Number | Unit Title | SCQF Level | SCQF Credit | Assessment Method |
| **Mandatory** | | | | |
| 500 | Lead your organisation | 11 | 13 | Portfolio of evidence |
| 501 | Manage continuous improvement | 11 | 11 | Portfolio of evidence |
| 409 | Identify and evaluate opportunities for innovation and improvement | 10 | 12 | Portfolio of evidence |
| **Optional** | | | | |
| 502 | Evaluate your organisation's operating environment | 11 | 14 | Portfolio of evidence |
| 403 | Develop and maintain your professional networks | 9 | 10 | Portfolio of evidence |
| 404 | Ensure compliance with legal, regulatory, ethical and social requirements | 9 | 12 | Portfolio of evidence |
| 503 | Develop your organisation's values and culture | 11 | 14 | Portfolio of evidence |
| 405 | Plan change | 9 | 15 | Portfolio of evidence |
| 306 | Implement change | 8 | 11 | Portfolio of evidence |
| 305 | Promote equality of opportunity, diversity and inclusion | 8 | 9 | Portfolio of evidence |
| 504 | Develop strategic business plans | 11 | 14 | Portfolio of evidence |
| 401 | Develop and sustain productive working relationships with stakeholders | 9 | 12 | Portfolio of evidence |
| 505 | Manage risks to your organisation | 11 | 11 | Portfolio of evidence |

| | | | | |
|---|---|---|---|---|
| 506 | Plan the workforce | 11 | 12 | Portfolio of evidence |
| 507 | Develop and sustain collaborative relationships with other organisations | 11 | 6 | Portfolio of evidence |
| 508 | Optimise effective use of technology | 11 | 12 | Portfolio of evidence |
| 509 | Promote knowledge management and sharing | 11 | 7 | Portfolio of evidence |
| 414 | Manage programmes | 10 | 9 | Portfolio of evidence |
| 510 | Develop a customer-focused organisation | 11 | 12 | Portfolio of evidence |
| 407 | Obtain finance from external sources | 10 | 18 | Portfolio of evidence |
| 511 | Develop your organisation's vision and strategy | 11 | 14 | Portfolio of evidence |
| 303 | Provide healthy, safe, secure and productive working environments and practices | 7 | 7 | Portfolio of evidence |
| 408 | Develop, maintain and evaluate business continuity plans and arrangements | 10 | 11 | Portfolio of evidence |
| 410 | Engage people in change | 10 | 8 | Portfolio of evidence |
| 412 | Identify and justify requirements for financial resources | 10 | 8 | Portfolio of evidence |
| 512 | Manage information, knowledge and communication systems | 11 | 8 | Portfolio of evidence |
| 428 | Bid for contracts | 10 | 10 | Portfolio of evidence |
| 419 | Outsource business processes | 9 | 9 | Portfolio of evidence |
| 422 | Develop understanding of your markets and customers | 10 | 12 | Portfolio of evidence |
| 425 | Carry out quality audits | 10 | 6 | Portfolio of evidence |
| 427 | Manage the marketing of products and services | 11 | 6 | Portfolio of evidence |
| 426 | Manage the development of products and services | 10 | 6 | Portfolio of evidence |

| | | | | |
|---|---|---|---|---|
| 513 | Implement and evaluate strategic business plans | 11 | 12 | Portfolio of evidence |

# 2 Centre requirements

## Approval

To offer these qualifications, new centres will need to gain both centre and qualification approval. Please refer to the City & Guilds Centre Manual for further information.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualifications before designing a course programme.

## Resource requirements

### *Centre staffing*

Staff delivering these qualifications must be able to demonstrate that they meet the following occupational expertise requirements. They should:

- hold a SVQ in Management at SCQF Level 11 or equivalent
- have recent relevant experience in the specific area they will be assessing
- have credible experience of providing training.

The assessor must:

- hold, or be working towards a valid assessors' qualification based on LSIS, formally LLCC, Learning and Development National Occupational Standards (2010)
- have an in-depth technical knowledge of the qualification
- complete a minimum of 30 CPD hours per annum (1 Sep-31 Aug).

Centre staff may undertake more than one role, eg tutor and assessor or internal verifier, but cannot internally verify their own assessments.

Please refer to the Assessor Guide document for details on the role of the supervisors and managers as witnesses.

## Learner entry requirements

City & Guilds does not set entry requirements for these qualifications. However, centres must ensure that candidates have the potential and opportunity to gain the qualifications successfully.

## Age restrictions

The SVQ in Management at SCQF Level 11 is not approved for use by candidates under the age of 16, and City & Guilds cannot accept any registrations for candidates in this age group.

Centres and candidates should be fully aware of minimum age requirements and any implications on completing assessments.

# 3 Delivering the qualification

## Initial assessment and induction

An initial assessment of each candidate should be made before the start of their programme to identify:

- if the candidate has any specific training needs
- support and guidance they may need when working towards their qualifications
- any units they have already completed, or credit they have accumulated which is relevant to the qualifications
- the appropriate type and level of qualification.
- if the candidate understands the people involved in the assessment and how to evidence their performance at work and compile a portfolio of evidence.

We recommend that centres provide an induction programme so the candidate fully understands the requirements of the qualification, their responsibilities as a candidate, and the responsibilities of the centre. This information can be recorded on a learning contract.

### *Recording documents*

Candidates and centres may decide to use a paper-based or electronic method of recording evidence. Copies of City & Guilds recording documents can be downloaded from the City & Guilds website.

City & Guilds endorses several ePortfolio systems, including our own, Learning Assistant, an easy-to-use and secure online tool to support and evidence learners' progress towards achieving qualifications. Further details are available at: www.cityandguilds.com/eportfolios.

City & Guilds has developed a set of Recording forms including examples of completed forms, for new and existing centres to use as appropriate. Recording forms are available on the City & Guilds website.

Although new centres are expected to use these forms, centres may devise or customise alternative forms, which must be approved for use by the external verifier, before they are used by candidates and assessors at the centre. Amendable (MS Word) versions of the forms are available on the City & Guilds website.

# 4 Assessment

## Summary of assessment methods

### *Candidates must:*

- have a completed portfolio of evidence for each unit

### *Time constraints*

There are no fixed periods for completing the SVQ in Management however most participants take between six months and one year.

Qualification registration is valid for four years.

## Assessment strategy

An Assessment Strategy for the SVQs in Management has been developed to ensure greater clarity to the assessment of SVQs; to ensure their quality; and also promote confidence in those who gain them. This document is based on the Assessment Strategy and NOS and provides information on the requirements of the Assessment Strategy for centres. The full Assessment Strategy document is available to view and can be downloaded from the SQA Accreditation website at: Assessment Strategy Team Leading and Management.doc

Recognition of prior learning (RPL)

Recognition of Prior Learning (RPL) is an assessment process which makes use of evidence of a learner's previous non-certificated achievements to demonstrate competence or achievement within a unit or qualification. RPL allows an individual to avoid unnecessary learning, meaning that they can present for summative assessment without repeating learning in areas where they will be able to show that they can meet the learning outcome(s).

It remains the role of assessors and quality assurance staff to ensure that evidence for RPL meets the relevant outcomes of the qualification.

The Centre Manual contains further information on RPL.

# 5 Units

The qualifications comprise of a number of units. A unit describes what is expected of a competent person in particular aspects of his/her job.

These units each have the following:

- **Unit overview** — this provides information on what the unit is about, who the unit is intended for. This section of the unit is for guidance.
- **Skills** — this section lists the main generic skills which are needed to perform effectively
- **Performance criteria** — this section describes the activities managers are expected to perform.
- **Behaviours** — this section outlines the soft skills which managers need in order to carry out their role effectively. These behaviours are crucial for an effective manager and should fall out naturally from performance. However, there is no longer a requirement to assess behaviours as part of the SVQs in Management.
- **Knowledge and understanding** — this is split into general Knowledge and Understanding; industry /sector specific Knowledge and Understanding; and context specific Knowledge and Understanding. This section defines the Knowledge and Understanding required to carry out the role effectively.

## *Unit evidence requirements*

In order to achieve any unit, the candidate must demonstrate that they meet all its requirements.
This details the types of, and a minimum amount of, evidence candidates must produce to demonstrate competence.
Please note that simulation is not allowed for any unit, unless, in exceptional cases, the External Verifier agrees.

# Unit 500 Lead your organisation

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 13 |
| **Unit aim:** | This unit is about providing direction to people in your organisation and enabling, inspiring, motivating and supporting them to achieve what your organisation has set out to do. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers with responsibility for leading their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Consulting
- Decision-making
- Empowering
- Evaluating
- Following
- Influencing
- Inspiring
- Leadership
- Leading by example
- Managing conflict
- Monitoring
- Motivating
- Obtaining feedback
- Persuading
- Planning
- Presenting information
- Prioritising
- Problem solving

- Providing feedback
- Setting objectives
- Thinking strategically
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage people within your organisation and other key stakeholders in defining your organisation's direction and committing their energies and expertise to achieving its results.

P2 Clearly and enthusiastically communicate and reinforce your organisation's purpose, values and vision to people across the organisation and, where appropriate, to external stakeholders.

P3 Evaluate the impact of your organisation on the environment, the local community and society as a whole and ways in which its impact can be more beneficial.

P4 Ensure that organisational plans support your organisation's purpose, values and vision.

P5 Steer your organisation successfully through difficulties and challenges.

P6 Develop a range of leadership styles and apply them appropriately to different people and situations.

P7 Motivate people to achieve their objectives and recognise their successes.

P8 Encourage people to take responsibility for their own development needs.

P9 Give people support, advice and guidance when they need it, especially during periods of setback and change.

P10 Motivate people to present their own ideas and listen to what they say.

P11 Empower people to develop their own ways of working within agreed boundaries.

P12 Encourage people to take the lead when they have the knowledge and expertise and show willingness to follow this lead.

P13 Win, through your performance and behaviour, the trust and support of people across the organisation and key stakeholders and get regular feedback on your performance.

P14 Monitor activities and progress in different areas of the organisation without interfering.

## Behaviours which underpin effective performance

1 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

2 Present information clearly, concisely, accurately and in ways that promote understanding

3 Make time available to support others

4 Encourage others to take decisions autonomously, when appropriate

5 Recognise the achievements and success of others

6 Encourage and welcome feedback from others and use this feedback constructively

7 Act within the limits of your authority

8 Show integrity, fairness and consistency in decision-making

9 Take personal responsibility for making things happen

10 Protect your own and others' work against negative impacts

11 Focus personal attention on specific details that are critical to achieving successful results
12 Seek to understand people's needs and motivations
13 Create a sense of common purpose
14 Communicate a vision that inspires enthusiasm and commitment
15 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
16 Use a range of leadership styles appropriate to different people and situations

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage people within your organisation and other key stakeholders in defining your organisation's direction and committing their energies and expertise to achieving its results.
K2 The differences between managing and leading.
K3 How to develop a compelling vision for an organisation.
K4 The importance of and what is meant by organisational values.
K5 How to measure the impact of your organisation on the environment, the local community and society.
K6 Ways of ensuring that organisational plans support the organisation's purpose, values and vision.
K7 How to select and successfully apply different methods and techniques for communicating with people across an organisation.
K8 Types of challenges and difficulties that may arise and ways of identifying and addressing them.
K9 Different theories, models and styles of leadership and how to select and successfully apply these to different people and situations.
K10 The effect that different leadership styles can have on organisations.
K11 How to select and successfully apply different methods and techniques for motivating, rewarding, influencing and persuading people.
K12 How to empower people effectively.
K13 How to get and make use of feedback on your leadership performance.
K14 How to create a culture which encourages and recognises creativity and innovation.
K15 How to recognise and develop the leadership capability of other people and follow their lead.

### Industry/sector specific knowledge and understanding

K16 Leadership styles common in the industry/sector and their strengths and limitations.
K17 Legal, regulatory and ethical requirements in the industry/sector.

### Context specific knowledge and understanding

K18 Key individuals within your organisation, their roles, responsibilities, competences and potential.
K19 Your own values, motivations and aspirations.
K20 Your own emotions and the effect these have on your own actions and on other people.

K21 Your own strengths and limitations in the leadership role.
K22 The strengths, limitations and potential of people that you lead.
K23 Your own role, responsibilities and level of authority.
K24 The purpose and values of and vision for your organisation.
K25 The leadership culture and capability of your organisation.
K26 The plans of your organisation.
K27 The types of support and advice that people are likely to need and how to respond to these.
K28 External stakeholders you may need to communicate and work with.

# Unit 501 Manage continuous improvement

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 11 |
| **Unit aim:** | This unit is about managing the continuous improvement of the overall performance of your organisation. The emphasis is on identifying and implementing changes which will add value in the eyes of customers and other key stakeholders. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders responsible for ensuring continuous improvement in the performance of their organisation or their part of the organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Benchmarking
- Communicating
- Decision-making
- Evaluating
- Information management
- Involving others
- Leadership
- Planning
- Presenting information
- Prioritising
- Thinking strategically
- Thinking systematically
- Thinking with a focus on customers
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage people in your organisation and other key stakeholders in managing continuous improvement.

P2 Establish valid and appropriate measures for evaluating the performance of your organisation.

P3 Establish systems for collecting and assessing information on the overall performance of the organisation.

P4 Use information on the overall performance of the organisation to identify opportunities where performance could be improved.

P5 Establish a culture across your organisation where people freely come forward with suggestions for improvement.

P6 Encourage customers, suppliers and other key stakeholders to provide feedback on your organisation's performance and suggest improvements.

P7 Benchmark the performance of your organisation against other comparable organisations and take action based on the findings.

P8 Ensure that knowledge and understanding of how improvements have or can be made is shared across the organisation.

P9 Ensure that any improvements made are in line with the organisation's vision and objectives.

P10 Show that the improvements made reduce the gap between what your customers and other key stakeholders want and what your organisation's products, services and processes actually deliver.

P11 Show that the improvements made are those that have been identified as being of most benefit to your organisation, its customers and other key stakeholders.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance

2 Constructively challenge the status quo and seek better alternatives

3 Encourage, generate and recognise innovative solutions

4 Demonstrate a clear understanding of different customers and their real and perceived needs

5 Continuously improve products and services

6 Encourage and welcome feedback from others and use this feedback constructively

7 Make appropriate information and knowledge available promptly to those who need it and have a right to it

8 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically

9 Communicate a vision that inspires enthusiasm and commitment

10 Recognise stakeholders' needs and interests and manage these effectively

11 Use a range of leadership styles appropriate to different people and situations

## Knowledge and understanding

## You need to know and understand:

### General knowledge and understanding

K1 How to engage people in your organisation and other stakeholders in managing continuous improvement.

K2 The principles which support organisational improvement.

K3 The importance of establishing and applying valid and appropriate measures for evaluating the performance of your organisation.

K4 How to establish systems for collecting and assessing information on the overall performance of the organisation and how to use the findings to identify opportunities where organisational performance could be improved.

K5 How to benchmark the performance of your organisation against others and take action based on the findings.

K6 The value of a customer-focused culture.

K7 The importance of receiving feedback from customers and suppliers on your organisation's performance, and how to obtain and analyse this feedback.

K8 The importance of developing a culture that continually improves and how to involve others in achieving this.

K9 The importance of finding out the cause and effects of problems and changes.

K10 Ways of measuring the effect of improvements.

K11 The principles and processes of effective communication and how to apply them

### Industry/sector specific knowledge and understanding

K12 The sector and market in which your organisation works.

K13 The range of information sources and techniques for collecting information that are relevant to the sector in which your organisation works.

K14 Relevant trends and developments in the sector

### Context specific knowledge and understanding

K15 Your organisation's vision, objectives and associated plans.

K16 Your organisation's structure, values and culture.

K17 How your organisation adds value through the delivery of its products, services and processes.

K18 Your organisation's customers and other key stakeholders and their needs.

K19 Measures of performance relevant to your own organisation.

K20 Methods of gathering information suitable for your own organisation.

K21 Formal and informal sources of information relevant to your organisation.

K22 Individuals within your area of work, their roles, responsibilities, competences and potential.

# Unit 409 Identify and evaluate opportunities for innovation and improvement

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about identifying opportunities to develop new products/services or markets or processes or to improve existing products/services, markets or processes. It also covers evaluating potential innovations and improvements against agreed criteria. This activity is rarely carried out by one person alone. A diverse range of people within the organisation and other key stakeholders – including, for example, customers and suppliers – may need to be engaged both in identifying and evaluating opportunities for innovation and improvement. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are responsible for identifying and evaluating opportunities for innovation and improvement across the organisation or within their particular area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Benchmarking
- Building consensus
- Communicating
- Consulting
- Empowering
- Evaluating
- Forecasting
- Information management

- Innovating
- Involving others
- Learning
- Monitoring
- Networking
- Presenting information
- Providing feedback
- Scenario building
- Thinking creatively
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation in identifying and evaluating opportunities for innovation and improvement.

P2 Identify and pursue opportunities to work in collaboration with external experts and other organisations to generate and develop ideas.

P3 Monitor trends and developments in your organisation's operating environment.

P4 Monitor the performance of your organisation's products/ services and processes and benchmark with comparable organisations.

P5 Identify potential new products/services, new markets, new processes and improvements to existing products/services and processes.

P6 Agree with key stakeholders clear criteria for evaluating potential innovations and improvements.

P7 Gather sufficient, valid information to allow potential innovations and improvements to be evaluated.

P8 Evaluate potential innovations and improvements against agreed criteria.

P9 Communicate your evaluation to key stakeholders in ways that help them appreciate the potential value of innovations and improvements.

P10 Communicate your evaluation to those involved in ways that reinforce their commitment to seek opportunities for innovation and improvement.

P11 Take action to protect the intellectual property rights of innovations, where required.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people

2 Seek opportunities to improve performance

3 Constructively challenge the status quo and seek better alternatives

4 Encourage, generate and recognise imaginative and innovative solutions

5 Present information clearly, concisely, accurately and in ways that promote understanding

6 Keep people informed of plans and developments in a timely way

7 Support others to make effective use of their abilities

8 Give feedback to others to help them maintain and improve their performance

9 Use cost-effective, time-effective and ethical means to gather, store and retrieve information
10 Check the accuracy and validity of information
11 Communicate clearly the value and benefits of a proposed course of action
12 Anticipate likely future scenarios based on a realistic analysis of trends and developments
13 Identify the range of elements in a situation and how they relate to each other
14 Specify the assumptions made and risks involved in understanding a situation

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 How to engage employees and stakeholders in identifying and evaluating opportunities for innovation and improvement.
K2 Monitoring principles, methods, tools and techniques.
K3 Benchmarking principles, methods, tools and techniques.
K4 Change management principles, methods, tools and techniques.
K5 How to develop and gain consensus on criteria for evaluating potential innovations and improvements.
K6 How to gather and validate information.
K7 How to evaluate potential innovations and improvements against criteria.
K8 Innovation principles, methods, tools and techniques.
K9 The principles and methods of effective communication and how to apply them.
K10 How to protect the intellectual property rights.

#### Industry/sector specific knowledge and understanding

K11 Comparable organisations in your sector.
K12 Current and emerging trends and developments in your sector.
K13 Sources of information in your sector

#### Context specific knowledge and understanding

K14 Individuals within your area of work, their roles, responsibilities, competences and potential.
K15 Political, economic, social, technological, legal and environmental factors that affect your organisation.
K16 Your organisation's operating environment.
K17 External experts and other organisations with which you may collaborate to generate and develop ideas.
K18 Your organisation's business processes.
K19 Your organisation's markets.
K20 Your organisation's products and services.
K21 Your organisation's stakeholders, their interests and expectations.
K22 Change management frameworks and methods used in your organisation.

# Unit 502 Evaluate your organisation's operating environment

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 14 |
| **Unit aim:** | This unit is about making sure you have a clear and up-to-date picture of the environment in which your organisation operates in order to inform both strategic planning and operational decisions. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who need to understand the operating environment in order to develop strategic plans and take informed decisions. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Benchmarking
- Communicating
- Consulting
- Decision-making
- Evaluating
- Information management
- Monitoring
- Networking
- Planning
- Presenting information
- Reporting
- Reviewing
- Risk management
- Scenario building
- Thinking strategically

- Thinking systematically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Identify stakeholders and evaluate their interests in your organisation.
P2 Engage people within your organisation and other key stakeholders in evaluating the environment in which your organisation operates.
P3 Monitor political, economic, social, technological, legal and environmental trends and developments and evaluate their impact on your organisation.
P4 Monitor the needs, behaviour and expectations of actual and potential customers and evaluate their impact on your organisation.
P5 Monitor the activities of actual and potential competitors and collaborators and evaluate their impact on your organisation.
P6 Monitor and evaluate the impact of trends and developments within your organisation.
P7 Benchmark your organisation's performance and practices with comparable organisations in your sector and other sectors, including internationally where appropriate.
P8 Identify and prioritise the strengths and weaknesses of your organisation to respond to opportunities and threats.
P9 Explore and assess the possible range of future scenarios within the environment in which your organisation operates.
P10 Organise information and knowledge in a way that supports effective planning and decision-making.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly
2 Analyse and structure information to develop knowledge that can be shared
3 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically
4 Take account of the internal and external politics that impact on your own area of work
5 Identify strengths, weaknesses, opportunities and threats to current and future work
6 Identify systemic issues and seek to mitigate their impact on performance
7 Use a range of leadership styles appropriate to different people and situations
8 Anticipate likely future scenarios based on realistic analysis of trends and developments
9 Identify the range of elements in a situation and how they relate to each other
10 Identify the implications or consequences of a situation
11 Build a plausible picture from limited data.
12 Specify the assumptions made and risks involved in understanding a situation

## Knowledge and understanding

## You need to know and understand:

### General knowledge and understanding

K1 How to engage people within your organisation and other key stakeholders in evaluating the environment in which your organisation operates.

K2 Sources of information on customers and competitors and how to use them effectively.

K3 How to measure and review organisational performance.

K4 How to analyse organisational culture.

K5 How to carry out benchmarking to identify good practice in relation to an organisation's performance and practices.

K6 How to undertake a strengths, weaknesses, opportunities and threats (SWOT) analysis.

K7 How to undertake an analysis of the political, economic, social, technological, legal and environmental (PESTLE) factors in the external environment.

K8 How to analyse stakeholder interests.

K9 How to build future scenarios and assess their implications.

### Industry/sector specific knowledge and understanding

K10 Sources of information on trends and developments in your sector, including those at a global level and how to access these.

K11 Current and emerging trends and developments in your sector internationally, nationally and locally.

K12 Legal, regulatory and ethical requirements in your sector

### Context specific knowledge and understanding

K13 Relevant factors in the international, national and local market in which your organisation operates.

K14 Your organisation's actual and potential customer base.

K15 The needs and expectations of your actual and potential customers and other key stakeholders.

K16 Your actual and potential competitors, including their activities and relative performance levels.

K17 Your actual and potential partners, including their activities and relative performance levels.

K18 Your organisation's structure.

K19 Your organisation's culture.

K20 Your organisation's performance and the factors that influence this.

# Unit 403 Develop and maintain your professional networks

| | |
|---|---|
| **Unit level:** | SCQF 9 |
| **Credit value:** | 10 |
| **Unit aim:** | This unit is about developing your professional networks to support both your current and future work. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to all managers and leaders. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Evaluating
- Influencing
- Information management
- Involving others
- Learning
- Networking
- Persuading
- Presenting information
- Questioning
- Risk management
- Thinking strategically
- Valuing and supporting others

## Outcome effective performance

**You must be able to:**

P1 Establish professional networks of contacts which meet your current and future needs for information and resources.
P2 Ensure that key members of your professional networks have an accurate idea of your knowledge, skills and competence and are aware of the benefits of networking with you.
P3 Establish boundaries of confidentiality between yourself and members of your professional networks.
P4 Agree guidelines for exchanging information and resources, where necessary.
P5 Develop your professional networks to reflect your changing interests and needs.
P6 Use technology effectively to develop and maintain your professional networks
P7 Make active use of the information and resources gained through your professional networks.
P8 Introduce people and organisations with common interests to each other.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people
2 Identify people's preferred ways of communicating
3 Use communication media and styles appropriate to different people and situations
4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
5 State your own position and views clearly and confidently in conflict situations
6 Encourage others to share information and knowledge within the constraints of confidentiality
7 Identify and work with people and organisations that can provide support for your work
8 Introduce people and organisations with common interests to each other
9 Clarify your own and others' expectations of relationships
10 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
11 Honour your commitments to others

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 The benefits of networking for individuals and organisations.
K2 Principles and methods of effective communication and how to apply them.
K3 The range of different types of questions, and how and when to use them.
K4 The range of different communication styles and how people prefer to communicate.
K5 The range of methods for developing effective relationships with others in the work context.
K6 How to end relationships which are no longer useful.
K7 How to make active use of the information and resources gained through professional networks.
K8 The principles of confidentiality.
K9 How to develop guidelines for exchanging information between individuals and organisations.

### Industry/sector specific knowledge and understanding

K10 Industry/sector legislation, requirements, regulations, policies and professional codes that are relevant to networking and confidentiality of information.

### Context specific knowledge and understanding

K11 Your own values, motivations and emotions, and the effect of these on your own actions.
K12 Your own interests and how these may conflict with the interests of others.
K13 Your own objectives in developing your professional networks.
K14 Your current and likely future needs for information and resources.
K15 Your knowledge, skills and competence.
K16 People and organisations that can support your work, and vice versa.
K17 The range of information and resources people may need.
K18 People and organisations in your current professional networks.

# Unit 404 Ensure compliance with legal, regulatory, ethical and social requirements

| | |
|---|---|
| **Unit level:** | SCQF 9 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about being clear about your organisation's legal, regulatory, ethical and social requirements, providing policies and procedures to ensure compliance, monitoring compliance and taking action to rectify any breaches in compliance and avoid them being repeated. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is for managers and leaders with specific responsibility for ensuring their organisation's compliance with legal, regulatory, ethical and social requirements. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Communicating
- Decision-making
- Information management
- Involving others
- Leadership
- Monitoring
- Motivating
- Presenting information
- Providing feedback
- Reporting
- Risk management
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Monitor relevant national and international legal, regulatory, ethical and social requirements and the effect they have on your organisation, including what will happen if you don't meet them.
P2 Develop effective policies and procedures to make sure your organisation meets all the necessary requirements.
P3 Make sure people have a clear understanding of relevant policies and procedures and the importance of putting them into practice.
P4 Monitor the way policies and procedures are put into practice and provide support, where required.
P5 Support people to report any concerns about not meeting the requirements.
P6 Identify and correct any failures to meet the requirements.
P7 Identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future.
P8 Provide full reports about any failures to meet the requirements to the relevant stakeholders.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly
2 Present information clearly, concisely, accurately and in ways that promote understanding
3 Make time available to support others
4 Give feedback to others to help them maintain and improve their performance
5 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
6 Watch out for potential risks and hazards
7 Say no to unreasonable requests
8 Identify and raise ethical concerns
9 Make appropriate information and knowledge available promptly to those who need it and have a right to it
10 Encourage others to share information and knowledge within the constraints of confidentiality
11 Recognise stakeholders' needs and interests and manage these effectively
12 Take and implement difficult and/or unpopular decisions, if necessary

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 The importance of having an ethical and value-based approach to governance and how to put this into practice

K2 Relevant legal requirements governing the running of organisations

K3 Current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these.

K4 Ways in which other organisations deal with current and emerging social concerns and expectations.

### Industry/sector specific knowledge and understanding

K5 Legal, regulatory and ethical requirements in your sector, both national and international.

K6 Particular current and emerging social concerns and expectations that are relevant to your sector.

### Context specific knowledge and understanding

K7 The culture and values of your organisation and the effect they have on corporate governance.

K8 Policies and procedures that make sure people meet the requirements.

K9 Procedures to follow if people do not meet the requirements.

K10 Support available to enable people to report concerns about not meeting requirements.

K11 The processes for maintaining the relevant policies and procedures and making sure they continue to be effective.

K12 The different ways in which people may not meet the requirements and the risks of these actually happening.

K13 The procedures for dealing with people who do not meet the requirements, including requirements for reporting.

# Unit 503 Develop your organisation's values and culture

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 14 |
| **Unit aim:** | Every organisation, whatever its size or history, has a culture (simply defined as 'the way we do things around here'). The culture of an organisation is based on assumptions and values about organisations, working life and relationships. These values influence the way people behave towards each other and customers, and how they relate to their work. There may be no such thing as a 'right' or 'wrong' culture. However, the culture of an organisation has to be in line with its overall vision and strategy. If culture and strategy do not match, it is unlikely the vision will be achieved. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with responsibility for developing their organisation's values and culture. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Building consensus
- Communicating
- Empathising
- Influencing
- Leading by example
- Managing conflict
- Monitoring
- Motivating
- Persuading
- Reviewing

- Thinking strategically
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people in your organisation and other key stakeholders in developing your organisation's values and culture.
P2 Agree values consistent with your organisation's overall vision and strategy and the needs and interests of key stakeholders.
P3 Identify the types of behaviour expected of people in your organisation, consistent with its values.
P4 Make sure your own behaviour consistently reinforces organisational values.
P5 Communicate agreed values to people across your organisation.
P6 Encourage people to act in ways consistent both with organisational values and with their culture of origin.
P7 Put in place policies, programmes and systems to support agreed values.
P8 Continuously monitor the way values are applied at work.
P9 Challenge behaviour and counter messages that conflict with agreed values.
P10 Periodically review your organisation's culture and redefine or reinforce values, if required.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people
2 Constructively challenge the status quo and seek better alternatives
3 Find practical ways to overcome obstacles
4 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns
5 Make time available to support others
6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
7 Show integrity, fairness and consistency in decision making
8 Clearly agree what is expected of others and hold them to account
9 Create a sense of common purpose
10 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
11 Demonstrate awareness of your own values, motivations and emotions

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 How to engage appropriate people in your organisation and other key stakeholders in developing your organisation's values and culture.
K2 The concept of culture as applied to organisations.
K3 The importance of values in underpinning individual and organisational performance.
K4 Internal and external factors that influence organisational culture, including national cultures.
K5 Different types of organisational culture.
K6 The relationship between organisational culture, strategy and performance.
K7 The principles and methods of managing culture change within organisations.

### Industry/sector specific knowledge and understanding

K8 Legal, regulatory and ethical requirements in your sector.
K9 Types of organisational culture in your sector and their strengths and limitations.

### Context specific knowledge and understanding

K10 The cultures of origin of your workforce and the implications of these for organisational culture.
K11 Your organisation's vision and strategy.
K12 Current organisational culture.
K13 Values, assumptions and behaviours that are consistent and inconsistent with your vision and strategy.
K14 Needs and interests of key stakeholders.
K15 Effective methods of communicating values, and supporting the way they are applied in your organisation.
K16 Effective ways of dealing with messages and behaviour that conflict with agreed values and assumptions.

# Unit 405 Plan change

| | |
|---|---|
| **Unit level:** | SCQF 9 |
| **Credit value:** | 15 |
| **Unit aim:** | This unit is about the planning that is needed to change processes, systems, structures, roles and culture within your work environment. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who plan change across the organisation or in their particular area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Contingency planning
- Decision-making
- Evaluating
- Influencing
- Information management
- Involving others
- Monitoring
- Negotiating
- Obtaining feedback
- Planning
- Problem solving
- Risk management
- Team building
- Thinking systematically
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders in planning change.
P2 Establish with key stakeholders the processes, systems, structures, roles or cultures that need to be changed.
P3 Evaluate the gap between the current state and the required future state.
P4 Identify and evaluate obstacles to change.
P5 Develop a detailed plan to achieve the required change effectively and efficiently.
P6 Agree with key stakeholders criteria against which to evaluate the success of the change process.
P7 Clearly identify the roles and responsibilities of all those involved in or affected by the change.
P8 Make arrangements for any necessary training and support for those involved in the change.
P9 Make arrangements for the continuity of business activities during the period of change.
P10 Evaluate the risks associated with the plan and develop contingency arrangements.
P11 Establish how and when progress will be monitored against the plan.
P12 Develop a communication strategy to keep people informed about the progress and allow them to give feedback.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people
2 Find practical ways to overcome obstacles
3 Present information clearly, concisely, accurately and in ways that promote understanding
4 Keep people informed of plans and developments
5 Make time available to support others
6 Encourage and welcome feedback from others and use this feedback constructively
7 Watch out for potential risks and hazards
8 Agree challenging but achievable objectives
9 Work towards a clearly defined vision of the future
10 Identify the implications or consequences of a situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage employees and stakeholders in planning change.
K2 The main models and methods for managing change effectively, and their strengths and weaknesses.
K3 Effective planning techniques.

K4 Theory and understanding of teams, including an understanding of team-building techniques and how to apply them.
K5 How to develop and gain consensus on criteria for evaluating the success of the change process.
K6 How to assess the risks and benefits associated with strategies and plans.
K7 The importance of contingency planning and how to do so effectively.
K8 How to make critical decisions.
K9 The obstacles to change, and the techniques that deal with these.
K10 Stakeholder expectations and how they influence the process.
K11 The principles and methods of effective communication and how to apply them.

### Industry/sector specific knowledge and understanding

K12 Your organisation's current position in its sector and operating environment, compared with its main competitors, relevant to the change programme.
K13 The range of information sources that are relevant to the sector, and related sectors, in which your organisation operates.
K14 Current and emerging trends and developments in your sector.

### Context specific knowledge and understanding

K15 Individuals within your area of work, their roles, responsibilities, competences and potential.
K16 The vision for the future, the reasons for change, the risks and expected benefits.

# Unit 306 Implement change

| | |
|---|---|
| **Unit level:** | SCQF 8 |
| **Credit value:** | 11 |
| **Unit aim:** | This unit is about putting into practice your plans to change processes, systems, structures, roles or cultures. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is for managers and leaders who are responsible for implementing change programmes across the organisation or in their particular area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Communicating
- Contingency planning
- Decision-making
- Delegating
- Evaluating
- Influencing
- Information management
- Involving others
- Managing conflict
- Monitoring
- Motivating
- Negotiating
- Obtaining feedback
- Persuading
- Planning
- Presenting information
- Problem solving
- Risk management

- Stress management
- Team building
- Time management
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders in implementing change
P2 Put into practice your plan for change in line with agreed timescales and available resources
P3 Delegate responsibilities to competent people in line with your plan
P4 Provide people with the training, support or encouragement they require.
P5 Implement contingency plans or take appropriate alternative action in the event of risks materialising.
P6 Identify, evaluate and resolve any problems or obstacles that arise.
P7 Maintain the continuity of business activities during the period of change.
P8 Monitor progress against your plan and take appropriate action in response to any significant variances.
P9 Communicate progress regularly and provide opportunities for people to give feedback.
P10 Provide recognition for people and teams who achieve results.
P11 Make sure change is effective and meets the requirements of the organisation.

## Behaviours which underpin effective performance

1 Address multiple demands without losing focus or energy
2 Seize opportunities presented by the diversity of people
3 Recognise changes in circumstances promptly and adjust plans and activities accordingly
4 Find practical ways to overcome obstacles
5 Present information clearly, concisely, accurately and in ways that promote understanding
6 Make time available to support others
7 Recognise the achievements and success of others
8 Clearly agree what is expected of others and hold them to account
9 Recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal
10 Work towards a clearly defined vision of the future

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage employees and stakeholders in implementing change.

K2 The main models and methods for managing change effectively, and their strengths and weaknesses.

K3 Effective planning techniques.

K4 Theory and understanding of teams, including an understanding of team-building techniques and how to apply them.

K5 How to assess the risks and benefits associated with strategies and plans.

K6 The importance of contingency planning and how to do so effectively.

K7 How to make critical decisions.

K8 The obstacles to change, and the techniques that deal with these.

K9 Stakeholder expectations and how they influence the process.

K10 The principles and methods of effective communication and how to apply them

### Industry/sector specific knowledge and understanding

K11 Your organisation's current position in its sector and operating environment, compared with its main competitors, relevant to the change programme.

K12 The range of information sources that are relevant to the sector in which your organisation operates.

K13 Current and emerging trends and developments in your sector

### Context specific knowledge and understanding

K14 Individuals within your area of work, their roles, responsibilities, competences and potential.

K15 The vision for the future, the reasons for change, the risks and expected benefits.

K16 Business critical activities and interdependencies.

K17 The factors that need to be changed, and the associated priorities and reasons.

K18 Your organisation's communication channels, both formal and informal.

K19 Change management frameworks and methods used in your organisation.

# Unit 305 Promote equality of opportunity, diversity and inclusion

| | |
|---|---|
| **Unit level:** | SCQF 8 |
| **Credit value:** | 9 |
| **Unit aim:** | This unit is about taking a lead in actively promoting equality of opportunity, diversity and inclusion in your organization. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with particular responsibility for promoting equality of opportunity, diversity and inclusion within their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Consulting
- Empathising
- Evaluating
- Influencing
- Information management
- Involving others
- Leadership
- Leading by example
- Monitoring
- Persuading
- Planning
- Reporting
- Reviewing
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Identify your organisation's and your own responsibilities and liabilities under equality, diversity and inclusion legislation and any relevant codes of practice.

P2 Engage appropriate people in your organisation and other key stakeholders in promoting equality of opportunity, diversity and inclusion.

P3 Gain the commitment of management to promoting equality of opportunity, diversity and inclusion.

P4 Ensure commitment to promoting equality of opportunity, diversity and inclusion underpins your organisation's vision, values, objectives and plans.

P5 Use, and ensure people working for your organisation use, language and behaviour that support your organisation's commitment to equality of opportunity, diversity and inclusion.

P6 Review the diversity and needs of your organisation's current and potential customers and identify areas where needs are not being satisfied and/or where the diversity of customers should be improved.

P7 Review the diversity of the workforce, at all levels, in comparison to the population and your organisation's current and potential customers and identify areas for improvement.

P8 Ensure your organisation has a written equality, diversity and inclusion policy and action plan and that these are clearly communicated to all people who work for the organisation and other relevant stakeholders.

P9 Make use of specialist expertise in relation to equality, diversity and inclusion issues, where required.

P10 Maintain systems to monitor, review and report on progress in relation to equality of opportunity, diversity and inclusion within your organisation.

P11 Use the findings to identify required actions and changes to practice.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people

2 Constructively challenge the status quo and seek better alternatives

3 Identify people's preferred ways of communicating

4 Use communication media and styles appropriate to different people and situations

5 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns

6 Show respect for the views and actions of others

7 Support others to make effective use of their abilities

8 Demonstrate a clear understanding of different customers and their real and perceived needs

9 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

10 Show integrity, fairness and consistency in decision-making

11 Take action to uphold individuals' rights

12 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 Your organisation's and your personal responsibilities and liabilities under equality, diversity and inclusion legislation and any relevant codes of practice.

K2 Different definitions of diversity and inclusion.

K3 The different forms which discrimination and harassment might take.

K4 The business case for ensuring equality of opportunity and promoting diversity and inclusion.

K5 Why it is important to ensure senior management commitment to promoting equality of opportunity, diversity and inclusion and how this can be achieved.

K6 Why it is important to lead by example in terms of your behaviour, words and actions supporting a commitment to equality of opportunity, diversity and inclusion.

K7 How to recognise when the behaviour, words and actions of others does and does not support a commitment to equality of opportunity, diversity and inclusion.

K8 The importance of reviewing the diversity and needs of an organisation's current and potential customers in order to identify areas for improvement and how to do so effectively.

K9 The importance of reviewing the diversity of an organisation's workforce, at all levels, in order to identify areas for improvement and how to do so effectively.

K10 How to develop an effective written equality, diversity and inclusion policy and what it should cover.

K11 How to communicate the organisation's equality, diversity and inclusion policy to all people who work for the organisation and other relevant parties.

K12 Sources of specialist expertise in relation to equality, diversity and inclusion.

K13 How to establish systems for monitoring, reviewing and reporting on progress in relation to equality of opportunity, diversity and inclusion within an organisation.

#### Industry/sector specific knowledge and understanding

K14 Sector-specific legislation, regulations, guidelines and codes of practice relating to equality, diversity and inclusion.

K15 Equality, diversity and inclusion issues and developments that are particular to the industry or sector

#### Context specific knowledge and understanding

K16 The overall vision, values, objectives, plans and culture of your organisation.

K17 The planning and decision-making processes within your organisation.

K18 Your organisation's current and potential customers and their needs.

K19 The diversity of your organisation's workforce.

K20 Key stakeholders with an interest in equality, diversity and inclusion in your organisation.

K21 Your organisation's written equality, diversity and inclusion policy and action plan and how they are communicated to people who work for the organisation and to other relevant stakeholders.

K22 Mechanisms for consulting with people who work for the organisation or their representatives on equality, diversity and inclusion issues.

K23 Sources of specialist expertise in relation to equality, diversity and inclusion used by your organisation.

K24 Systems in place for effective monitoring, reviewing and reporting on progress in relation to equality of opportunity, diversity and inclusion.

# Unit 504 Develop strategic business plans

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 14 |
| **Unit aim:** | This unit is about developing a strategic business plan for your organisation. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with responsibility for developing strategic business plans for their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Balancing competing needs and interests
- Building consensus
- Communicating
- Consulting
- Decision-making
- Delegating
- Evaluating
- Influencing
- Innovating
- Involving others
- Leadership
- Monitoring
- Persuading
- Planning
- Presenting information
- Prioritising
- Reviewing
- Risk management

- Setting objectives
- Thinking creatively
- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders in developing strategic business plans.
P2 Establish and prioritise strategic objectives that are consistent with your organisation's vision and values.
P3 Identify programmes of activity capable of achieving the strategic objectives.
P4 Evaluate the risks involved and develop realistic plans to manage risks.
P5 Identify resource requirements and evaluate their availability both now and in the future.
P6 Develop policies that will guide the work of others towards the achievement of the organisation's vision.
P7 Identify reliable measures and methods for monitoring and evaluating the plan.
P8 Communicate the strategic business plan in ways that win the support and commitment of key stakeholders.
P9 Review and redefine the strategic business plan in the light of significant changes in the operating environment.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance
2 Encourage, generate and recognise innovative solutions
3 Find practical ways to overcome obstacles
4 Identify people's preferred ways of communicating
5 Use communication media and styles appropriate to different people and situations
6 Balance risks against the benefits that may arise from taking risks
7 Agree challenging but achievable objectives
8 Clearly agree what is expected of others and hold them to account
9 Focus personal attention on specific details that are critical to achieving successful results
10 Create a sense of common purpose
11 Present ideas and arguments convincingly in ways that engage people
12 Recognise stakeholders' needs and interests and manage these effectively

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage employees and stakeholders in developing strategic business plans.

K2 The importance of long and medium-term planning to the success of an organisation.
K3 The principles of strategic management and business planning.
K4 What a written strategic business plan should cover.
K5 The importance of creativity and innovation in strategic management.
K6 How to identify potential risks in relation to the achievement of objectives.
K7 How to develop strategic objectives which are SMART (Specific, Measurable, Achievable, Realistic, and Time-bound).
K8 How to delegate responsibility and allocate resources to support a strategic plan.
K9 How to identify sustainable resources and ensure their effective use to support a strategic plan.
K10 How to develop measures and methods for monitoring and evaluating performance against the strategic business plan

### Industry/sector specific knowledge and understanding

K11 Legal, regulatory and ethical requirements in your sector.
K12 Significant trends and developments in your sector at local, national and international levels

### Context specific knowledge and understanding

K13 Your organisation's operating environment.
K14 Your organisation's actual and potential customer base.
K15 The needs and expectations of your actual and potential customers.
K16 Your actual and potential competitors and collaborators, and their strategies and plans.
K17 Opportunities in your organisation's operating environment at local, national and international levels.
K18 Your organisation's ability to respond to opportunities in its operating environment.
K19 Colleagues and other key stakeholders, and their needs and expectations.
K20 Processes for engaging with employees and their representatives within your organisation.
K21 Sources of information that can aid monitoring and evaluation.

# Unit 401 Develop and sustain productive working relationships with stakeholders

| | |
|---|---|
| **Unit level:** | SCQF 9 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about developing and sustaining productive working relationships with stakeholders. These include colleagues within your own organisation, people within other organisations with which your organisation works and other external stakeholders. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who work with both internal and external stakeholders. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Balancing competing needs and interests
- Communicating
- Consulting
- Empathising
- Information management
- Involving others
- Leadership
- Managing conflict
- Monitoring
- Networking
- Obtaining feedback
- Presenting information
- Prioritising
- Problem solving
- Providing feedback
- Reviewing

- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Identify external stakeholders and the nature of their interest in the activities and performance of your organisation.
P2 Establish working relationships with relevant internal and external stakeholders.
P3 Recognise and respect the roles, responsibilities, interests and concerns of stakeholders and, particularly in situations of matrix management, their managers' requirements.
P4 Seek to create a climate of trust and mutual respect, particularly where you have no authority, or shared authority, over those you are working with.
P5 Seek to understand difficult situations and issues from stakeholders' perspectives and provide support, where necessary, to move things forward.
P6 Provide stakeholders with appropriate information to enable them to perform effectively.
P7 Consult stakeholders in relation to key decisions and activities and take account of their views, including their priorities, expectations and attitudes to potential risks.
P8 Fulfil agreements made with stakeholders and let them know.
P9 Advise stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements.
P10 Identify and resolve conflicts of interest and disagreements with stakeholders in ways that minimise damage to work and activities and to the stakeholders involved.
P11 Monitor and review the effectiveness of working relationships with stakeholders in order to identify areas for improvement.
P12 Seek and provide feedback in order to improve your own and stakeholders' performance.
P13 Monitor wider developments in order to identify issues of potential interest or concern to stakeholders in the future and to identify new stakeholders.

## Behaviours which underpin effective performance

1 Identify people's preferred ways of communicating
2 Use communication media and styles appropriate to different people and situations
3 Present information clearly, concisely, accurately and in ways that promote understanding
4 Keep people informed of plans and developments in a timely way
5 Show respect for the views and actions of others
6 Comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes
7 Seek to understand people's needs and motivations
8 Create a sense of common purpose
9 Work towards win-win solutions
10 Take account of the internal and external politics that impact on your own area of work
11 Clarify your own and others' expectations of relationships

12 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
13 Honour your commitments to others
14 Recognise when there are conflicts, acknowledge the feelings and views of all parties, and redirect people's energy towards a common goal
15 Take account of the impact of your own actions on others
16 Recognise stakeholders' needs and interests and manage these effectively

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 The benefits of developing productive working relationships with stakeholders.
K2 Different types of stakeholder and key principles which underpin the 'stakeholder' concept.
K3 How to identify your organisation's stakeholders, including background information and the nature of their interest in your organisation.
K4 Principles of effective communication and how to apply them in order to communicate effectively with stakeholders.
K5 Why it is important to recognise and respect the roles, responsibilities, interests and concerns of stakeholders.
K6 The importance of creating a climate of trust and mutual respect where you have no authority, or shared authority, over those you are working with.
K7 The importance of understanding difficult situations and issues from other perspectives and providing support, where necessary, to move things forward.
K8 How to identify and meet the information needs of stakeholders.
K9 What information it is appropriate to provide to stakeholders and the factors that need to be taken into consideration.
K10 How to consult with stakeholders in relation to key decisions and activities.
K11 The importance of taking account, and being seen to take account, of the views of stakeholders, particularly in relation to their priorities, expectations and attitudes to potential risks.
K12 Why communication with stakeholders on fulfilment of agreements or any problems affecting or preventing fulfilment is important.
K13 How to identify conflicts of interest with stakeholders and the techniques that can be used to manage or remove them.
K14 How to identify disagreements with stakeholders and the techniques for sorting them out.
K15 The damage that conflicts of interest and disagreements with stakeholders can cause to individuals and organisations.
K16 How to recognise and take account of political issues when dealing with stakeholders.
K17 How to manage the expectations of stakeholders.
K18 How to monitor and review the effectiveness of working relationships with stakeholders.
K19 How to get and make effective use of feedback from stakeholders.
K20 How to provide stakeholders with feedback designed to improve their performance.
K21 The importance of monitoring wider developments in relation to stakeholders and how to do so effectively.

### Industry/sector specific knowledge and understanding

K22 Current and emerging trends and developments in your industry or sector.
K23 Sector-specific legislation, regulations, guidelines and codes of practice.
K24 Standards of behaviour and performance in your industry or sector.
K25 The culture of your industry or sector

### Context specific knowledge and understanding

K26 The vision, values, objectives, plans, structure and culture of your organisation.
K27 Relevant stakeholders, their work roles and responsibilities.
K28 Identified stakeholders, their background and interests in the activities and performance of the organisation.
K29 Agreements with stakeholders.
K30 The identified information needs of stakeholders.
K31 Mechanisms for consulting with stakeholders on key decisions and activities.
K32 Your organisation's planning and decision-making processes.
K33 Mechanisms for communicating with stakeholders.
K34 Power, influence and politics within your organisation.
K35 Standards of behaviour and performance that are expected in your organisation.
K36 Mechanisms in place for monitoring and reviewing the effectiveness of working relationships with stakeholders.

# Unit 505 Manage risks to your organisation

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 11 |
| **Unit aim:** | This unit is about taking the lead in establishing and operating an effective risk management process across your organisation. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to senior managers and leaders with particular responsibility for identifying, evaluating and managing risks to their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Communicating
- Consulting
- Contingency planning
- Decision-making
- Evaluating
- Influencing
- Information management
- Involving others
- Leadership
- Monitoring
- Persuading
- Planning
- Presenting information
- Prioritising
- Reviewing
- Risk management
- Scenario building

- Thinking systematically

## Outcome of effective performance

**You must be able to:**

P1 Take account of the size and nature of your organisation and ensure that risk management activity is proportionate.

P2 Ensure that your organisation has a written risk management policy, including a statement of risk appetite and setting out responsibilities for risk management.

P3 Ensure your organisation's risk management policy has management support and is clearly communicated across the organisation and to other relevant stakeholders.

P4 Establish, and periodically review, risk criteria for your organisation, taking account of the views of relevant people across the organisation and stakeholders.

P5 Evaluate significant current and planned organisational activities and identify potential risks, the nature of the risks, the probability of occurrence and consequences.

P6 Produce a risk profile for your organisation and, taking account of the organisation's risk criteria and other relevant information, prioritise the identified risks.

P7 Communicate information on identified risks to relevant people across the organisation and, where appropriate, to stakeholders, to enable decisions and actions to be taken in terms of accepting or treating the risks.

P8 Ensure sufficient resources are allocated across the organisation to enable effective risk management.

P9 Provide support for people across the organisation to integrate risk management into strategic and operational plans and activities.

P10 Collect and evaluate information from across the organisation on how identified risks have been or are being dealt with, including contingency plans which have been put in place.

P11 Develop an organisational culture in which people are risk aware but are prepared to take acceptable risks and to make and learn from mistakes.

P12 Obtain specialist support on risk management issues, where necessary.

P13 Monitor and review the effectiveness of the risk management process in your organisation, identifying potential improvements and making changes where necessary.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance

2 Identify people's information needs

3 Identify people's preferred ways of communicating

4 Use communication media and styles appropriate to different people and situations

5 Balance risks against the benefits that may arise from taking risks

6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

7 Watch out for potential risks and hazards

8 Take personal responsibility for making things happen

9 Protect your own and others' work against negative impacts

10 Protect the confidentiality and security of information

11 Recognise stakeholders' needs and interests and manage these effectively
12 Anticipate likely future scenarios based on a realistic analysis of trends and developments
13 Identify the implications or consequences of a situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 Relevant national and international standards in risk management.
K2 Types of risk and the factors which drive different types of risk.
K3 Key stages in the risk management process.
K4 Risk management tools, techniques and indicators.
K5 How to develop a written risk management policy and what it should cover.
K6 How to communicate the written risk management policy to people who work for the organisation and other relevant stakeholders.
K7 What risk criteria might cover and the importance of seeking and taking account of the views of relevant people across the organisation and stakeholders.
K8 Ways of identifying and clearly describing potential risks in relation to current and planned activities, the nature of the risks, the probability of occurrence and consequences.
K9 The type of decisions and actions that might be taken in relation to identified risks.
K10 Why it is important and how to collect and evaluate information on how identified risks have been or are being dealt with, including contingency plans.
K11 Ways of developing an organisational culture in which people are risk aware but are prepared to take acceptable risks in undertaking activities.
K12 The type of resources required to raise risk awareness across the organisation.

### Industry/sector specific knowledge and understanding

K13 Sector-specific legislation, regulations, guidelines and codes of practice.
K14 Significant trends and developments in the sectors in which your organisation operates.
K15 Typical risks encountered in the sectors in which your organisation operates.

### Context specific knowledge and understanding

K16 The vision, values, objectives and plans of your organisation.
K17 Key stakeholders with an interest in risk management in your organisation.
K18 Mechanisms for consulting with and the views of relevant people across your organisation and stakeholders in relation to risk.
K19 The written risk management policy of your organisation.
K20 The risk criteria of your organisation.
K21 Current and planned organisational activities.
K22 The risk profile of your organisation and prioritised risks.
K23 Decisions and actions taken across the organisation in relation to identified potential risks, including any contingency plans which have been put in place.
K24 Your organisation's culture in relation to risk.
K25 Resources available across the organisation to support risk management.

K26 Sources of specialist support on risk management.

K27 Systems in place for monitoring and reviewing the effectiveness of the risk management process in your organisation.

# Unit 506 Plan the workforce

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about taking a lead in identifying the workforce requirements of your organisation and how these will be satisfied. This unit is not intended for human resources specialists. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are responsible for planning the workforce across their organisation or their particular area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Contingency planning
- Decision-making
- Evaluating
- Information management
- Monitoring
- Planning
- Prioritising
- Reviewing
- Scenario building
- Thinking creatively
- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders in planning workforce requirements.

P2 Seek and make use of specialist resources to assist in workforce planning activities, where necessary.

P3 Evaluate your organisation's strategic objectives and plans to obtain information needed for workforce planning purposes and identify any key issues for further consideration.

P4 Identify the knowledge, skills and competence required to deliver your organisation's strategic objectives and plans.

P5 Review the capacity and capability of the current workforce to meet identified knowledge, skills and competence requirements.

P6 Identify any learning or development needs of the current workforce to meet requirements.

P7 Make sure that the diversity of the workforce provides a suitable mix of people to achieve its objectives.

P8 Take account of the diverse needs of your workforce.

P9 Develop workforce plans that meet the organisation's long, medium, and short-term requirements, making effective use of people from inside and from outside the organisation.

P10 Ensure employment contracts are appropriate to the needs of the organisation.

P11 Make sure that resources needed to recruit, develop, retain and redeploy people are available.

P12 Develop contingency plans to deal with unforeseen circumstances and maintain business continuity.

P13 Identify any recurring issues that cause people to leave your organisation and seek to address these.

P14 Communicate workforce plans to relevant people.

P15 Review your workforce plans periodically and in the light of changes to your organisation's strategic objectives and plans.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people

2 Identify people's preferred ways of communicating

3 Use communication media and styles appropriate to different people and situations

4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

5 Watch out for potential risks and hazards

6 Make effective use of existing sources of information

7 Identify systemic issues and seek to mitigate their impact on performance

8 Anticipate likely future scenarios based on realistic analysis of trends and developments

9 Work towards a clearly defined vision of the future

10 Take decisions in uncertain situations or based on incomplete information when necessary

11 Take and implement difficult and/or unpopular decisions, where necessary

## Outcome

4 Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage employees and other stakeholders in workforce planning.
K2 What an effective workforce plan should cover.
K3 The information required to undertake workforce planning.
K4 Legislation and requirements relating to employment, workers' welfare and rights, equality and health and safety.
K5 How to take account of equality, diversity and inclusion issues in workforce planning.
K6 Strategies and/or services which need to be in place for when people leave, including redundancy counselling.
K7 The importance of putting contingency plans in place and how to do so effectively.
K8 The different ways in which workforce requirements can be met, their advantages and disadvantages, costs and benefits

### Industry/sector specific knowledge and understanding

K9 Types of employment contracts typically used within the industry/sector.
K10 Patterns for employing, recruiting, and retaining people in the industry/sector.
K11 Trends and developments in the sector which are relevant to workforce planning.
K12 Legislation, regulations and codes of practice that apply in the industry/sector.
K13 Working culture and practices of the industry/sector

### Context specific knowledge and understanding

K14 Individuals within your organisation, their roles, responsibilities, competences and potential.
K15 Specialist resources available for workforce planning and how to make use of them.

# Unit 507 Develop and sustain collaborative relationships with other organisations

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 6 |
| **Unit aim:** | This unit is about developing and sustaining collaborative relationships with other organisations which share objectives that are similar or complementary to your own organisation's objectives. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are the main point of contact with external organisations and are responsible for ensuring effective relationships with them. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Balancing competing needs and interests
- Communicating
- Decision-making
- Evaluating
- Information management
- Negotiating
- Networking
- Planning
- Presenting information
- Reporting
- Reviewing
- Risk management
- Setting objectives
- Thinking strategically
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Identify organisations which share common or complementary objectives and evaluate the feasibility of collaboration in line with your organisation's strategic objectives.

P2 Decide whether to collaborate with other organisations, based on an evaluation of potential benefits, the compatibility of the organisations and your ability to mitigate any risks involved.

P3 Seek to create a climate of trust and mutual respect, particularly where you have no authority, or shared authority, over those you are working with.

P4 Agree internally and with the other organisations:

- P4.1 the aims and objectives of collaboration
- P4.2 the benefits each organisation expects from collaboration
- P4.3 the costs to each organisation from collaboration
- P4.4 the actions each organisation will take and when
- P4.5 the required outcomes from collaboration
- P4.6 the risks involved in the collaboration and how these will be managed
- P4.7 arrangements for communicating with each other and reporting progress
- P4.8 arrangements for processing information in line with relevant legislation
- P4.9 how and when you will review the effectiveness of your collaboration.

P5 Take agreed actions at the agreed time; inform the other organisations if you are unable to do so and the reasons for this.

P6 Seek to understand difficult situations and issues from the other organisations' perspective and provide support, where necessary, to move things forward.

P7 Report to, and receive reports from, the other organisations according to arrangements agreed.

P8 Provide feedback to the other organisations in ways that help them to perform effectively and reinforce their commitment and enthusiasm for collaboration.

P9 Process information supplied by the other organisations in line with arrangements and relevant legislation.

P10 Review the effectiveness of your collaboration at agreed times and agree:

- P10.1 the extent to which the aims and objectives have been achieved
- P10.2 the actions carried out by each organisation, any deviations from the actions agreed and reasons for these
- P10.3 any failures or mistakes, the reasons for these and ways of avoiding these failures or mistakes in the future
- P10.4 the costs to each organisation of collaboration and ways in which these costs may be reduced in the future
- P10.5 the benefits to each organisation, the value of these benefits and how mutual benefits may be increased in the future
- P10.6 the extent to which the expectations of each organisation have been met
- P10.7 any changes to make your collaboration more effective in the future.

## Behaviours which underpin effective performance

1 Present information clearly, concisely, accurately and in ways that promote understanding
2 Keep people informed of plans and developments in a timely way
3 Show respect for the views and actions of others
4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
5 Communicate clearly the value and benefits of a proposed course of action
6 Seek to influence the climate and culture of the organisation
7 Identify and work with people and organisations that can provide support for your work
8 Clarify your own and others' expectations of relationships
9 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
10 Honour your commitments to others
11 Specify the assumptions made and risks involved in understanding a situation

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 The importance of identifying and evaluating potential organisations with which to collaborate.
K2 How to identify the potential benefits to each party of collaboration.
K3 How to identify the aims, values and working practices of other organisations and assess how compatible these are with your organisation's aims, values and working practices.
K4 How to identify the potential costs, in terms of money, time and resources, to each organisation of working together.
K5 The importance of agreeing with partners the benefits and costs to each organisation of working together.
K6 The importance of basing your decision to collaborate with other organisations on your evaluation of potential benefits, the compatibility of the organisations and your ability to mitigate any risks involved, and how to do so.
K7 The importance of identifying and agreeing with other organisations the aims and objectives of collaboration, and how to do so.
K8 The importance of identifying and agreeing the actions each organisation will take and when, and how to do so.
K9 The importance of identifying and agreeing the arrangements for communicating with each other and reporting progress, and how to do so.
K10 How to identify and evaluate any risks involved in working together.
K11 The importance of identifying and agreeing how and when you will review the collaboration and its effectiveness, and how to do so.
K12 The importance of taking agreed actions at the agreed time and informing people promptly if you are unable to do so and the reasons for this.
K13 The importance of supporting collaborating organisations to take their agreed actions at the agreed time, and how to do so.
K14 The importance of reporting and receiving reports from collaborating organisations according to arrangements agreed, and how to do so.
K15 How to provide feedback to collaborating organisations in ways that help them to perform effectively and reinforce their commitment and enthusiasm for collaboration.

K16 How to process information supplied by collaborating organisations in line with arrangements and data protection legislation.

K17 The principles of effective communication and how to apply them.

### Industry/sector specific knowledge and understanding

K18 Industry/sector requirements and legislation for collaboration with other organisations to achieve common or complementary objectives

### Context specific knowledge and understanding

K19 Your organisation's aims, values and working practices.

K20 Legal and organisational requirements for data protection.

K21 Confidentiality policies for each organisation and how they may impact on the collaboration.

K22 Who has a right to the information and knowledge you are communicating.

# Unit 508 Optimise effective use of technology

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about making sure those working in your organisation or area of responsibility use technology – for example, information or communications technology, equipment, machinery – appropriately and effectively. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who have the authority to be able to influence the use of technology within their organisation or area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Benchmarking
- Communicating
- Consulting
- Contingency planning
- Information management
- Innovating
- Involving others
- Lead by example
- Leadership
- Monitoring
- Networking
- Planning
- Problem solving
- Questioning
- Reporting
- Reviewing
- Thinking strategically

- Thinking systematically

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate colleagues in identifying and developing effective approaches to the use of technology.
P2 Seek and make use of specialist expertise to assist in developing, implementing and reviewing your strategy for using technology and monitoring performance in relation to the use of technology.
P3 Identify the current approaches to the use of technology within your organisation or area of responsibility and any plans to discard or introduce technology or to use existing technology for different purposes.
P4 Carry out benchmarking to identify good practice in relation to the use of technology and what lessons can be learnt and applied to your organisation.
P5 Identify opportunities for introducing new technology, adapting existing technology or using existing technology for different purposes.
P6 Ensure that your organisation or area of responsibility has a strategy for using technology and that it fits with the overall vision, values, objectives and plans of the organisation.
P7 Communicate the strategy for using technology to colleagues and to other key stakeholders.
P8 Check that any new technology is compatible with existing technology.
P9 Monitor the introduction of any technology or adaptation of existing technology carefully and take prompt and effective action to address any problems.
P10 Ensure that resources and support are provided to enable colleagues to make effective use of the available technology.
P11 Ensure that contingency plans are in place in case technology fails.
P12 Maintain systems to monitor implementation of the strategy and report on the technology performance of your organisation or area of responsibility.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance
2 Constructively challenge the status quo and seek better alternatives
3 Try out new ways of working
4 Present information clearly, concisely, accurately and in ways that promote understanding
5 Reflect on your experiences and use the lessons to guide your decisions and actions
6 Balance risks against the benefits that may arise from taking risks
7 Take personal responsibility for making things happen
8 Create a sense of common purpose
9 Anticipate likely future scenarios based on realistic analysis of trends and developments
10 Specify the assumptions made and risks involved in understanding a situation
11 Take timely decisions that are realistic for the situation

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 Different types of technology.

K2 The main factors to consider when assessing the use and/or introduction of new technology, including the full costs and benefits.

K3 The importance of consulting with colleagues and other relevant parties in relation to technology.

K4 What an effective strategy for using technology should cover.

K5 The importance of contingency planning in relation to the ongoing use and/or introduction of technology and how to do this effectively.

K6 Different techniques and methods for communicating the organisation's approach to and strategy for using technology.

K7 How to benchmark your organisation's use of strategy against other organisations.

K8 How to check the compatibility of new technology with existing technology.

K9 How to establish systems for reviewing the implementation of the strategy for using technology and identifying areas for improvement.

K10 The types of resources and support needed to enable colleagues to make the best use of the available technology

#### Industry/sector specific knowledge and understanding

K11 Trends and developments in your industry/sector in relation to technology.

K12 The types of technology that are available to your industry/sector and their main features, benefits and drawbacks.

K13 Legal requirements, government policies and industry or sector guidelines relating to using technology.

K14 Financial or other incentives or support that may be available for investing in technology in your industry/sector

#### Context specific knowledge and understanding

K15 The approaches to and current use of technology within your organisation.

K16 Plans to discard or introduce technology or use existing technology for different purposes.

K17 Who needs to be consulted across the organisation in relation to technology.

K18 Other relevant parties with an interest in your organisation's use of technology.

K19 The overall vision, values, objectives and plans of your organisation.

K20 Your organisation's specific strategy in relation to using technology, including contingency plans.

K21 The role of technology in your organisation's culture and how to build on this.

K22 Systems in place for effective monitoring and reporting on the use of technology.

K23 The organisations that are similar to your own and the technology they use.

K24 The specialists who can advise your organisation on using technology.

K25 What technology has already been tried in your organisation and what the outcomes were.

# Unit 509 Promote knowledge management and sharing

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 7 |
| **Unit aim:** | This unit is about promoting knowledge management – the systematic identification, creation, development, capture and transferring of relevant information and expertise – and the sharing of knowledge across your organisation or area of responsibility. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | The unit is relevant to managers and leaders who have responsibility for promoting knowledge management and sharing across their organisation, or their area of responsibility |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Communicating
- Decision-making
- Evaluating
- Influencing
- Involving others
- Monitoring
- Obtaining feedback
- Planning
- Presenting information
- Providing feedback
- Reviewing

## Outcome of effective performance

**You must be able to:**

P1 Engage colleagues and other key stakeholders in developing and implementing systems and processes that promote knowledge management and sharing.

P2 Identify where key knowledge is created, developed, shared and transferred and how it adds value to your organisation or area of responsibility.

P3 Define and gain support for strategies to facilitate the creation, maintenance and sharing of organisational knowledge.

P4 Specify standards and processes that support knowledge creation, development, sharing and capture and which ensure that valuable knowledge is recorded.

P5 Make available the systems and tools required to support knowledge management and sharing and ensure people have the necessary guidance and competence to use them effectively.

P6 Identify where organisational culture, values, work practices and behaviours hinder effective knowledge management and sharing and any changes required.

P7 Identify with key stakeholders strategies and activities for implementing changes in organisational culture, values, work practices and behaviours to enable effective knowledge management and sharing.

P8 Encourage senior managers and key influencers within your organisation to act as role models in using knowledge management standards, systems, tools and processes.

P9 Implement effective systems and procedures to protect intellectual property from unauthorised use.

P10 Identify and implement processes that promote effective knowledge management and sharing and communicate the benefits of doing so.

P11 Monitor and review progress in embedding a culture of knowledge management and sharing in your organisation and plan any essential changes.

P12 Evaluate and record the value of knowledge management and sharing to the organisation.

## Behaviours which underpin effective performance

1 Identify people's information needs

2 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

3 Identify people's preferred ways of communicating

4 Use communication media and styles appropriate to different people and situations

5 Present information clearly, concisely, accurately and in ways that promote understanding

6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

7 Protect the confidentiality and security of information

8 Check the accuracy and validity of information

9 Analyse and structure information to develop knowledge that can be shared

10 Make appropriate information and knowledge available promptly to those who need it and have a right to it

11 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically
12 Encourage others to share information and knowledge within the constraints of confidentiality
13 Take timely decisions that are realistic for the situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage colleagues and other stakeholders in knowledge management and sharing.
K2 Existing and emerging knowledge management theories, concepts, strategies, principles, techniques and good practice.
K3 Systems and tools available to support knowledge management and sharing and how to select appropriate ones.
K4 How to specify standards and processes to support knowledge management and sharing.
K5 Systems and procedures to protect intellectual property from unauthorised use and how to identify and develop appropriate ones.
K6 How to evaluate the value of knowledge and knowledge management to the organisation.
K7 How to develop and gain support for organisational strategies.
K8 The importance of monitoring and reviewing progress and how to do so

### Industry/sector specific knowledge and understanding

K9 Industry/sector requirements and benchmarks for knowledge management and sharing

### Context specific knowledge and understanding

K10 How knowledge is created, developed, shared and used in your organisation.
K11 Your organisation's culture, values and work practice and how these may help or hinder effective knowledge management and sharing.
K12 Senior managers and key influencers in your organisation.

# Unit 414 Manage programmes

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 9 |
| **Unit aim:** | This unit is about managing a specific programme of different projects which are separate but still depend on each other. Taken together, these projects will contribute to achieving more significant strategic goals. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are responsible for managing programmes. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Acting assertively
- Analysing
- Balancing competing needs and interests
- Communicating
- Decision-making
- Delegating
- Influencing
- Information management
- Involving others
- Leadership
- Managing conflict
- Monitoring
- Motivating
- Negotiating
- Planning
- Presenting information
- Prioritising
- Problem solving

- Providing feedback
- Questioning
- Reporting
- Risk management
- Setting objectives
- Stress management
- Team building
- Thinking strategically
- Thinking systematically
- Time management

## Outcome of effective performance

**You must be able to:**

P1 Establish overall programme objectives and how these link to strategic goals.
P2 Engage those involved and other key stakeholders in managing programmes.
P3 Establish the contribution different strands of the programme make to achieving overall programme objectives.
P4 Ensure those involved understand how different strands of the programme link together and how the programme links to strategic goals.
P5 Ensure those involved are clear about their specific roles and responsibilities and the roles and responsibilities of others with whom they interface.
P6 Deploy resources in line with the requirements and priorities of the different strands of programme.
P7 Make available any training, support or supervision people require to fulfil their roles and responsibilities.
P8 Encourage those involved to identify and take advantage of synergies between different strands of the programme.
P9 Hold individuals to account both for the fulfilment of their own responsibilities and for the achievement of the overall programme objectives.
P10 Monitor the progress of different strands, and of the programme as a whole
P11 Engage those involved in proposing and taking effective action in light of significant variances, changes in the operating environment or changes in organisational strategy.
P12 Ensure the programme achieves its objectives efficiently and effectively, on time and within budget.
P13 Communicate progress and results of the programme and its different strands to those involved and other key stakeholders in ways which enhance commitment and support.
P14 Make recommendations which identify good practice and areas for improvement.

## Behaviours which underpin effective performance

1 Address multiple demands without losing focus or energy
2 Recognise changes in circumstances promptly and adjust plans and activities accordingly
3 Seek opportunities to improve performance

4 Find practical ways to overcome obstacles
5 Present information clearly, concisely, accurately and in ways that promote understanding
6 Keep people informed of plans and developments in a timely way
7 Clearly agree what is expected of others and hold them to account
8 Monitor the quality of work and progress against plans and take appropriate corrective action, where necessary
9 Create a sense of common purpose
10 Champion work to achieve common goals
11 Identify the range of elements in a situation and how they relate to each other
12 Work towards a clearly defined vision of the future

## Knowledge and understanding

### You need to know and understand:

### General knowledge and understanding

K1 How to engage those involved and other stakeholders in managing programmes.
K2 The difference between project and programme management.
K3 The roles and key responsibilities of a programme manager.
K4 Principles, processes, tools and techniques for managing programmes.
K5 Principles and methods of delegation.
K6 How to hold people to account for the achievement of objectives.
K7 How to manage, motivate, plan, monitor and assess people.
K8 How to assess and manage risk.
K9 How to manage change within projects and programmes.
K10 Principles and methods of effective communication and how to apply them.
K11 Principles, methods and tools for monitoring the progress of different programme strands.
K12 How to evaluate a programme and identify lessons to be learned

### Industry/sector specific knowledge and understanding

K13 Programme and project management tools and techniques commonly used in the industry or sector.
K14 Risks and contingencies common to the industry/sector.
K15 Industry/sector specific legislation, regulations, guidelines and codes of practice

### Context specific knowledge and understanding

K16 The programme sponsor(s) – the individual or group for whom the programme is being undertaken.
K17 Key stakeholders – the individuals or groups who have a significant interest in the success of the programme and the organisation.
K18 General organisational policies, practices and activities that may affect the programme plan.
K19 The agreed key objectives and scope of the programme and the available resources.
K20 The overall vision, objectives and plans of the organisation and any other relevant programmes of work or projects being undertaken.

K21 Procedures in your organisation for managing finance.
K22 Procedures in your organisation for buying products and services.
K23 Legal requirements that are relevant to your organisation.
K24 Quality standards and processes within your organisation.
K25 Personnel policies and procedures within your organisation.

# Unit 510 Develop a customer-focused organisation

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about ensuring that your organisation puts customers first. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with the authority to be able to influence to culture of their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Building consensus
- Communicating
- Empowering
- Evaluating
- Leadership
- Monitoring
- Motivating
- Reviewing
- Thinking strategically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Communicate to people in your organisation and other key stakeholders how customers are at the heart of achieving your organisation's vision and strategic objectives.

P2 Establish a set of customer-focused values and beliefs which develops suitable skills, behaviours and attitudes leading to a culture that puts the customer first.

P3 Ensure that customer-focused processes and systems exist throughout the organisation.
P4 Ensure that there are schemes in place that reinforce staff commitment to providing a level of service that meets or beats customers' expectations.
P5 Establish collaborations, where appropriate, with other organisations to maintain and improve services to customers.
P6 Ensure that joint activities are undertaken with customers in order to identify and make improvements to the level of customer service provided by your organisation.
P7 Measure, periodically, the level of customer service your organisation is providing.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance
2 Find practical ways to overcome obstacles
3 Demonstrate a clear understanding of different customers and their real and perceived needs
4 Advocate customers' interests within your organisation
5 Encourage and welcome feedback from others and use this feedback constructively
6 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically
7 Communicate a vision that inspires enthusiasm and commitment
8 Identify and work with people and organisations that can provide support for your work
9 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
10 Identify the range of elements in a situation and how they relate to each other
11 Take timely decisions that are realistic for the situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 The principles of effective customer service.
K2 The factors that make customers satisfied.
K3 The importance of achieving customer satisfaction.
K4 How to measure the level of customer service being provided.
K5 The benefits of forming collaborations to maintain and improve customer service.
K6 Best practice in customer service outside your own sector.
K7 Techniques for motivating staff to deliver excellent service to customers.
K8 How to design and manage processes and systems focused on customers' needs

### Industry/sector specific knowledge and understanding

K9 Current and emerging trends that are likely to affect your products and/or services.
K10 Developments in technology.
K11 The legal and regulatory framework within which you work, including customer and consumer rights, relevant codes of practice and ethical codes

**Context specific knowledge and understanding**

K12 Your organisation's products and services.

K13 The overall vision, objectives and associated plans of your organisation.

K14 Your organisation's customers.

K15 The strengths and weaknesses of your organisation in terms of satisfying customers.

K16 How a change in your market structure, products or services will affect your customers.

K17 The activities and services of your competitors or similar organisations, and how this may affect your products, services and processes.

# Unit 407 Obtain finance from external sources

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 18 |
| **Unit aim:** | This unit is about obtaining finance from external sources to achieve organisational objectives. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with specific responsibility for obtaining finance for their organisation or for major projects or programmes of work. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Contingency planning
- Decision-making
- Evaluating
- Forecasting
- Influencing
- Information management
- Involving others
- Leadership
- Monitoring
- Negotiating
- Persuading
- Planning
- Presenting information
- Prioritising
- Problem solving
- Questioning
- Reviewing
- Risk management

- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Identify the finance required to achieve goals and objectives.
P2 Seek and make effective use of specialist financial expertise, where required.
P3 Evaluate the costs, benefits and risks of different types of finance.
P4 Select the types of finance which are most appropriate to the needs of your organisation, taking account of levels of acceptable risk and views of stakeholders.
P5 Identify and evaluate potential providers of finance.
P6 Ensure timely submission of clear, evidenced and convincing proposals, bids or applications to potential providers of finance and seek regular updates on progress.
P7 Make formal agreements with providers of finance, specifying amounts, timing and, where appropriate, costs and repayment schedules.
P8 Identify any shortfall in the level of finance obtained and take appropriate action.
P9 Put contingency plans in place to deal with any problems in finance being made available and any changes to the level of finance required.
P10 Monitor the effectiveness of agreements for providing finance, identifying and making changes where necessary and identifying improvements for the future.

## Behaviours which underpin effective performance

1 Present information clearly, concisely, accurately and in ways that promote understanding
2 Balance risks against the benefits that may arise from taking risks
3 Identify and seize opportunities to obtain resources
4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
5 Act within the limits of your authority
6 Watch out for potential risks and hazards
7 Identify and raise ethical concerns
8 Communicate clearly the value and benefits of a proposed course of action
9 Work towards win-win solutions
10 Identify and work with people and organisations that can provide support for your work
11 Recognise stakeholders' needs and interests and manage these effectively
12 Identify the implications or consequences of a situation
13 Specify the assumptions made and risks involved in understanding a situation
14 Take timely decisions that are realistic for the situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 Where to obtain and how to evaluate information in order to identify an organisation's requirement for finance.

K2 Sources of specialist financial expertise and how to make effective use of them.

K3 Different types of finance.

K4 Different providers of finance.

K5 How to evaluate the costs, benefits and risks of different types and providers of finance.

K6 Criteria for selecting types and providers of finance which are appropriate to organisational needs and the views of stakeholders.

K7 The importance of risk in obtaining finance and ways in which the level of risk can be identified and managed.

K8 How to work out the full cost of obtaining finance from providers.

K9 The importance of consulting with relevant people in the organisation and key stakeholders on proposals and recommendations for obtaining finance, and how to do so.

K10 The importance of submitting clear proposals or bids or applications to potential providers of finance and allowing sufficient time for their submission and consideration.

K11 The type of formal agreements that should be put in place with providers of finance and what they should cover.

K12 The type of actions that might need to be taken in the event of a shortfall in finance.

K13 Why it is necessary to put contingency plans in place in relation to obtaining finance and the type of contingencies that might occur.

K14 How to monitor the effectiveness of agreements put in place for providing finance.

K15 The changes that might need to be made to agreements for finance

### Industry/sector specific knowledge and understanding

K16 The types and providers of finance that tend to be used in your industry or sector, and why they are preferred.

K17 Guidelines and codes of practice and any legislative, regulatory and ethical requirements in relation to types and providers of finance in your industry or sector

### Context specific knowledge and understanding

K18 The vision, objectives and plans of your organisation.

K19 The proposed activities of your organisation, including those which require finance.

K20 Your organisation's stakeholders and their views in relation to the financing of the organisation's activities.

K21 The current types and providers of finance used by your organisation and other potential types and providers of finance and their associated costs, benefits and risks.

K22 The particular needs of your organisation in terms of securing finance, including the organisation's attitude to risk.

K23 Relevant people in your organisation and any key stakeholders who should be consulted on proposals and recommendations for obtaining finance.

K24 Proposals, bids or applications submitted to providers of finance and how they have been progressed.

K25 Formal agreements with providers of finance to your organisation.

K26 The contingency plans that have been put in place in relation to finance.

K27 The specialist financial expertise currently used by your organisation and other potential sources of expertise.

K28 The systems in place for monitoring the effectiveness of the agreements for finance and identifying changes to agreements and improvements for the future.

# Unit 511 Develop your organisation's vision and strategy

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 14 |
| **Unit aim:** | This unit is about developing a vision that is capable of generating the active support of a wide variety of stakeholders, including members of the organisation's governing body, managers and staff of the organisation, strategic partners and shareholders and, to a lesser extent, suppliers, customers and the community. An effective vision is both inspiring and realistic and is accompanied by sufficient strategic direction to encourage stakeholders to innovate whilst applying their energies and expertise to achieving the vision. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to senior managers and leaders with responsibility for the strategic direction of their organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Building consensus
- Communicating
- Consulting
- Decision-making
- Evaluating
- Influencing
- Innovating
- Involving others
- Leadership
- Monitoring
- Obtaining feedback

- Planning
- Presenting information
- Setting objectives
- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders in developing your organisation's vision and strategy.
P2 Formulate a vision that reflects a realistic evaluation of the operating environment, the values of the organisation and the expectations of its key stakeholders.
P3 Ensure the vision is consistent with the purpose of the organisation and its longer-term goals.
P4 Communicate the vision in ways that inspire stakeholders to commit to achieving it.
P5 Provide strategic direction and clear parameters that empower stakeholders to apply their energies and expertise creatively to achieve the vision.
P6 Review and redefine the vision, and strategy for achieving it, in the light of significant changes in the operating environment.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people
2 Recognise changes in circumstances promptly and adjust plans and activities accordingly
3 Identify people's preferred ways of communicating
4 Use communication media and styles appropriate to different people and situations
5 Create a sense of common purpose
6 Communicate a vision that inspires enthusiasm and commitment
7 Present ideas and arguments convincingly in ways that engage people
8 Take account of the internal and external politics that impact on your own area of work
9 Recognise stakeholders' needs and interests and manage these effectively
10 Use a range of leadership styles appropriate to different people and situations
11 Take and implement difficult and/or unpopular decisions, where necessary

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 How to engage employees and stakeholders in developing an organisation's vision and strategy.
K2 How to formulate an appropriate and effective vision for an organisation.
K3 The principles and methods of effective communication, and how to apply them.

K4 The level of strategic direction people require, and how to provide this direction in ways that releases energy and creativity

Industry/sector specific knowledge and understanding

K5 Legal, regulatory and ethical requirements in your sector

**Context specific knowledge and understanding**

K6 Key individuals within your organisation, their roles, responsibilities, competences and potential.

K7 Your organisation's operating environment.

K8 Your organisation's stakeholders, their interests and expectations.

K9 Your organisation's values.

K10 Your organisation's purpose and longer-term goals.

# Unit 303 Provide healthy, safe, secure and productive working environments and practices

| | |
|---|---|
| **Unit level:** | SCQF 7 |
| **Credit value:** | 7 |
| **Unit aim:** | This unit is about ensuring that the physical environment and working practices in your area of responsibility comply with your organisation's health and safety policy statement and that physical resources are secure. It recognises that, in the drive for increased productivity, health, safety and security must not be compromised. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are responsible for health and safety, security and productivity in their area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Communicating
- Consulting
- Decision-making
- Information management
- Involving others
- Leadership
- Monitoring
- Planning
- Presenting information
- Prioritising
- Questioning
- Reporting
- Reviewing

- Risk management
- Thinking systematically

## Outcome of effective performance

**You must be able to:**

P1 Identify your personal responsibilities and liabilities under health and safety legislation.
P2 Ensure your organisation's health and safety policy statement is clearly communicated to all people in your area of responsibility and other relevant people.
P3 Ensure the working environments and practices in your area of responsibility comply with your organisation's health and safety policy statement and are reviewed at regular intervals and in light of significant changes.
P4 Ensure regular consultation takes place with people in your area of responsibility or their representatives on health and safety issues.
P5 Ensure that a system is in place for identifying health and safety hazards and assessing risks in your area of responsibility.
P6 Ensure that a system is in place for identifying and assessing risks to the security of resources in your area of responsibility.
P7 Ensure that prompt and effective action is taken to eliminate or control identified hazards and manage identified risks.
P8 Refer identified hazards and risks outside your level/area of authority to the appropriate people.
P9 Ensure that the health and safety of people and the security of resources and information are prime considerations when designing or reviewing working environments and practices.
P10 Ensure that sufficient resources are allocated across your area of responsibility to deal with health, safety and security issues.
P11 Seek and make use of specialist expertise, where required.
P12 Ensure that systems are in place for effective monitoring, measuring and reporting of health, safety and security performance in your area of responsibility.
P13 Demonstrate your personal commitment to health, safety, security and productivity through your actions.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly
2 Seek opportunities to improve performance
3 Identify people's preferred ways of communicating
4 Use communication media and styles appropriate to different people and situations
5 Keep people informed of plans and developments in a timely way
6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
7 Act within the limits of your authority
8 Refer issues outside the limits of your authority to appropriate people
9 Watch out for potential risks and hazards

10 Identify and raise ethical concerns
11 Take personal responsibility for making things happen
12 Clearly agree what is expected of others and hold them to account
13 Protect your own and others' work against negative impacts
14 Identify the implications or consequences of a situation

## Knowledge and understanding

### You need to know and understand:

### General knowledge and understanding

K1 Why health, safety and security in the workplace are important.
K2 Your personal responsibilities and liabilities under health and safety legislation.
K3 How to keep up with legislative and other developments relating to health and safety.
K4 The requirement for organisations to have a written health and safety policy statement.
K5 How to communicate the written health and safety policy statement to people who work in your area of responsibility and other relevant parties.
K6 How and when to review the application of the written health and safety policy statement in your area of responsibility and produce/provide findings to inform development.
K7 How to identify risks to the security of resources and information and actions you can take to mitigate these risks.
K8 How and when to consult with people in your area of responsibility or their representatives on health, safety and security issues.
K9 Sources of specialist expertise in relation to health, safety and security.
K10 Ways of developing a culture in your area of responsibility which puts health, safety and security first.
K11 The type of hazards and risks that may arise in relation to health and safety – how to establish and use systems for identifying hazards and assessing risks and the type of actions that should be taken to control or eliminate them.
K12 How to establish systems for monitoring, measuring and reporting on health, safety and security performance in your area of responsibility.
K13 Why and how health, safety and security should inform planning and decision-making.
K14 The importance of setting a good example to others in relation to health, safety and security.
K15 The type of resources required to deal with health, safety and security issues

### Industry/sector specific knowledge and understanding

K16 Sector-specific legislation, regulations, guidelines and codes of practice relating to health, safety and security.
K17 Health, safety and security risks, issues and developments which are particular to the industry or sector

### Context specific knowledge and understanding

K18 Other relevant people with an interest in health, safety and security in your area of responsibility.

K19 Your organisation's written health and safety policy statement and how it is communicated to people who work for your organisation, people in your area and to other relevant parties.

K20 Sources of specialist expertise.

K21 The operational plans for your area of responsibility.

K22 The resources allocated to and across your area of responsibility for health, safety and security.

K23 Allocated responsibilities for health, safety and security in your area and your organisation in general.

K24 Systems in place in your area of responsibility for identifying hazards and assessing risks and taking action.

K25 Whom to refer to when identified hazards or risks are outside your level/area of authority.

K26 Systems in place for monitoring, measuring and reporting of health, safety and security performance in your area of responsibility.

# Unit 408 Develop, maintain and evaluate business continuity plans and arrangements

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 11 |
| **Unit aim:** | This unit is about developing, maintaining and evaluating business continuity plans to ensure that organisations continue to exercise core functions in the event of a business disruption or emergency. It is based upon a standard originally developed by Skills for Justice – CCAD1. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with specific responsibility for developing, maintaining and evaluating business continuity plans for their organisation |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Consulting
- Evaluating
- Influencing
- Interviewing
- Leadership
- Negotiating
- Networking
- Planning
- Presenting Information
- Prioritising
- Problem solving
- Reporting
- Thinking Strategically

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people in your organisation and other key stakeholders in developing business continuity plans and arrangements.

P2 Confirm the required aim, scope and objectives of business continuity plans and arrangements.

P3 Identify key products or services and the critical activities and resources that support them.

P4 Evaluate the resilience of the structures and processes of the organisation and of relevant external organisations.

P5 Identify and assess alternative strategies to mitigate the effects of business disruption or emergencies.

P6 Develop business continuity plans and arrangements that are capable of mitigating the effects of business disruption or emergencies effectively.

P7 Provide a framework for business continuity management, co-ordination and control including:

- P7.1 procedures for determining when the business continuity plan must be invoked
- P7.2 roles and responsibilities of key people in the organisation
- P7.3 prioritisation of organisational processes or services
- P7.4 procedures for activating response arrangements
- P7.5 provision of resources (eg people, premises, technology, equipment)
- P7.6 provision of resilient information and communications systems.

P8 Ensure the resources committed to business continuity management are proportionate to the potential impact of business disruption or emergencies.

P9 Present business continuity plans and arrangements clearly, concisely and in ways that promote understanding.

P10 Encourage the ownership of business continuity plans and arrangements at the appropriate departmental level.

P11 Communicate business continuity plans and arrangements clearly to people within the organisation and other key stakeholders.

P12 Ensure provision of appropriate training for relevant staff or other persons.

P13 Ensure provision of exercises to validate and practice business continuity plans and arrangements.

P14 Review business continuity plans systematically and in response to organisational changes, changes to the potential impact of disruption or emergencies and lessons identified from incidents and exercises.

## Behaviours which underpin effective performance

1 Respond promptly to crises and problems with a proposed course of action

2 Present information clearly, concisely, accurately and in ways that promote understanding

3 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

4 Watch out for potential risks and hazards

5 Protect your own and others' work against negative impacts
6 Focus personal attention on specific details that are critical to achieving successful results
7 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically
8 Create a sense of common purpose
9 Identify the strengths, weaknesses, opportunities and threats to current and future work
10 Identify systemic issues and seek to mitigate their impact on performance
11 Anticipate likely future scenarios based on a realistic analysis of trends and developments
12 Test a variety of options before taking a decision

## Knowledge and understanding

**You need to know and understand:**

K1 How to engage appropriate people in your organisation and other key stakeholders in developing business continuity plans and arrangements.
K2 Current legislation, guidance and standards relevant to business continuity management.
K3 The legislation, regulations and related guidance relevant to information sharing.
K4 How to confirm the aim, scope and objectives of business continuity plans and arrangements.
K5 The importance of involving relevant stakeholders in the business continuity planning process and recognising their requirements and expectations.
K6 The potential impact of disruption or emergencies on the organisation.
K7 How to analyse the impact of disruptions or emergencies on the business.
K8 Local arrangements for managing emergencies.
K9 How to identify aspects of business continuity planning which can be addressed by training or exercising.
K10 How to plan for provision of relevant resources in the event of a business disruption or emergency.
K11 The information needs following a business disruption or emergency.
K12 How to identify critical and non-critical functions of the organisation.
K13 The organisation's structure, governance and business processes.
K14 The organisation's priorities for processes or service delivery.
K15 Methods of raising awareness of business continuity plans and arrangements.
K16 The importance of obtaining ownership of plans and arrangements at the appropriate level.
K17 The importance of developing a business continuity management culture within an organisation.
K18 How and why business continuity plans must be systematically reviewed.

# Unit 410 Engage people in change

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 8 |
| **Unit aim:** | This unit is about engaging people – both those within your organisation and other stakeholders who are affected – in change processes. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are responsible for change processes across the organisation or in their particular area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Communicating
- Consulting
- Empathising
- Empowering
- Evaluating
- Innovating
- Involving others
- Monitoring
- Obtaining feedback
- Persuading
- Presenting information
- Problem solving
- Reflecting
- Reporting
- Stress management
- Team building
- Valuing and supporting others

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate people within your organisation and other key stakeholders to suggest innovations and improvements to products/services, processes, systems, structures, roles and cultures.

P2 Communicate the business case for change, clearly specifying both the benefits and costs/risks.

P3 Provide opportunities for people within your organisation and other key stakeholders to discuss the business case for change, provide feedback, express any concerns and make suggestions.

P4 Engage people within your organisation and other key stakeholders in planning change, identifying their specific roles and responsibilities and evaluating how the change will affect them.

P5 Engage people involved in the change process in identifying any training or support they will need and how and when these will be provided.

P6 Communicate regularly with people within your organisation and other key stakeholders about progress on the change process, clearly specifying how it affects them and any actions required of them.

P7 Discuss progress directly with those involved, considering ways of overcoming any difficulties and inviting suggestions for improving the change process.

P8 Monitor people's engagement with and responses to the change process.

P9 Provide people with the training, support and encouragement, they require.

P10 Communicate the results of the change process to people within your organisation and other key stakeholders, recognising the contributions and cooperation of those involved and affected by the change.

P11 Evaluate people's experience of the change process and use the lessons learned to improve future change processes.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people

2 Seek opportunities to improve performance

3 Encourage, generate and recognise innovative solutions

4 Present information clearly, concisely, accurately and in ways that promote understanding

5 Keep people informed of plans and developments in a timely way

6 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns

7 Make time available to support others

8 Support others to make effective use of their abilities

9 Recognise the achievements and success of others

10 Reflect on your experiences and use the lessons to guide your decisions and actions

11 Communicate clearly the value and benefits of a proposed course of action

12 Recognise stakeholders' needs and interests and manage these effectively

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 How to engage employees and other stakeholders in change processes.
K2 The principles and methods of effective communication and how to apply them.
K3 Cost-benefit analysis techniques.
K4 How to encourage people to provide feedback and respond appropriately to feedback.
K5 How to identify people's training needs.
K6 How to identify and provide the support people need to cope with change.
K7 Monitoring principles, methods, tools and techniques.
K8 How to evaluate people's experience of change and identify the lessons to be learned.

#### Industry/sector specific knowledge and understanding

K9 Consultation requirements in your sector.

#### Context specific knowledge and understanding

K10 Individuals within your area of work, their roles, responsibilities, competences and potential.
K11 The business case for change in your organisation.
K12 Obstacles to change within your organisation.
K13 Your organisation's consultation processes.
K14 Your organisation's stakeholders, their interests and expectations.

# Unit 412 Identify and justify requirements for financial resources

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 8 |
| **Unit aim:** | This unit is about identifying and justifying the financial resources required for achieving organisational objectives. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who are required to identify and justify the financial resources for their organisations or for major projects or programmes of work. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Acting assertively
- Analysing
- Communicating
- Decision-making
- Evaluating
- Involving others
- Negotiating
- Obtaining feedback
- Persuading
- Presenting information
- Problem solving
- Providing feedback
- Reflecting
- Reporting
- Risk management

## Outcome of effective performance

**You must be able to:**

P1 Engage key stakeholders in identifying and justifying requirements for financial resources.

P2 Identify methods of achieving objectives, evaluate the effectiveness and efficiency of feasible methods and select the optimal method.

P3 Calculate the estimated costs of the activities and overheads required to achieve objectives by the optimal method.

P4 Prepare the business case for your requirements for financial resources, clearly specifying:

- P4.1 objectives to be achieved
- P4.2 benefits of achieving these objectives
- P4.3 proposed method
- P4.4 timescales for activities
- P4.5 costs involved
- P4.6 assumptions made
- P4.7 risks and how these will be managed
- P4.8 evaluation arrangements
- P4.9 any alternative options considered but rejected as sub-optimal.

P5 Prepare alternative options for achieving objectives, in case your budget requirements are not approved.

P6 Present your business case to those with decision-making responsibility for budgets, providing any further information or rationale required.

P7 Argue your business case robustly, engaging the support of key stakeholders, where appropriate.

P8 Seek approval for alternative options in situations where your original business case for budget requirements is not accepted.

P9 Seek feedback on your presentation of the business case from those with decision-making responsibility for budgets and use this feedback to improve future proposals.

P10 Communicate the decision on your budget requirements to key stakeholders, explaining the reasons for any changes or alternative options adopted.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly

2 Find practical ways to overcome obstacles

3 Present information clearly, concisely, accurately and in ways that promote understanding

4 Balance risks against the benefits that may arise from taking risks

5 Identify and seize opportunities to obtain resources

6 Take repeated or different actions to overcome obstacles

7 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

8 Act within the limits of your authority communicate clearly the value and benefits of a proposed course of action
9 Use a range of legitimate strategies and tactics to influence people
10 Work towards win-win solutions
11 Respond positively and creatively to setbacks
12 Identify the range of elements in a situation and how they relate to each other
13 Specify the assumptions made and risks involved in understanding a situation
14 Test a variety of options before taking a decision

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage stakeholders in identifying and justifying requirements for financial resources.
K2 The principles and methods of effective communication and how to apply them.
K3 Planning principles and methods and how to apply them.
K4 How to identify and select optimal methods for achieving objectives.
K5 How to calculate fixed and variable costs of activities.
K6 Cost-benefit analysis techniques.
K7 Decision-making techniques.
K8 What a business case should cover and how to develop a convincing business case.
K9 How to present and argue a business case.
K10 The importance of identifying assumptions made.
K11 How to identify and manage risks.
K12 Negotiation techniques and how to apply them.
K13 The importance of developing alternative solutions as fallback positions.
K14 The importance of obtaining feedback on your presentation of the business case and how to use this feedback to improve future proposals.

### Industry/sector specific knowledge and understanding

K15 Legal, regulatory and ethical requirements in your sector.

### Context specific knowledge and understanding

K16 Individuals in your area of work, their roles, responsibilities, competences and potential.
K17 Your organisation's key stakeholders and their interests.
K18 Your organisation's strategic objectives.
K19 The objectives you are responsible for achieving.
K20 Those with budgetary responsibility in your organisation.

# Unit 512 Manage information, knowledge and communication systems

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 8 |
| **Unit aim:** | This unit is about managing information, knowledge and communication systems for your organisation or your area of responsibility. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who have responsibility to manage information, knowledge and communication systems across their organisation or area of responsibility. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Communicating
- Decision-making
- Evaluating
- Forecasting
- Information management
- Involving others
- Monitoring
- Obtaining feedback
- Planning
- Presenting information
- Questioning
- Reviewing

## Outcome of effective performance

**You must be able to:**

P1 Engage appropriate colleagues and other key stakeholders in developing, implementing and maintaining information, knowledge and communication systems.

P2 Establish the current and likely future information, knowledge and communication needs of people within your organisation or area of responsibility and other key stakeholders.

P3 Establish the levels of security required for information, knowledge and communication systems.

P4 Evaluate the capability and capacity of existing information, knowledge and communication systems to meet current and likely future needs, and identify changes and enhancements required.

P5 Evaluate the capability of technologies and suppliers to meet current and likely future information, knowledge and communication needs.

P6 Select technologies and suppliers capable of meeting current and likely future information, knowledge and communication needs to the level of security required within resource constraints.

P7 Establish the need for new or modified protocols to allow information, knowledge and communication systems to be used effectively and securely and make these available.

P8 Evaluate the training and on-going support required to enable people to use information, knowledge and communication systems effectively, efficiently and securely.

P9 Develop and implement plans to introduce changes and enhancements to information, knowledge and communication systems that minimise adverse impacts on business activities and enable people to benefit from the changes and enhancements as soon as possible.

P10 Provide user training and on-going support required.

P11 Ensure maintenance and updating of information, knowledge and communication systems is carried out as required.

P12 Monitor the security of systems and their effectiveness in meeting people's information, knowledge and communication needs, and take effective action to address any problems.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly

2 Identify people's information needs

3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

4 Identify people's preferred ways of communicating

5 Use communication media and styles appropriate to different people and situations

6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

7 Protect the confidentiality and security of information

8 Make appropriate information and knowledge available promptly to those who need it and have a right to it

9 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically
10 Encourage others to share information and knowledge within the constraints of confidentiality
11 Take timely decisions that are realistic for the situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage colleagues and stakeholders in managing information, knowledge and communication systems.
K2 How to gather and analyse data about people's information, knowledge and communication needs.
K3 Principles, methods, tools and techniques for keeping information, knowledge and communication secure and how to establish appropriate security levels and approaches.
K4 How to evaluate current information, knowledge and communication systems and their capability and capacity to meet future needs.
K5 Information, knowledge and communication technologies, their features and benefits for your needs.
K6 Suppliers of information, knowledge and communication technologies and their capabilities.
K7 Legal requirements relating to data protection and data ownership.
K8 How to develop protocols to allow information, knowledge and communication systems to be used effectively and securely.
K9 Training and support in the use of information, knowledge and communication systems that people need.
K10 Change management principles, methods, tools and techniques.
K11 How to establish the requirements for system maintenance and updating.
K12 How to monitor the effectiveness of information, knowledge and communication systems to identify and take action to address problems.

### Industry/sector specific knowledge and understanding

K13 Industry standards in information, knowledge and communication systems.

### Context specific knowledge and understanding

K14 Individuals and groups in your organisation and their information, knowledge and communication needs.
K15 Your organisation's current information, knowledge and communication systems.
K16 The levels of security of information, knowledge and communication required by your organisation.
K17 The levels of security appropriate for different users of your organisation's information, knowledge and communication systems.
K18 Your organisation's business activities and processes.

# Unit 428 Bid for contracts

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 10 |
| **Unit aim:** | This unit is about bidding for contracts to supply products and services following a formal tendering process. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is for managers and leaders who, as part of their role, are required to bid for contracts to supply products and services. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Evaluating
- Information management
- Innovating
- Involving others
- Negotiating
- Networking
- Obtaining feedback
- Persuading
- Planning
- Presenting information
- Prioritising
- Reviewing
- Thinking strategically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Engage people within your organisation and other key stakeholders in obtaining contracts to supply products and services.

P2 Maintain systems to identify opportunities to tender to supply products and services.

P3 Carry out targeted research amongst existing and potential customers to identify opportunities to tender to supply products and services.

P4 Evaluate your organisation's capacity and capability to respond to opportunities to tender to supply products and services credibly and competitively.

P5 Collaborate on tenders with other organisations with complementary capabilities, where appropriate.

P6 Prepare tenders in line with customers' requirements, emphasising your organisation's capacity and capability and the unique features and potential benefits of your products and services.

P7 Prepare financial quotations that take account of your organisations' financial objectives, the customer's ability to pay and your estimates of competitors' quotations.

P8 Present your tender clearly and convincingly, anticipating or pre-empting any queries and objections.

P9 Evaluate potential trade-offs, whereby particular aspects of your offer might be enhanced whilst others of lesser importance might be reduced, which will be beneficial both to the customer and to your organisation.

P10 Respond to any queries or objections and check the customer understands and accepts your response.

P11 Negotiate contracts that meet both the customer's and your organisation's requirements.

P12 Ensure formal agreements are drawn up and signed which meet legal requirements.

P13 Obtain specific feedback from customers to help you understand how you can improve, in cases where you fail to obtain contracts.

P14 Review the tendering process with those involved and use the lessons learned to be more effective in the future.

## Behaviours which underpin effective performance

1 Encourage, generate and recognise innovative solutions

2 Find practical ways to overcome obstacles

3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

4 Present information clearly, concisely, accurately and in ways that promote understanding

5 Demonstrate a clear understanding of different customers and their real and perceived needs

6 Develop and tailor products and services to ensure customers' needs are met

7 Encourage and welcome feedback from others and use this feedback constructively

8 Seek out and act on new business opportunities

9 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

10 Prioritise objectives and plan work to make the effective use of time and resources
11 Seek to understand people's needs and motivations
12 Communicate clearly the value and benefits of a proposed course of action
13 Work towards 'win-win' solutions
14 Identify and work with people and organisations that can provide support for your work

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage people within your organisation and other stakeholders in obtaining contracts to supply products and services.
K2 How to conduct research to identify sales opportunities.
K3 How to prepare tenders which emphasise your organisation's capacity and capability and the unique features and benefits of your products and services.
K4 How to calculate the cost of supplying products and services and prepare competitive financial quotations.
K5 How to present tenders clearly and convincingly.
K6 The importance of anticipating customers' queries or objections, and how to do so.
K7 The importance of identifying trade-offs, and how to do so.
K8 Principles and methods of effective communication and how to apply them.
K9 Principles and methods of negotiation and how to reach agreements that meet both the customer's and your organisation's requirements.
K10 What agreements to supply products and services should cover and how to draw these up.
K11 The importance of seeking feedback from customers to improve future tenders.
K12 The importance of reviewing the tendering process and identifying the lessons to be learned.

### Industry/sector specific knowledge and understanding

K13 Industry/sector requirements, guidelines and codes of practice for procurement.

### Context specific knowledge and understanding

K14 Individuals within your area of work, their roles, responsibilities, competences and potential.
K15 Your organisation's key stakeholders and their interests.
K16 Your organisations products and services and their features and potential benefits to customers.
K17 Your organisation's existing and potential customers.
K18 Your organisation's capacity and capability to supply products and services.
K19 Other organisations with which it would be appropriate to collaborate on tenders.
K20 Your customers' tendering requirements.
K21 Your organisation's financial objectives.
K22 Your organisation's contractual requirements.

# Unit 419 Outsource business processes

| | |
|---|---|
| **Unit level:** | SCQF 9 |
| **Credit value:** | 9 |
| **Unit aim:** | This unit is about outsourcing business processes which are not part of your organisation's core competences. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders who have strategic responsibility for outsourcing non-core business processes for their organisation, or their part of the organisation. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Communicating
- Decision-making
- Evaluating
- Monitoring
- Negotiating
- Persuading
- Presenting information
- Questioning
- Reviewing
- Risk management
- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Engage colleagues and other key stakeholders in outsourcing decisions and managing outsourcing arrangements.

P2 Analyse your organisation's core competences and identify any business processes which are non-core.

P3 Assess the potential benefits, costs, disadvantages, risks and legal and ethical implications of outsourcing non-core processes.

P4 Make a detailed and convincing business case for outsourcing non-core processes.

P5 Address the human resource implications of outsourcing, including any redundancy, redeployment, training and development, and cultural issues.

P6 Identify and evaluate potential vendors to which you could outsource the process.

P7 Invite potential vendors to tender against a clear specification of your requirements and select the vendor which best meets your criteria.

P8 Work with legal specialists to negotiate and agree an outsourcing contract with the vendor which specifies, in detail, the volume and level of service to be provided, payment terms and how the vendor's performance will be monitored.

P9 Communicate the outsourcing plans clearly and effectively, both internally and externally as required, monitoring reactions carefully and addressing people's concerns.

P10 Develop with the vendor a detailed plan to transfer the business process to them including contingency plans to manage risks.

P11 Work closely with the vendor to transfer the business process to them, addressing any emerging issues promptly and effectively.

P12 Monitor the vendor's ongoing performance in line with the contract, promptly and effectively addressing any anomalies that occur.

P13 Review the outsourcing arrangement at agreed points and in the event of significant changes in the operating environment.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance

2 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

3 Present information clearly, concisely, accurately and in ways that promote understanding

4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

5 Clearly agree what is expected of others and hold them to account

6 Monitor the quality of work and progress against plans and take appropriate corrective action, where necessary

7 Work towards win-win solutions

8 Take account of the internal and external politics that impact on your own area of work

9 Identify and work with people and organisations that can provide support for your work

10 Clarify your own and others' expectations of relationships

11 Identify the range of elements in a situation and how they relate to each other

12 Specify the assumptions made and risks involved in understanding a situation

13 Take timely decisions that are realistic for the situation

## Knowledge and understanding

### You need to know and understand:

General knowledge and understanding

K1 How to engage colleagues and stakeholders in outsourcing decisions and managing outsourcing arrangements.

K2 The difference between core and non-core business processes.

K3 How to assess the potential benefits, costs, disadvantages, risks, and legal and ethical implications of outsourcing non-core processes.

K4 How to make a detailed and convincing business case for outsourcing non-core processes.

K5 The potential human resource implications of outsourcing, including redundancy, redeployment, training and development, and cultural issues, and how to address these.

K6 How to identify potential vendors to which you could outsource the process.

K7 How to evaluate potential vendors, including the use of relevant vendor rating systems.

K8 The importance of inviting potential vendors to tender against a clear specification of your requirements.

K9 How to evaluate and select the vendor which best meets your criteria.

K10 Techniques for negotiating and agreeing a legally-binding outsourcing contract.

K11 The importance of a legally-binding outsourcing contract with a vendor specifying in detail the volume and level of service to be provided, payment terms and how the vendor's performance will be monitored.

K12 The importance of communicating the outsourcing plans internally and externally as required, and how to do so clearly and effectively.

K13 How to monitor a vendor's performance in line with the contract, promptly and effectively addressing any anomalies that occur.

K14 The importance of working closely with the vendor to transfer the business process to them.

K15 How to identify potential risks and emerging issues when transferring the business process and how to resolve them.

K16 The importance of reviewing the outsourcing arrangement at agreed points and in the event of significant changes in the business environment.

### Industry/sector specific knowledge and understanding

K17 Industry/sector requirements for outsourcing business processes.

### Context specific knowledge and understanding

K18 Individuals in your area of work, their roles, responsibilities, competences and potential.

K19 Your organisation's key stakeholders and their interests.

K20 Your organisation's core competences.

K21 Your organisation's core and non-core business processes.

K22 Your organisation's procedures and relevant legal requirements for inviting tenders to supply your requirements.

# Unit 422 Develop understanding of your markets and customers

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about making sure that relevant and reliable information about your organisation's markets and customers is constantly available and shared. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to managers and leaders with responsibility for marketing and/or customer service |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Communicating
- Decision-making
- Evaluating
- Forecasting
- Information management
- Innovating
- Networking
- Presenting information
- Thinking strategically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Engage people within your organisation and other key stakeholders in developing understanding of your markets and customers.

P2 Review all available data and information about your markets and customers.

P3 Carry out specific research or consult specialists, where required, to develop understanding of your markets and customers.

P4 Evaluate information on current and potential markets for your products and services to identify the characteristics that distinguish market segments.

P5 Evaluate current and potential customers to identify their behaviour, needs and expectations.

P6 Evaluate the extent to which current and potential customers' needs and expectations are being met by your organisation's or competitor's products and services.

P7 Evaluate current and potential developments in your sector, including competitors' activities.

P8 Evaluate opportunities to enter new markets and to introduce innovations that meet customers' needs.

P9 Evaluate why customers select particular products and services, either your organisation's or your competitors'.

P10 Evaluate any threats to, and weaknesses in, your organisation's products and services.

P11 Make data and information about markets and customers available to help managers take decisions.

## Behaviours which underpin effective performance

1 Seize opportunities presented by the diversity of people

2 Present information clearly, concisely, accurately and in ways that promote understanding

3 Demonstrate a clear understanding of different customers and their real and perceived needs

4 Continuously improve products and services

5 Seek out and act on new business opportunities

6 Use cost-effective, time-effective and ethical means to gather, store and retrieve information

7 Analyse and structure information to develop knowledge that can be shared

8 Make appropriate information and knowledge available promptly to those who need it and have a right to it

9 Develop systems to gather and manage information and knowledge effectively, efficiently and ethically

10 Anticipate likely future scenarios based on a realistic analysis of trends and developments

11 Identify the implications or consequences of a situation

12 Specify the assumptions made and risks involved in understanding a situation

## Knowledge and understanding

**You need to know and understand:**

**General knowledge and understanding**

K1 How to engage people within your organisation and other stakeholders in developing understanding of your markets and customers.
K2 Where you can get information about your customers and the market and the advantages and disadvantages of different sources.
K3 How you can get information on competitors or similar organisations.
K4 How to assess sources of information about your customers and the market to see how suitable they are to use.
K5 Sources of professional market research expertise.
K6 Methods of gaining customer feedback, and the costs and benefits associated with them.
K7 How to analyse, measure and assess data and turn it into information that is suitable for business purposes.
K8 Awareness of how information software products can help you collect and analyse information.
K9 The legislative and ethical restrictions relating to the collecting, storing and sharing of information.
K10 The importance of checking users' understanding of the process for collecting information and their role supporting it.
K11 The principle that customers buy products and/or services for the benefits they give them.
K12 The principle of trying to secure competitive advantage so that more customers will prefer the products and/or services of your organisation.
K13 The principles of market segmentation and why this is important.

### Industry/sector specific knowledge and understanding

K14 The sector and market in which your organisation operates.
K15 Legal and regulatory restrictions that may affect your products and/or services.
K16 Sources of specific information about the market and about the customers.

### Context specific knowledge and understanding

K17 Your organisation's products, services, technologies and processes.
K18 Opportunities for collecting existing and new information about the market and customers.
K19 The information about markets and customers that is available within your organisation, and the systems that are used for collecting and storing the information.
K20 Individuals within your area of work, their roles, responsibilities, competences and potential.
K21 Your organisation's key stakeholders and their interests.

# Unit 425 Carry out quality audits

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 6 |
| **Unit aim:** | This unit is about carrying out quality audits as part of a formal quality management system. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | The unit is relevant to quality auditors – those carrying out formal audits of compliance with quality systems. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Assessing
- Benchmarking
- Communicating
- Decision-making
- Evaluating
- Interviewing
- Involving others
- Monitoring
- Planning
- Questioning
- Reporting
- Reviewing
- Setting objectives

## Outcome of effective performance

**You must be able to:**

P1 Carry out quality audits according to a plan and schedule agreed with those requiring the audits to be carried out.

P2 Carry out quality audits in ways which enhance auditees' confidence in the quality system and their commitment to meeting and maintaining quality standards.

P3 Give auditees the required period of notice of your intention to audit.

P4 Prepare carefully to establish clearly:

- P4.1 the scope of the audit
- P4.2 the responsibilities of the auditees
- P4.3 the quality procedures that apply to their work
- P4.4 previous audit history.

P5 Clarify with auditees the purpose of the audit and the roles, responsibilities and expectations of yourself and the auditees.

P6 Carry out an investigation of the auditees' work in sufficient detail to reveal any non-conformances with relevant quality procedures.

P7 Encourage auditees to co-operate fully to achieve the purpose of the audit.

P8 Share with the auditees the results of the audit and agree appropriate corrective actions to remedy any non-conformances and the date by which the actions should be carried out.

P9 Check with auditees that corrective actions have been carried out by agreed dates.

P10 Seek advice from your manager or quality specialists if you cannot agree a non-conformance or corrective action with auditees.

P11 Promptly bring to the attention of your manager or quality specialists any non-conformances which present serious and/or immediate risks.

P12 Identify and analyse any inherent problems with processes and/or quality procedures and report your findings and any recommendations to those who need to know with an appropriate degree of urgency.

P13 Keep complete records of quality audits and make your audit reports available to authorised people.

## Behaviours which underpin effective performance

1 Seek opportunities to improve performance

2 Find practical ways to overcome obstacles

3 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

4 Present information clearly, concisely, accurately and in ways that promote understanding

5 Keep people informed of plans and developments in a timely way

6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes

7 Act within the limits of your authority

8 Refer issues outside the limits of your authority to appropriate people

9 Show integrity, fairness and consistency in decision-making

10 Clearly agree what is expected of others and hold them to account

11 Use cost-effective, time-effective and ethical means to gather, store and retrieve information

12 Make appropriate information and knowledge available promptly to those who need it and have a right to it

13 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation
14 Identify the range of elements in a situation and how they relate to each other
15 Take timely decisions that are realistic for the situation

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 Quality management principles, methods, tools, techniques and current developments in best practice.
K2 How to carry out quality audits and the importance of doing so according to an agreed plan and schedule.
K3 Different ways of carrying out quality audits to enhance auditees' confidence in the quality system and their commitment to meeting and maintaining quality standards, and the importance of doing so.
K4 The importance of giving auditees the required period of notice of your intention to audit.
K5 The importance of preparing carefully for the audit, and how to do so.
K6 The importance of communicating information clearly, concisely and accurately, and how to do so.
K7 How to carry out an investigation in sufficient detail to reveal any non-conformances.
K8 How to decide on appropriate corrective actions to remedy each non-conformance and the date by which the actions should be carried out, and the importance of agreeing this with the auditees.
K9 How to identify and analyse inherent problems with processes and quality procedures and why it is important to report your finding and recommendations with an appropriate degree of urgency.
K10 The importance of checking with auditees that corrective actions have been carried out by agreed dates, and how to do so.
K11 How to keep complete records of quality audits and the importance of making your audit reports available to authorised people.
K12 How to identify the non-conformances that present serious and/or immediate risks to individuals or to the organisation and the importance of promptly bringing this to the attention of your manager or quality specialists.

#### Industry/sector specific knowledge and understanding

K13 Industry/sector requirements for quality management and auditing.

#### Context specific knowledge and understanding

K14 The culture and quality management systems in place in the organisation in which the audit is being carried out.
K15 The customers of the audit – those requiring the audit to be carried out – and their needs.
K16 The responsibilities of the auditees and the quality procedures that apply to their work.
K17 Sources of advice, guidance and support from your manager and/or quality specialists if you cannot agree a non-conformances or corrective action with auditees.
K18 The limits of your own knowledge, skills and competence.

K19 Your organisation's policies and procedures for keeping full and accurate records.
K20 The authorised personnel who should receive your audit reports.

# Unit 427 Manage the marketing of products and services

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 6 |
| **Unit aim:** | This unit is about managing the marketing of products and services for which you are responsible. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | The unit is relevant to managers and leaders with responsibility to market products or services to identified groups of customers. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Decision-making
- Evaluating
- Information management
- Involving others
- Monitoring
- Obtaining feedback
- Planning
- Presenting information
- Problem solving
- Setting objectives
- Thinking strategically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Engage people within your organisation and other key stakeholders in marketing products and services.

P2 Evaluate existing and potential markets, market segments and customers for your products and services.

P3 Evaluate competitors' products and services to identify the unique features and potential benefits of your products and services.

P4 Evaluate competitors' pricing, promotion and distribution strategies for their products and services.

P5 Implement pricing strategies that take account of:

- P5.1 the features and potential benefits of your products and services,
- P5.2 customers' ability and willingness to pay, and
- P5.3 competitors' pricing strategies.

P6 Implement reliable and cost-effective distribution strategies to make your products and services available to customers.

P7 Implement cost-effective strategies to promote your products and services to customers, emphasising their unique features and potential benefits.

P8 Ensure those involved in selling your products and services are fully briefed on their unique features and potential benefits and committed to achieve target sales.

P9 Monitor demand for your products and services systematically.

P10 Adapt your pricing, distribution and promotional strategies in response to variances in demand and feedback from customers and those involved in selling.

## Behaviours which underpin effective performance

1 Recognise changes in circumstances promptly and adjust plans and activities accordingly

2 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

3 Present information clearly, concisely, accurately and in ways that promote understanding

4 Keep people informed of plans and developments in a timely way

5 Demonstrate a clear understanding of different customers and their real and perceived needs

6 Develop and tailor products and services to ensure customers' needs are met

7 Balance the diverse needs of different customers

8 Continuously improve products and services

9 Seek out and act on new business opportunities

10 Show integrity, fairness and consistency in decision making

11 Make effective use of existing sources of information

12 Check the accuracy and validity of information

13 Communicate clearly the value and benefits of a proposed course of action

14 Present ideas and arguments convincingly in ways that engage people

15 Identify the range of elements in a situation and how they relate to each other

16 Take timely decisions that are realistic for the situation

## Knowledge and understanding

### You need to know and understand:

#### General knowledge and understanding

K1 How to engage people within your organisation and other key stakeholders in marketing products and services.

K2 How to evaluate competitors' products and services in order to identify the unique features of your products and services and the unique benefits they offer to customers.

K3 How to develop competitive pricing strategies.

K4 How to develop distribution strategies to make your products and services available to customers cost-effectively.

K5 How to promote your products and services to customers cost-effectively.

K6 How to train and motivate a sales force.

K7 How to monitor demand for your products/services and to adapt them in response to variances in demand.

K8 How to use feedback from customers and your sales force to optimise your product/service, pricing, distribution, promotion and sales strategies.

#### Industry/sector specific knowledge and understanding

K9 Industry/sector requirements for managing the marketing of products/services.

#### Context specific knowledge and understanding

K10 Individuals within your area of work, their roles, responsibilities, competences and potential.

K11 Your organisation's key stakeholders and their interests.

K12 Your organisation's products/services, their features and potential benefits.

K13 Your organisation's actual and potential competitors, their products/services, pricing, distribution, promotion and sales strategies.

K14 The capacity and capabilities of your sales force.

# Unit 426 Manage the development of products and services

| | |
|---|---|
| **Unit level:** | SCQF 10 |
| **Credit value:** | 6 |
| **Unit aim:** | This unit is about managing the development of products and/or services for which you are responsible. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | The unit is relevant to managers and leaders with responsibility to provide products or services for identified groups of customers. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Assessing
- Communicating
- Evaluating
- Forecasting
- Influencing
- Innovating
- Involving others
- Monitoring
- Persuading
- Planning
- Presenting information
- Reviewing
- Thinking creatively
- Thinking strategically
- Thinking with a focus on customers

## Outcome of effective performance

**You must be able to:**

P1 Engage people within your organisation and other key stakeholders in developing products and services.

P2 Identify the products and services required by existing and potential customers, and the features and potential benefits of these products and services.

P3 Evaluate the extent to which your current products and services meet existing and potential customers' requirements.

P4 Evaluate the extent to which any competitors are meeting, or could meet, existing and potential customers' requirements.

P5 Identify, and assess the feasibility of, potential amendments or additions to your products and services, in order to meet existing and potential customers' requirements better.

P6 Make the business case for amendments or additions to your products and services, showing:

- P6.1 how they contribute to your organisation's objectives
- P6.2 the investment required, and
- P6.3 the forecast return on investment.

P7 Coordinate the development of those products and services which offer sufficient return on investment, in line with your organisation's objectives.

P8 Monitor demand for your products and services and adapt them in response to variances in demand and feedback from customers and those involved in selling.

## Behaviours which underpin effective performance

1 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding

2 Present information clearly, concisely, accurately and in ways that promote understanding

3 Keep people informed of plans and developments in a timely way

4 Demonstrate a clear understanding of different customers and their real and perceived needs

5 Develop and tailor products and services to ensure customers' needs are met

6 Balance the diverse needs of different customers

7 Continuously improve products and services

8 Make effective use of existing sources of information

9 Present ideas and arguments convincingly in ways that engage people

10 Identify the range of elements in a situation and how they relate to each other

11 Take timely decisions that are realistic for the situation

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 How to engage people within your organisation and other stakeholders in developing products and services.

K2 How to identify the products/services required by existing and potential customers, and the features and potential benefits of these products/services.

K3 How to evaluate the extent to which your current products/services meet existing and potential customers' requirements.

K4 How to evaluate the extent to which any competitors are meeting, or could meet, existing and potential customers' requirements.

K5 How to assess the feasibility of potential amendments or additions to your products/services to better meet existing and potential customers' requirements.

K6 How to make a business case for amendments or additions to your products/services, showing how they contribute to your organisation's objectives, the investment required and the forecast return on investment.

K7 The importance of co-ordinating the development of those products/services which offer the best return on investment, in line with your organisation's objectives, and how to do so.

K8 How to monitor demand for your products/services and to adapt them in response to variances in demand.

### Industry/sector specific knowledge and understanding

K9 Industry/sector requirements for managing the development of products/services.

### Context specific knowledge and understanding

K10 Your organisation's products/services, their features and potential benefits.

K11 Your organisation's existing and potential customer base and their real and perceived needs.

K12 Your organisation's actual and potential competitors of your products/services and their activities.

K13 Sources of ideas for potential amendments or additions to your products/services.

K14 Your organisation's aims and objectives relevant to your area of responsibility.

K15 Individuals within your area of work, their roles, responsibilities, competences and potential.

K16 Your organisation's key stakeholders and their interests.

# Unit 513 Implement and evaluate strategic business plans

| | |
|---|---|
| **Unit level:** | SCQF 11 |
| **Credit value:** | 12 |
| **Unit aim:** | This unit is about putting strategic business plans into action by engaging and delegating to others, monitoring progress and making adjustments along the way. It also includes evaluating the extent to which strategic objectives have been achieved, learning lessons, celebrating success and recognising people's contributions. |
| **Relationship to NOS:** | National Occupational Standards for Management and Leadership |
| **Who is the unit for?** | This unit is relevant to senior managers and leaders who are responsible for implementing and evaluating strategic business plans. |

## Skills

Listed below are the main generic 'skills' which need to be applied in allocating and monitoring the progress and quality of work in your area of responsibility. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Analysing
- Communicating
- Consulting
- Delegating
- Evaluating
- Influencing
- Innovating
- Involving others
- Leadership
- Leading by example
- Monitoring
- Networking
- Persuading
- Planning

- Presenting information
- Problem solving
- Reviewing
- Risk management
- Thinking strategically

## Outcome of effective performance

**You must be able to:**

P1 Communicate your strategic business plan to people in your organisation and other key stakeholders in ways that engage their understanding and support.

P2 Delegate responsibilities for achieving strategic objectives to individuals and gain their commitment to these.

P3 Make available the resources required to achieve the objectives in your strategic business plan.

P4 Hold individuals to account for the achievement of the strategic objectives delegated to them and require them to explain variances and propose action to address significant variances.

P5 Provide advice, guidance and support towards achieving strategic objectives, when required.

P6 Demonstrate your personal commitment by taking a leading role in the achievement of key strategic objectives.

P7 Evaluate risks to the achievement of strategic objectives and take timely and effective action to mitigate risks.

P8 Review the strategic business plan at regular intervals and in light of significant changes in the operating environment to ensure it remains capable of delivering the organisation's objectives within agreed timescales.

P9 Use agreed methods and measures to monitor implementation of your plan.

P10 Evaluate variances from your plan and the reasons for significant variances.

P11 Adjust your plan or the deployment of people and resources to take account of significant variances, availability of people and resources or changes in your organisation's operating environment.

P12 Inform the people involved of adjustments to your plan and help them make changes to their own plans.

P13 Evaluate and agree with people in your organisation and other key stakeholders the extent to which the objectives in your strategic business plan have been achieved.

P14 Celebrate the achievement of strategic objectives and recognise the contributions of those involved.

P15 Analyse the reasons for any shortfalls in the achievement of strategic objectives and use the lessons to inform the development and implementation of future strategic business plans.

## Behaviours which underpin effective performance

1 Seek to turn unexpected events into opportunities rather than threats

2 Recognise changes in circumstances promptly and adjust plans and activities accordingly

3 Seek opportunities to improve performance
4 Present information clearly, concisely, accurately and in ways that promote understanding
5 Take repeated or different actions to overcome obstacles
6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
7 Clearly agree what is expected of others and hold them to account
8 Monitor the quality of work and progress against plans and take appropriate corrective action, where necessary
9 Seek to understand people's needs and motivations
10 Create a sense of common purpose
11 Present ideas and arguments convincingly in ways that engage people
12 Respond positively and creatively to setbacks
13 Recognise stakeholders' needs and interests and manage these effectively
14 Work towards a clearly defined vision of the future
15 Take and implement difficult and/or unpopular decisions, if necessary

## Knowledge and understanding

**You need to know and understand:**

### General knowledge and understanding

K1 Principles and methods of strategic management and business planning.
K2 The importance of communicating the plan to people and ensuring understanding and how to do so effectively.
K3 Principles and methods of delegation.
K4 How to hold people to account for the achievement of objectives.
K5 How to monitor and review implementation of and performance against the plan.
K6 How to assess and manage risk.
K7 The importance of demonstrating your personal commitment to the plan and how to do so.
K8 How to further develop and adjust the plan in the light of variances.
K9 How to adjust the way you deploy people and resources to implement the plan.
K10 The importance of identifying ways in which future planning can be improved.
K11 How to evaluate the achievement of the vision and strategic objectives and identify the lessons to be learned.

### Industry/sector specific knowledge and understanding

K12 Legal, regulatory and ethical requirements in your sector.
K13 Trends and developments in your sector at local, national and international levels.

### Context specific knowledge and understanding

K14 The agreed strategic business plan for your organisation.
K15 Customer feedback, financial and other management information.
K16 Your organisation's structure and business processes.
K17 Your organisation's culture.
K18 Colleagues and other key stakeholders, and their needs and expectations.

K19 The people and resources needed to achieve your organisation's strategic objectives.
K20 The processes for communication within your organisation.
K21 Your organisation's vision and strategy.
K22 Trends and developments in your organisation's operating environment.
K23 Threats to achieving your organisation's vision and strategy.
K24 Appropriate ways of celebrating the achievement of your organisation's strategic objectives.

# Appendix 1 Relationships to other qualifications

This qualification has connections to the:
8385-03 SVQ in Management at SCQF Level 7
8386-04 SVQ in Management at SCQF Level 9

# Appendix 2 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to the **Centres and Training Providers homepage** on **www.cityandguilds.com.**

**City & Guilds Centre Manual** contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification, as well as updates and good practice exemplars for City & Guilds assessment and policy issues. Specifically, the document includes sections on:

- The centre and qualification approval process
- Assessment, internal quality assurance and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Management systems
- Maintaining records
- Assessment
- Internal quality assurance
- External quality assurance.

Our **Quality Assurance Requirements** encompasses all of the relevant requirements of key regulatory documents such as:

- SQA Regulatory Principles Version 2 (December 2014)
- NVQ Code of Practice

  and sets out the criteria that centres should adhere to pre and post centre and qualification approval.

**Access to Assessment & Qualifications** provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The centre homepage section of the City & Guilds website also contains useful information on such things as:

- Walled Garden: how to register and certificate candidates on line
- Events: dates and information on the latest Centre events
- Online assessment: how to register for e-assessments.

**Centre Guide – Delivering International Qualifications** contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification. Specifically, the document includes sections on:

- The centre and qualification approval process and forms
- Assessment, verification and examination roles at the centre
- Registration and certification of candidates
- Non-compliance

- Complaints and appeals
- Equal opportunities
- Data protection
- Frequently asked questions.

## *Linking to this document from web pages*

We regularly update the name of documents on our website, therefore in order to prevent broken links we recommend that you link to our web page that the document resides upon, rather than linking to the document itself.

# Appendix 3 Glossary

## Key words and concepts

This is a summary of the key words and concepts as used across the Management and Leadership standards. The definitions have been generalised and may not be identical to those given in individual units.

*Activities*
actions, processes, operations or services in the workplace which must be carried out in order to achieve objectives

*Allocating work*
giving teams and individuals responsibility for tasks which should achieve agreed work objectives

*Assessment*
the process by which managers are judged as to whether they are competent against the Management and Leadership standards

*Assessor*
a person who undertakes the formal assessment and evaluation of managers' evidence against the Management and Leadership standards in order to judge whether they are competent

*Audit*
examining processes to check whether they are consistent with quality standards, systems and procedures

*Auditees*
those whose compliance with quality standards, systems and procedures is being examined

*Benefits*
positive results from the use of resources, for example: improved effectiveness and efficiency, better results for the customer

*Confidentiality*
only providing information to those who are authorised to have it

*Colleagues*
people working at the same level as the manager, or at a higher or lower level, either in the manager's organisation or in other organisations

*Competence*
the ability to perform in the workplace to the standards required

*Compliance*
meeting the required quality standards, specifications and procedures

*Consultation*
asking others for their views and involving them openly in decision making

*Contributions*
ideas and information which people want or need to raise

*Control system*
a system which ensures products and services are delivered within agreed specifications

*Corrective action*
action taken to remedy a situation when actual differs from plan

*Customer*
the person(s), organisation(s) or department(s), either inside or outside the organisation for whom the manager is providing services or products

*Development activities*
any activities undertaken to develop skills, such as carrying out work-based projects or assignments, observing an expert colleague at work, reading books and specialist journals, undertaking open learning or computer-based training, attending training courses or conferences

*Development needs*
gap between the demands of the person's job (both now and in the foreseeable future) and their current level of skills

*Development plan*
plan which identifies desired level of skills and the activities to be undertaken in order to reach this level, with a time-scale

*Digressions*
discussions or contributions which wander away from the purpose

*Disciplinary procedures*
procedures, which form part of the contract of employment, which must be followed in the event of sub-standard work or gross misconduct; these procedures normally involve a process of verbal and written warnings and, eventually, dismissal

*Discrepancies*
differences between actual practice and agreed procedures

*Energy sources*
all sources of energy, such as electricity, gas, oil, solid fuels, nuclear, and renewable sources

*Ensuring consistency in product and service delivery*
making sure that products and services continuously meet the standards agreed in the organisation and with customers

*Environment*
physical conditions both inside and outside the organisation

*Equal access*
giving every member of the team the same opportunity to be involved in activities or to use resources

*EU*
European Union

*Evaluation*
a balanced assessment of people's work and behaviour

*Evidence requirements*
the evidence people must show to prove to a SVQ assessor that they are competent

*Examples of evidence*
some examples of the sort of evidence which can be used to show that managers are competent

*Feedback on performance*
information given to team members on how well they are performing against the objectives which have been agreed

*Formative assessment*
assessment which takes place during a period of development or performance

*Grievance procedures*
procedures, which form part of the contract of employment, which must be followed in the event of a team member having a serious complaint against the organisation or someone in it; these procedures normally involve a process of appeals to higher level managers

*Impact on the environment*
positive or negative effects on the environment which may result from the use of resources

*Improvements*
changes to work conditions or practices designed to improve efficiency or effectiveness

*Individuals*
colleagues or team members with whom the manager works

*Individual aspirations*
the personal wishes of individuals to improve their performance at work, their career prospects or their personal circumstances

*Knowledge and understanding*
what people need to know and understand in order to perform to the Management and Leadership standards

*Legal requirements*
laws relevant to the quality of products, services or processes

*Management and Leadership Standards*
national benchmarks which define the standard of performance expected of team leaders and managers

*Meetings*
coming together with other people to give them information, consult with them or reach decisions

*Monitoring*
keeping a close eye on how resources are being used and comparing this with budgets and other plans

*Objectives*
predefined results which are specific, measurable, agreed with others, realistic and time-bound

*Opportunities*
developments, either inside or outside the organisation, which could have a positive impact on work or plans if appropriate action is taken

*Organisation*
the organisation for which the manager works

*Organisational constraints*
the organisation's policies, objectives and level of resources, which limit freedom to take decisions and action

*Organisational requirements*
the policies, guidelines, systems and procedures of the organisation which are relevant to work activities

*Process*
series of actions carried out in a specific order to achieve a particular result

*Performance criteria*
criteria to assess if the manager's performance meets the National Standard

*Personnel*
all the people working for the organisation; these may be internal or external workers, permanent or temporary, fulltime or part-time, paid or voluntary

*Planning*
deciding what to do, when, in what order, and who to get involved; plans may be short-term (over the next day, week or month), medium-term (over the next few months) or long term (over a year or more)

*Plans*
documents, or spoken agreements, which describe the work to be carried out, when, by whom, to what standard and with what resources, in order that requirements and objectives can be met

*Policies*
rules which govern the use of resources, for example: planning policies, policies governing the supply of equipment and materials, health and safety policies, environmental policies

*Problems affecting team members' performance*
problems at work which may be caused either by work-related factors or external factors from the team members' personal life

*Procedure*
an agreed way of carrying out an activity or process

*Prioritisation*
deciding the relative importance and urgency of objectives and tasks, and deciding in which order to tackle them

*Quality*
the standard of product or service needed by the customer

*Quality systems*
formal structures of techniques to make sure products and services consistently meet the standard required by the customer

*Recommendations*
requesting budget allocations or proposing the supply of resources needed to achieve objectives; suggesting new methods of using available resources to improve effectiveness and efficiency

*Regulators*
people empowered by government to regulate an industry

*Relevant people*
team members, colleagues working at the same level, higher level managers or sponsors, specialists, customers and suppliers

*Requirements*
the outputs of work agreed with customers, specified in terms of quality, quantity, delivery and health and safety

*Resource constraints*
limitations on the amount of equipment, materials, services, supplies, finance, energy, premises and time

*Resources*
equipment, materials, services, supplies, finance, energy, premises and time

*Respect for individuals*
the open acknowledgement that individuals have the right to their own views, actions and development as long as these do not unduly constrain the rights of others

*Reviewing*
looking back over what has happened, in order to adjust plans (or expectations), if necessary, and learn the lessons from the past

*Schedules*
documents showing the work to be done, when and, sometimes, by whom

*Scottish Vocational Qualification (SVQ)*
a certificate, awarded in Scotland, which is proof that the holder performs to the National Standard in the area covered

*Selection criteria*
criteria, derived from a job specification, against which to assess job applicants in a fair and objective way

*Standards of behaviour*
the types of behaviour which are acceptable within the working environment, consistent with the values of the organisation, and sometimes described in policies

*Standards of work*
the quality of work agreed and the way that quality will be measured

*Style of leadership*
the way the team is managed so that a satisfactory result can be achieved

*Summative assessment*
assessment which takes place at the end of a period of development or performance

*Suppliers*
the person(s), organisation(s) or department(s), either inside or outside the organisation which provide services or products

*Support*
the verbal or actual support (such as time, resources or advice) which others give, and vice versa

*Support services*
specialist services, such as doctors or counsellors, which may be required to help team members solve their problems

*Systems and procedures*
methods of recording and filing information for future use which the organisation requires

*Team members*
people who work as part of a functional or project team

*Team objectives*
clearly specified results which a team needs to achieve

*Threats*
developments, either inside or outside the organisation, which have the potential to have a negative impact on work or plans if appropriate action is not taken

*Trends and developments*
changes in team, organisation and market, for example: new skills and working methods, efficiency drives, new products and services, changes in customer requirements

*Trust*
the feeling held by others that they can believe what someone says; that they will act in a consistent way, keep promises and honour commitments

*Units of competence*
the second level of functional analysis, providing broad descriptions of the different functions managers perform

*Values*
the values of the organisation which may be reflected in the organisation's mission, standards of work, relationships between individuals at work, relationships with suppliers, customers and other stakeholders, personnel management and reward systems, training, equal opportunities, health and safety and environmental policies

*Working conditions*
the circumstances in which people work ; these include the physical environment, equipment, materials and working procedures

# Appendix 4 Individual Development/Assessment Plan (Number….)

Candidate name: …… Registration no: …… Adviser/assessor: ……

Candidates should use this form to agree and track their development with their adviser/assessor. Use as many development plans as required (at least one per meeting). advisers/assessors should use this form to help candidates prioritise their development, and may also use it when observing or monitoring a workplace activity, as a witness statement to the candidate's achievements.

| Date of meeting | Development and/or actions agreed in preparation for assessment | Support required | From whom | Target date | Adviser/assessor comment on completion OR witness statement<br><br>*(Adviser/assessor to sign and date each entry)* |
|---|---|---|---|---|---|
| | | | | | |

The actions outlined above have been agreed between the adviser and candidate who have signed below

Adviser/assessor signature: …….…….. Date: ……..….. Candidate signature: …..…… Date: ……..…

Internal verifier signature: …… Internal verifier name: ……..... Date: ……

# Appendix 5 Outline Report for Workplace Evidence

Candidate name: …… Registration no: ……..…. Adviser: ……

Evidence reference: ……..……..…. Date of assessment: …… Assessor: ……..

A candidate can use this form in two ways – to plan their assessment/discussions in advance, and/or to give to their adviser/assessor as part of an oral or observed assessment in the workplace. If used for assessment, each column must contain sufficient information to maintain an audit trail of the evidence presented to the assessor.

| Description of job role, activity or responsibility | Set of evidence to be presented<br><br>*Full description, including location and types of documents included* | Brief personal statement<br><br>*Summarise main points of evidence and how competence is demonstrated* | **Outcomes and behaviours claimed**<br><br>*(in numeric order)* | Assessor use<br><br>*to indicate any tape and counter no* |
|---|---|---|---|---|
| | | | | |

**ASSESSOR DECLARATION**: *I confirm that the evidence presented meets the stated outcomes and behaviours, and every item of knowledge and understanding stated in the context of the SVQs in Team Leading/Management.*

Signature of Adviser/assessor: …… Date: ……

Internal verifier signature: …… Internal verifier name: …….. Date: ……

# Appendix 6 Unit Summary Sheet

Candidate name: ..... Registration no: ..... Unit: .....

Assessor name: ..... Internal verifier name: .....

*Evidence must meet the stated outcomes and behaviours, and the items of knowledge and understanding claimed*

| ***Evidence reference*** | ***Brief description of evidence*** | ***Outcomes*** | | | | | | | | | | | | | ***Behaviours*** | ***Knowledge &*** understanding (general; industry/sector; context) | ***Assessor/*** date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *1* | *2* | *3* | *4* | *5* | *6* | *7* | *8* | *9* | *10* | *11* | *12* | *13* | | | |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |

**Assessment decision** *(tick as appropriate)*

**Competent** ❑ **Not yet competent** ❑

**Further evidence required** ❑ **IDAP ref:**

*Note that 'not yet competent' and 'further evidence required' decisions should include a further individual development/assessment plan and adequate feedback to the candidate*

Signature of candidate: ..... Date: .....

Signature of assessor: ..... Date: .....

Signature of internal verifier ..... Date: .....

# Appendix 7 Personal Statement

Candidate name: .....Registration no: .....

| Evidence reference | • Personal statements can be useful in explaining and reflecting on your behaviour in achieving certain outcomes and why you behaved as you did, thus helping to link evidence of outcomes to behaviours and knowledge and understanding. | Write in the outcomes and behaviours and knowledge & understanding against your statements |
|---|---|---|
| | | |

| *Continued on another page?* *YES NO (circle)* | *Page no* | *Candidate signature* |
|---|---|---|

Internal verifier signature: .....

Internal verifier name: ..... Date: .....

# Appendix 8 Useful Contacts

| | |
|---|---|
| UK learners<br>General qualification information | E: learnersupport@cityandguilds.com |
| International learners<br>General qualification information | E: intcg@cityandguilds.com |
| Centres<br>Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results | E: centresupport@cityandguilds.com |
| Single subject qualifications<br>Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change | E: singlesubjects@cityandguilds.com |
| International awards<br>Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports | E: intops@cityandguilds.com |
| Walled Garden<br>Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems | E: walledgarden@cityandguilds.com |
| Employer<br>Employer solutions including, Employer Recognition: Endorsement, Accreditation and Quality Mark, Consultancy, Mapping and Specialist Training Delivery | E: business@cityandguilds.com |

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If you have a complaint, or any suggestions for improvement about any of the services that we provide, email: **feedbackandcomplaints@cityandguilds.com**

## *About City & Guilds*

As the UK's leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

## *City & Guilds Group*

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