CMI LEVEL 7 STRATEGIC MANAGEMENT AND LEADERSHIP PRACTICE

(RQF) Syllabus | June 2021 | Version 4

CMI Chartered Management Institute

VERSION CONTROL

For details in rationale to the syllabus changes please refer to appendix 3 Revisions to Document.

Document Version	Date Revisions Made
Version 4	June 2021
Version 3	March 2021
Version 2	September 2019
Version 1	July 2019

CONTENTS

UNITS

Unit Specifications

INTRODUCTION

About the Qualifications

» QUALIFICATION OBJECTIVE

These qualifications are designed for individuals wishing to develop professional management and leadership practice, and who will have the knowledge, skills and behaviours to drive business activities in a senior management and leadership role.

Role and responsibilities may also include but are not limited to taking responsibility for people, projects, operations and/or services to deliver organisational success. They will have the professionalism to deliver impact, behave ethically and demonstrate a commitment to continual learning and development.

The qualifications have been designed for practising or aspiring managers in roles such as:

- Senior Manager
- Regional Manager
- Specialist Manager (with expertise in a specific business or technical function such as quality, finance, risk, marketing, sales IT, human resources etc.)
- Director
- CEO

Extensive research has been undertaken to ensure that these qualifications reflect tasks and activities of managers in the aforementioned roles in the workplace. Sources of information include, but are not limited to:

1. Comparability to national management qualifications
2. 21st Century Leaders Paper
3. A review of the roles and responsibilities of managers sourced from a range of UK companies
4. Analysis of Apprenticeship Standard for Senior Leader Apprenticeship (ST0480)
5. Stakeholder consultation

» TITLES AND REFERENCE NUMBERS

The titles given below are the titles as they will appear on the qualification when awarded to the Learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of submission, which confirms that this is a regulated qualification on the RQF and on the Register. The CMI code is the code which should be used when registering Learners with CMI.

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

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
7A30	CMI Level 7 Award in Strategic Management and Leadership Practice	603/4833/1
7C30	CMI Level 7 Certificate in Strategic Management and Leadership Practice	603/4834/3

7D30	CMI Level 7 Diploma in Strategic Management and Leadership Practice	603/4837/9
7XD30	CMI Level 7 Extended Diploma in Strategic Management and Leadership Practice	603/7618/1

» KEY DATES

These qualifications are regulated from 1st July 2019 and the operational start date in CMI Centres is 1st July 2019. The qualification review date is 30th June 2024.

» PROGRESSION OPPORTUNITIES

Upon successful completion of their qualification, learners are able to progress to further learning within the suite of Level 7 Qualifications in Strategic Management and Leadership in Practice - i.e. completing an Award and topping-up to Certificate or Diploma.

Learners may also wish to further their ongoing personal and professional development by accessing other CMI qualifications, such as the learners may wish to further their personal and professional development by investigating the opportunity to become a Chartered Manager or enrolling on a higher level qualification with the CMI or progressing on to Higher Education study.

Learners who are wishing to develop strategic professional management and leadership practice will have knowledge, skills and behaviours to drive business activities in the following roles:

- Senior Manager
- Regional Manager
- Specialist Manager (with expertise in a specific business or technical function such as quality, finance, risk, marketing, sales IT, human resources etc.)
- Director
- CEO

» ENTRY & RECRUITMENT

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

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

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

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

- provide relevant programme information, guidance and advice, to enable informed Learner choice
- publish entry and selection criteria
- demonstrate that Learners are recruited with integrity
- carry out comprehensive Learner induction that:
    1. addresses programme and organisational requirements
    2. explains Learner facilities
    3. identifies Learners' development needs
    4. develops an Individual Learning Plan

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

QUALIFICATION STRUCTURE

Qualification Requirements and Rules of Combination

» STRUCTURES AND SPECIFICATIONS

The units within these qualifications are different to other qualifications, and so the following summarises some key features:

- Total Qualification Time (TQT). The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification. Total Qualification Time is comprised of the following two elements –
  a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
  b) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the immediate supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.
- TUT refers to Total Unit Time. TUT is set based on estimated time expected for the average learner to be taught the content via formal Guided Learning, additional informal learning and preparation and completion of assessment.
- GLH refer to Guided Learning Hours. GLH is the estimated contact time the average learner has with tutors, trainers or facilitators as part of the learning process, it includes formal learning including classes, training sessions, coaching, seminars, live webinars and telephone tutorials and e-learning which is supervised. It is important to note that this also includes assessing learner's achievements for competence based assessments.
- CRD refers to Credits which are calculated as one credit is equal to 10 hours of TUT.
- Key words highlight knowledge, skills and behaviours which will be developed
- Indicative content has been developed to support the learner to understand the aims of learning outcomes and assessment criteria. It can also be used by tutors to develop lesson plans and schemes of work. The indicative content uses two phrases:

  o '**May include but is not limited to'** – the indicative content is given as examples, which the learner may use or expand upon to complete an assessment
  o '**Refers to'** – the indicative content included must be covered by the learner to meet the requirements of assessment. This instruction applies to learners on the Apprenticeship pathway who are required to know or understand specific information stipulated in Apprenticeship Standard for Senior Leader Apprenticeship Standard (ST0480)
- Recommendations for Assessment which provides a range of suggested assessment activities for actual or aspiring managers and leaders
- Relationships to framework - the Apprenticeship Standard
- Suggested reading/web resource materials developed to compliment the unit content. The primary resource/research tool referred to is ManagementDirect

It is recommended that Learners have sight of each unit of study in preparation for assessment.

There are minimum requirements to achieve each qualification within this suite. The minimum requirements are based on the boundaries outlined in Ofqual's Guidance to the General Conditions of Recognition, namely Condition E2.

CMI Level 7 Award in Strategic Management and Leadership Practice
Learners must complete at least 1 unit to a minimum of 70 TQT hours, 7 credits to achieve this qualification, selected from units 701-716, Group A only. The minimum guided learning hours is 18.

CMI Level 7 Certificate in Strategic Management and Leadership Practice
Learners must complete any combination of units to a minimum of 140 TQT hours, 14 credits to achieve this qualification, selected from units 701-716, Group A only. The minimum guided hours is 36.

CMI Level 7 Diploma in Strategic Management and Leadership Practice
Learners must complete a combination to a minimum of 370 TQT hours, 37 credits to achieve this qualification.
Learners must achieve a minimum of 300 TQT hours, 30 credits selected from units 701-716, Group A only and 70 TQT hours, 7 credits from either Group A or B. The minimum guided learning hours is 106.

CMI Level 7 Extended Diploma in Strategic Management and Leadership Practice
Learners must complete a combination to a minimum of 640 TQT hours 64 credits to achieve this qualification.
Learners must achieve a minimum of 420 TQT hours, 42 credits selected from units 701-716, Group A only and 220 TQT hours, 22 credits from either Group A or B. The minimum guided learning hours is 196.

Unit No	Unit Title	GLH	TUT	CRD
GROUP A				
701	Strategic Leadership	36	110	11
702	Leading and Developing People to Optimise Performance	34	100	10
703	Collaboration and Partnerships	18	70	7
704	Developing Organisational Strategy	30	90	9
705	Leading Strategic Change	24	80	8
706	Finance for Strategic Leaders	32	90	9
707	Organisational Design and Development	26	80	8
708	Strategic Risk Management	24	80	8
709	Strategic Management of Data and Information	24	80	8
710	Marketing Strategy	30	80	8
711	Entrepreneurial Practice	32	90	9
712	Strategic Management Project	24	100	10
713	Applied Research for Strategic Leaders	18	70	7
714	Personal and Professional Development for Strategic Leaders	24	90	9
715	Strategic Approaches to Equality Diversity and Inclusion	24	80	8
716	Strategic Approaches to Mental Health and Wellbeing	18	70	7
GROUP B (Diploma & Extended Only)				
607	Procurement, Purchasing and Contracting	21	60	6
608	Strategic Corporate Social Responsibility and Sustainability	20	60	6

609	Leading Quality Management	25	70	7
610	Principles and Practices of Policy Development	20	60	6
612	Coaching Skills for Leaders	15	70	7
614	Principles and Practices of Ethical Decision Making	18	60	6

APPRENTICESHIP PATHWAY

Senior Leader Apprenticeship Standard Support Information

It must be noted that there is no mandated qualification required within the Senior Leader Apprenticeship Standard (ST0480).

However, the seven (7) units listed below can support training and employer providers in the development of their on-programme activities for their practising or aspiring managers who are enrolled on the Senior Leader Apprenticeship Programme in order to enable them to gain the knowledge required. This knowledge and learning must then be applied in the workplace to enable apprentices to evidence the relevant skills and behaviours for EPA.

Unit No	Unit Title	GLH	TUT	CRD
701	Strategic Leadership	36	110	11
702	Leading and Developing People to Optimise Performance	34	100	10
704	Developing Organisational Strategy	30	90	9
705	Leading Strategic Change	24	80	8
706	Finance for Strategic Leaders	32	90	9
708	Strategic Risk Management	24	80	8
714	Personal and Professional Development for Strategic Leaders	24	90	9

Learners who undertake all of these units will be eligible for the CMI Level 7 Extended Diploma in Strategic Management and Leadership Practice (640 TQT/64 credits). For more information on unit combinations and minimum qualification requirements, please refer to the Rules of Combination section on Page 9.

QUALIFICATION DELIVERY

Information for Centres

CMI does not specify the mode of delivery for its qualifications at Level 7; therefore CMI Centres are free to deliver the Level 7 qualifications using any mode of delivery that meets the needs of their Learners. However, CMI Centres should consider the Learners' complete learning experience when designing the learning programmes.

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

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

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

» ACCESSIBILITY OF CMI QUALIFICATIONS

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

Further information, please see the CMI Reasonable Adjustments Procedure and the CMI Special Consideration Procedure.

» RECOGNITION OF PRIOR LEARNING (RPL)

There may be occasions where Learners request Recognition of Prior Learning (RPL). This can be applied by Centres. Further guidance on RPL and exemptions can be found in CMI RPL policy.

ASSESSMENT & VERIFICATION

Information for Centres and Learners

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

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

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

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

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

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

- accurate, current and authentic
- relevant in depth and breadth

and must also show the Learner's:

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

» LEARNER AUTHENTICITY

Learners are required to sign and date a Statement of Authenticity. The learner statement confirms the evidence submitted is all their own work and has not been completed by a third party. Additionally the learner statement confirms the evidence provided has been completed in accordance with CMI approved instructions.

Centres are required to complete a Centre Statement of Authenticity to confirm the learner is registered on a Chartered Management Institute (CMI) programme of study.

» ASSESSMENT GRADING

The grading system for CMI qualifications is "Pass/Refer". The external moderation of Learners' work confirms that the required criteria for achievement have been met.

CMI Centres are, however, free to apply their own grade scales, but it must be understood that these are completely separate from the CMI qualification.

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

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

» SUGGESTED ASSESSMENT METHODOLOGIES

CMI do not state the assessment method for its qualifications, instead supporting Centres in creating assessment plans to suit the needs of Learners and/or Employers. It is encouraged that a range of methods are used to ensure that all Learning Outcomes and Assessment Criteria are met, and to enhance Learners' development.

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

The following table presents an overview of the type of activities that partners may use to assess each unit. Further details are provided in the 'Recommendations for Assessment' section of each unit specification.

	Written account/ assignment	Report	Scenario/ Case Study	Strategy	Work Based Evidence	Reflective Practice/ Own Experience	Presentation	Mgt Project	Plan/ proposal
701	X	X				X	X		
702		X				X			X
703	X	X					X		
704		X		X		X			
705		X				X			X
706	X	X				X			
707		X				X			X
708	X	X				X			
709		X		X		X			
710		X		X		X			
711		X	X		X				
712		X			X			X	
713		X			X				X
714		X				X			X

Unit									
715		x		x		x			
716	x	x				x			
607	x	x			x	x			
608	x	x	x		x	x	x		x
609	x	x			x	x			x
610		x			x	x			
612	x	x	x		x	x			
614	x	x			x	x			

Group assessment is not a recognised assessment method for this qualification. Learners must provide evidence that they meet the requirements of each assessment activity on their own merit.

» WORD COUNT AND APPENDICES

The written word, however generated and recorded, is still expected to form the majority of accessible work produced by Learners at Level 7. The guideline word count for units within this qualification are summarised below, and vary depending on size and content of the unit. There is a 10% allowance above/below these guidelines. For more information, please refer to the CMI Assessment Guidance Policy.

Unit No.	Unit Title	Guideline Word Count
701	Strategic Leadership	4000-4500
702	Developing and Leading People to Optimise Performance	4000-4500
703	Collaboration and Partnerships	3500-4000
704	Developing Organisational Strategy	3500-4000
705	Leading Strategic Change	4000-4500
706	Finance for Strategic Leaders	3500-4000
707	Organisational Design and Development	3500-4000
708	Strategic Risk Management	4000-4500
709	Strategic Management of Data and Information	3000-3500
710	Marketing Strategy	3500-4000
711	Entrepreneurial Practice	3500-4000
712	Leading a Strategic Management Project	4000-4500
713	Applied Research for Strategic Leaders	3500-4000
714	Personal and Professional Development for Strategic Leaders	3500-4000
715	Strategic Approaches to Equality Diversity and Inclusion	3500-4000
716	Strategic Approaches to Mental Health and Wellbeing	3500-4000
607	Procurement, Purchasing and Contracting	3500-4000
608	Strategic Corporate Social Responsibility and Sustainability	3000-3500
609	Leading Quality Management	3500-4000
610	Principles and Practices of Policy Development	3500-4000

| 612 | Coaching Skills for Leaders | 3500-4000 |
| 614 | Principles and Practices of Ethical Decision Making | 3000-3500 |

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

» EXTERNAL MARKING

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

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

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

» APPEALS AGAINST ASSESSMENT DECISIONS

In the event that a Learner wishes to appeal against an assessment decision, they can do so by following outlined procedures.

Where an assessment decision has been made by a CMI Centre, Learners must follow the Centre's own Appeals Procedure in the first instance. If this procedure has been exhausted and remains unresolved, Learners may log a Stage 2 appeal with CMI.

Where an assessment decision has been made by CMI (via External Marking or Moderation) a Learner or a Centre may log a Stage 2 appeal with CMI.

For further information, please see CMI's Enquiry and Appeals Procedure.

CMI SERVICES

Supporting CMI Qualifications

» CMI MEMBERSHIP

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

» CHARTERED MANAGER

Chartered Managers are consistent high performers, committed to current best practice and ethical standards.
A unique designation, exclusively awarded by the Chartered Management Institute, Chartered Manager embodies a professional approach to management through knowledge, competence, professional standards and commitment to continuing professional development (CPD).

To find out more about how to become a Chartered Manager please click here.

» STUDY RESOURCES

ManagementDirect
https://members.md.cmi.org.uk

It's fast, comprehensive and free to members

ManagementDirect is an online library of comprehensive and up-to-date material that addresses current management practice, supports studying and those looking to develop their skills.

- · 231 Management Checklists and 64 Management Thinker profiles

- · One page overviews of key Management Models

- · Multimedia resources – 200 Leader Videos

- · CMI research and Professional Manager articles

- · Authoritative definitions of management terms

- · Over 11,000 articles and 9000 eBooks to read online when you need them

- · Learning Journey playlists for many units giving you easy access to resources specifically selected to support your studies

- · Resources to develop your Study Skills, including factsheets on assignment writing, references and citations, learning styles, note taking and avoiding plagiarism.

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

E-journals

For in depth research try our e-journals service

CMI has joined forces with EBSCO Information Services to offer member's access to Business Source: Corporate, a database providing direct access to articles on management and business from a range of academic journals and business magazines. Members also have access to country, company and industry reports from leading providers.

Access to Business Source Corporate is through ManagementDirect.

Online CPD

CPD can take many forms, but the most important feature of any activity you undertake is that there are clear learning outcomes. In many cases these may enable you to have a direct impact at work. Our online CPD scheme enables you to record your learning objectives, the activities you have undertaken and encourages you to assess its impact in your role as a manager. It also allows you to print reports for your reviews, appraisals or interviews.

Access to CPD is through ManagementDirect.

UNITS

Summaries

» **UNIT SUMMARIES**

The below table summarises the Level 7 units:

701 Strategic Leadership	The aim of this unit is to equip leaders with an in-depth understanding of strategic leadership within an organisational context. Leaders will explore the complexities of the role and the theoretical perspectives, approaches, behaviours and skills which can enhance their professional practice. The unit focuses on the leader's ability to respond creatively to complex organisational challenges and understand how to set and deliver sustainable strategic goals.
702 Leading and Developing People to Optimise Performance	The aim of this unit is for leaders to develop an in-depth understanding of how to effectively lead and develop people. They will explore the influence and impact of leadership theories, culture, wellbeing, development and design, policy and strategy that can be used creatively within the leadership role. Ultimately, leaders will have the opportunity to propose a leadership and development strategy. The aim of which values people whilst optimising an organisation's performance.
703 Collaboration and Partnerships	The aim of the unit is for leaders to understand collaborative and partnership arrangements. Leaders will critically assess the scope and value of these, as well as evaluating the impact of organisational and legal frameworks on how these arrangements are delivered. The unit culminates in the requirement for the leader to present a rationale for collaboration or partnerships to further an organisation's success.
704 Developing Organisational Strategy	The aim of this unit is to enable leaders to know how to develop and influence an organisation's strategic direction through the development of a meaningful strategy. To support this outcome, leaders will critique the factors which drive the development of organisational strategy and appraise approaches to successfully develop strategy. The unit culminates in leaders developing an organisational strategy to achieve a business goal. To complement this activity, leaders will propose an approach to implement and monitor the strategy developed to ensure its sustained success.

705 Leading Strategic Change	The aim of this unit is for leaders to understand the scope, context and complexity of leading strategic change. Leaders will understand how the application of analytical techniques, theories and models of change, and creative problem-solving can be used to equip them to lead strategic change with confidence. The unit culminates in giving leaders the opportunity to develop a proposal to lead a strategic change.
706 Finance for Strategic Leaders	The aim of this unit is to provide leaders with an understanding of the scope, complexity and role of Finance within an organisational context. Leaders will know how to critically assess methods for analysing financial data and information required to make strategic decisions. Ultimately, the aim of this unit is to equip leaders to be more confident in their understanding of the Finance function.
707 Organisational Design and Development	The aim of this unit is to enable leaders to understand the relationship between organisational design and development and the achievement of strategic objectives. Leaders will understand the impact of current and emerging factors which influence the need for agile and adaptive organisations. On successful completion of this unit, leaders will be able to develop a proposal for sustainable organisational design and development to respond to current and emerging needs.
708 Strategic Risk Management	The aim of this unit is for leaders to develop an in-depth understanding of strategic risk management. Leaders will critically appraise strategic risk within an organisational context. They will assess strategies for risk management and the leadership skills to lead risk initiatives successfully. Ultimately, leaders will be given the opportunity to develop a framework to deliver a risk strategy in an organisational context.
709 Strategic Management of Data and Information	The aims of this unit are for leaders to see strategic management of data and information as an opportunity rather than a challenge. Leaders will understand the strategic value and use of data and information and will critique strategies for its effective management. The unit culminates in the opportunity to develop a strategy to improve the use of data and information in a strategic organisational context.
710 Marketing Strategy	The aim of this unit is to enable leaders to understand the context in which a marketing strategy is developed. Leaders will appraise theoretical frameworks and processes which inform strategic marketing. They will have the opportunity to reflect on the interrelationship between marketing and an organisation's strategic aims along with the opportunities and impact of digital marketing. Ultimately, leaders will consider how to develop a marketing strategy, which will enable organisational success.

711 Entrepreneurial Practice	The aim of this unit is to enable leaders to explore the principles of entrepreneurial practice, understand the different contexts in which entrepreneurship can flourish and the characteristics of entrepreneurial leadership.
712 Strategic Management Project	The aim of this unit is for leaders to undertake a strategic management project of their own choosing. To achieve this outcome leaders will develop a business case, propose research design to inform the project's direction and recommend project management methods and tools to structure the delivery of the project. Leaders will report on project outcomes and reflect on the skills and behaviours which ultimately influence the success of the strategic management project.
713 Applied Research for Strategic Leaders	The aim of this unit is to enable strategic leaders to develop an evidence-based understanding of applied research methods and the ways research can be conducted scientifically, ethically and legally in an organisational context. The unit will support strategic leaders to become producers of applied research, with the ability to generate new knowledge, based on the practical challenges of the workplace. The aim is to facilitate strategic decision making, and ultimately add value to the organisation.
714 Personal and Professional Development for Strategic Leaders	The aim of this unit is to support leaders to understand approaches to personal and professional development. Leaders will critically reflect on the interrelationship between the skillset and mindset to develop as a strategic leader. Vitally leaders will reflect on their own personal, interpersonal and professional competencies and behaviours to lead strategically. The opportunity for leaders to reflect on their own performance will equip them to develop a meaningful personal and professional development plan.
715 Strategic Approaches to Equality Diversity and Inclusion	The aim of this unit is to enable leaders to develop an in-depth understanding of equality, diversity and inclusion at a strategic level. Leaders will have the opportunity to critically assess structural inequality within an organisational and societal context. They will discuss approaches to comply with legal and good practice requirements and to appraise the influence of equality, diversity and inclusion on strategic objectives. The unit culminates in leaders being given the opportunity to develop strategic priorities for equality, diversity and inclusion.
716 Strategic Approaches to Mental Health and Wellbeing	The aim of the unit is for leaders to understand the impact of mental health and wellbeing on organisational performance. Leaders will critically assess the complexities of managing wellbeing and will appraise contemporary approaches for the creation of healthy work systems. The unit culminates in leaders being given the opportunity to propose a series of recommendations to create and sustain a positive culture of mental health and wellbeing within an organisational context.

607 Procurement, Purchasing and Contracting	The ability to procure, purchase and contract goods, services and capital items effectively is of paramount importance if an organisation is to succeed. For the professional manager and leader this knowledge and understanding is invaluable. It has the power to enhance decision making, strategic and operational planning and the effective delivery of outcomes within budgetary constraints.
608 Strategic Corporate Social Responsibility and Sustainability	Corporate Social Responsibility (CSR) and sustainability are topics keenly related to organisational accountability. Definitions and approaches taken to manage and lead CSR and sustainability vary according to the type and purpose of an organisation and its governance. Approaches typically include the development of aims and objectives, policy and strategy, with the intent to address the impact of an organisation's activity on society, the environment and a commitment to ethical and responsible conduct.
609 Leading Quality Management	Effective quality management is critical to meeting stakeholder needs and expectations, developing trust and reputation. It impacts on profitability, processes and procedures and the achievement of strategic objectives. Quality is not something that occurs by chance. It is reliant on strategic and operational planning and the commitment and drive by professional managers, leaders, teams and individuals to make it a success.
610 Principles and Practices of Policy Development	The principles laid down in organisational, corporate, functional and departmental policies have a direct bearing on the daily activities of an organisations workforce. Policy focuses on the activities which are of critical importance to an organisation. Policies can be used to set strategic direction. Policies also set expectations about the behaviours and values required by staff to work ethically and professionally within their roles and when representing the organisation.
612 Coaching Skills for Leaders	Coaching is a powerful learning and development tool. Used effectively, it is able to optimise individual and team performance and the achievement of organisational goals. Coaching has rapidly become an essential leadership tool. It enables the professional manager and leader to support, motivate and empower individuals and teams in a conversational and insightful way. This contrasts with and complements the use of traditional directive leadership approaches.
614 Principles and Practices of Ethical Decision Making	The ability to make ethical decisions under pressure is a fundamental requirement of a professional manager and leader. Ethical decision making is not easy, especially when decisions are under the spotlight of stakeholder opinion, constrained by organisational, legal and regulatory requirements, where ambiguity exists, where risks are high or where the outcome of decisions will be unpopular.

701	Strategic Leadership

Ofqual unit number	H/617/6861
RQF level	7
Guided learning hours	36
Total unit time	110
Credits	11
Aims of unit	Effective strategic leadership is a catalyst for organisational success. Leaders have to be knowledgeable, creative, agile and resilient to respond to organisational need in the contemporary workplace. The aim of this unit is to equip leaders with an in-depth understanding of strategic leadership within an organisational context. Leaders will explore the complexities of the role and the theoretical perspectives, approaches, behaviours and skills which can enhance their professional practice. The unit focuses on the leader's ability to respond creatively to complex organisational challenges and understand how to set and deliver sustainable strategic goals.
Keywords	Strategy, leadership, culture, roles, responsibilities, outcomes, theory, approaches, success.

Learning outcome 1

Understand the role and context for strategic leadership

Assessment criteria

1.1 Critically appraise the impact of organisational context on strategic leadership

1.2 Critically appraise the role of the strategic leader to set and realise organisational goals

Indicative content

1.1 Organisational context: Purpose (strategic definition, vision, mission). Strategic narrative (historical perspective). Myths, stories. Systems, processes, structure (Johnson et al., 2011). Governance (e.g. public, private, third sector). Legal status of the organisation. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). External environment.

Impact: Organisational structure, strategic direction, organisational culture. Commitment to corporate social responsibility and sustainability. Equality, diversity and inclusion. Stakeholder (internal and external) expectations and existing perceptions. Ability to change and innovate. Organisational ethics. Obligations

(e.g. founding principles, charitable requirements such as commitment to offering specific services and support). Levels of leadership responsibility, autonomy, accountability.

1.2 Role of the strategic leader:

- Defines, shapes and communicates organisational purpose, vision, mission, culture and values.
- Develops the strategic direction of the organisation. Implements strategic plans.
- Shapes and manages the communications strategy for their area of responsibility
- Plans to establish strategic goals. Determine strategic options (e.g. risk, financial, reputational, legal, management). Identifies, achieves, maintains competitive advantage (Hoskisson, Hitt and Ireland, 2004).
- Select and create strategy. Planned. Intended. Emergent. Opportunistic. Resource based view of the firm. Scenario planning and rational planning model. Strategic Planning as a Top Down/Bottom up process. The Five Ps of Strategy. Deliberate and emergent strategies (Whittington, 2000).
- Leads the organisation ethically and legally in line with board and organisational governance. Diversity and Inclusion (Kirton et al. 2014). Definition and Values (Patrick and Kumar, 2012).
- Initiates, leads change and innovation. Different types and approaches of change (e.g. incremental and transformational change). Identifies drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability. Applies different theories/models of change (e.g. Eight Step Change Model (Kotter, 2012), Radical Change within Traditional Structures (Oswick, 2015)). Creates an environment for innovation and creativity. Selects and applies tools and techniques to support innovation and change.
- Drives continuous improvement. Selects and applies tools and techniques (e.g. LEAN methods (Krafcik, 1988). Six Sigma (Pyzdek and Keller, 2018). Statistical Process Control 'SPC' (Salacinski, 2015)).
- Applies systems thinking to understand complexity (Checkland, 1999; Senge, 1990).
- Understands the importance of brand relationship and reputation management.
- Leads individuals and teams with impact (Belbin, 1981). Develops people and their capabilities.
- Collaborates with partners and manages complex relationships with multiple and diverse stakeholders/customers. Stakeholder management (Lindgreen el al. 2019). Responds to changing stakeholder/customer demands. Builds trust and rapport with stakeholders (e.g. employees, customers, shareholders).
- Works with board and company structures.
- Works with corporate leadership structures (e.g. the markets it operates in, roles and responsibilities, who its stakeholders are and what they require from the organisation and the sustainability agenda).
- Ensures financial sustainability and accountability. Manages resources and measures outcomes.
- Able to anticipate and predict future opportunities and threats (e.g. impact of disruptive technologies and mechanisms that challenge traditional business methods and practices). Horizon scanning (e.g. STEEPLE and SWOT).

Learning outcome 2
Understand the behaviours and skills for strategic leadership
Assessment criteria
2.1 Critically appraise the leadership behaviours and skills required to deliver strategic goals   2.2 Critically reflect on how the principles of strategic leadership can be applied to respond to complex organisational challenges
Indicative content
2.1 Leadership behaviours and skills:

- Ethical approaches to leadership (Mendonca and Kanungo, 2007). Consistently role modelling exemplary behaviour to internal and external stakeholders (Mintzberg, 1973). Personal presence 'Visibility'. Mental toughness (Lyons, 2015). Engenders empowerment. Drives a culture of resilience. Takes ownership and responsibility. Reflective practice.
- Acts with integrity, accountability, builds trust and rapport. Able to influence people (e.g. intra/inter-organisational). Ability to act as an advocate and/or sponsor. Uses negotiation strategies. Applies social intelligence (Goleman, 2006). Ethical, authentic (George, 2003), Values equality, inclusion and diversity. Empowers and engages stakeholders. Uses diplomacy. Manages conflict (Thomas-Kilmann, 1997; Rahim, 2002). Builds confidence in others and enables people to take risk. Delegates effectively. Understands approaches to enabling mental health and wellbeing. Curious and innovative, exploring areas of ambiguity and complexity and finding creative solutions.
- Understands and applies legal and regulatory frameworks and governance e.g. Equality Act (2010), Prevent Strategy (2011), Modern Slavery Act (2015), General Data Protection Regulation (GDPR) (2018), Companies Act (2006).
- Uses experiential knowledge, data and information to implement and manage change. Socialisation, Externalisation, Combination, Internalisation (SECI) Model (Nonaka and Takeuchi, 1996).
- Communicates with impact (uses personal presence and 'storytelling' to articulate and translate vision into operational strategies, demonstrates clarity in thinking and uses inspirational communication). Gives, receives and acts on feedback. Provides challenge at all levels. Organisational silence 'why organisations don't communicate' (Morrison and Milliken, 2000). Different organisational communication strategies (Clampitt et al., 2000). Organisational gossip (Michelson and Mouly, 2000).
- Leadership theory: Value-driven Leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Resonant Leadership (McKee, Boyatzis and Goleman 2003). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Ethical Leadership (Mendonca and Kanungo, 2007). Leadership Styles (Goleman, 1995). Entrepreneurial Leadership (Roebuck, 2014). Authentic Leadership (Goffee and Jones, 2011). The Servant Leader (Greenleaf, 1977). Cross Cultural Leadership (Hofstede, 1991). Transformational Leadership (Bass and Riggio, 2006). Start with Why (Sinek, 2011), Project GLOBE 'Global Leadership and Organisational Behaviour Effectiveness' (House et al, 2004).

2.2 Complex organisational challenges related to the internal and external environment:

- Organisational change. Threat of new competitor. Diminishing resources. Changes in customer requirements (changing customer demands and trends). Technological change. Global markets. Performance targets. Shifting population. Loss or gain of a major client. Legal and regulatory change. Political change. Litigation. Toxic cultures (e.g. bullying, sexism, me first attitudes, hostility, infighting). Impact of social change (e.g. #MeToo movement/campaign, mental health and wellbeing campaigns, LGBTQ+).

Principles of strategic leadership:

- *Application of leadership theory:* Value-driven Leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Resonant Leadership (McKee, Boyatzis and Goleman 2003). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Ethical Leadership (Mendonca and Kanungo, 2007). Leadership Styles (Goleman, 1995). Entrepreneurial Leadership (Roebuck, 2014). Authentic Leadership (Goffee and Jones, 2011). The Servant Leader (Greenleaf, 1977). Cross Cultural Leadership (Hofstede, 1991). Transformational Leadership (Bass and Riggio, 2006). Start with Why (Sinek, 2011), Project GLOBE 'Global Leadership and Organisational Behaviour Effectiveness' (House et al, 2004).
- *Application of change management theory and approaches:* Different types of change (e.g. incremental and transformational change). Selection of theories/models of change (e.g. Eight Step Change Model (Kotter, 2012), Radical Change within Traditional Structures (Oswick, 2015)). Creates an environment for innovation and creativity.
- *Application of decision-making tools and techniques:* Response to stable and Volatile Uncertain Complex and Ambiguous Environments (e.g. Ethical decision making (Barr and Campbell, 2011). The Combat Estimate (7 Questions) (Ministry of Defence). Six Thinking Hats technique (De Bono, 1985). Decision trees. Reflective practice (e.g. Reflective Cycle (Gibbs, 1995), Learning Cycle (Kolb, 1984). Using emotional intelligence (Goleman, 1995)).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report or deliver a presentation** on the role and context of strategic leadership
2. The learner may be asked to write an **account** on the behaviours and skills for strategic leadership
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness
- Making decisions
- Communicating and influencing

Interpersonal Excellence
- Providing purpose and direction
- Developing people and capabilities
- Building relationships and networks

Organisational Performance
- Leading change and innovation
- Managing resource and risk
- Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge			
	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5

	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K8	Financial strategies, for example scenarios, modelling and identifying trends, application of economic theory to decision-making, and how to evaluate financial and non-financial information.	Duty 4
	K12	Influencing and negotiating strategies both upwards and outwards.	Duty 8; Duty 9
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
	K14	Working with board and other company leadership structures.	Duty 1; Duty 3
	K15	Brand and reputation management.	Duty 3; Duty 10
	K16	Working with corporate leadership structures, for example, the markets it operates in, roles and responsibilities, who its stakeholders are and what they require from the organisation and the sustainability agenda.	Duty 2
Skills	S4.1	Lead change in their area of responsibility, create an environment for innovation and creativity	Duty 3; Duty 5; Duty 7; Duty 11
	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S13	Use personal presence and "storytelling" to articulate and translate vision into operational strategies, demonstrating clarity in thinking.	Duty 6; Duty 7; Duty 11
	S14	Create an inclusive culture, encouraging diversity and difference and promoting well-being.	Duty 6; Duty 7
	S15	Give and receive feedback at all levels, building confidence and developing trust, and enable people to take risks and challenge where appropriate.	Duty 6; Duty 7
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9
	S20	Lead within their area of control/authority, influencing both upwards and outwards, negotiating and using advocacy skills to build reputation and effective collaboration.	Duty 8
Behaviours	B1	Work collaboratively enabling empowerment and delegation.	Duty 5; Duty 6; Duty 7; Duty 8; Duty 9; Duty 10
	B2	Take personal accountability aligned to clear values.	Duty 1; Duty 2; Duty 3; Duty 4
	B3	Curious and innovative - exploring areas of ambiguity and complexity and finding creative solutions.	Duty 3; Duty 11; Duty 12

Suggested reading/web resource materials

Recommended Reading

- Avolio, B.J. and Gardner, W.L. (2005). Authentic Leadership Development: Getting to the root of positive forms of Leadership. *The Leadership Quarterly*, 16(3): 315-338.

- Bass, B.M. and Riggio, R.E. (2006). *Transformational Leadership,* 2nd ed. New York, NY: Routledge.

- Covey, S.M.R. (2008). *The Speed of Trust: The One Thing that Changes Everything.* London: Simon and Schuster.

- Whittington, R. (2000). *What is Strategy and Does it Matter?*

- Roe, K. (2017). *Leadership Practice and Perspectives*. Oxford: OUP.

Textbooks/eBooks

- Adair, J, E. (2009). *Not Bosses but Leaders: How to Lead the Way to Success*. London UK: Kogan Page.

- Argyris, C. (2001). Breakthrough Leadership. *Harvard Business Review,* 79(11): 29-29.

- Barr, D. and Campbell, C. (2011). *Ethics in Decision-Making. (Good Practice Guide).* London: Institute of Business Ethics.

- Bones, C. (2011). *The Cult of the Leader.* Chichester: J. Wiley and Sons.

- Denis, J.L., Langley, A. and Rouleau, L. (2010) The Practice of Leadership in the Messy World of Organisations, *Leadership* 6(1): 67-88.

- Goleman, D. (1996). *Emotional Intelligence: Why it Can Matter More Than IQ*. London: Bloomsbury Publishing.

- Handy, C. (2002). *The Age of Unreason. New Thinking for a New World*. New York, NY: Penguin Random House.

- Institute of Business Ethics. (2011). *Ethics in Decision-making. Good Practice Guide.* London: Institute of Business Ethics.

- Judge, T.A. and Bono, J.E. (2000). 'Five-Factor Model of Personality and Transformational Leadership'. *Journal of Applied Psychology,* 85(5): 751-765.

- Katzenbach, J. R. and Smith, D.K. (2005). *Wisdom of Teams. Creating the High Performance Organisation*. Maidenhead: McGraw-Hill.

- Kotter, J.P. (2012). *Leading Change.* Brighton, MA: Harvard Business Publishing/Harvard Business Review Press.

- Lewis, S. (2016). *Positive Psychology and Change: How Leadership, Collaboration and Appreciative Inquiry Create Transformational Results.* Wiley-Blackwell.

- Lindgreen, A., Maon, F., Vanhamme, J., Florencio, B. Vallaster, C. and Strong, C. (2018). *Engaging with Stakeholders: A Relational Perspective on Responsible Business.* Routledge.

- Mullins, L.J. (2016). *Management and Organisational Behaviour,* 11th ed. Harlow: Pearson Education.

- Pedler, M., Burgoyne, J. and Boydell, T. (2013). *A Manager's Guide to Self-Development*. Maidenhead: McGraw-Hill.

- Perkins, D.N.T. (2013). *Leading at The Edge: Leadership Lessons from the Extraordinary Saga of Shackleton's Antarctic Expedition.*

- Quirke, B. (2017). *Making the connections: Using internal communication to turn strategy into action.* Routledge.

- Schein, E. and Schein, P. (2017). *Organizational culture and leadership,* 5th ed. San Francisco: Jossey-Bass.

- Sinek, S. (2014). *Why some teams pull together and others don't.*

- Tricker, B. (2015). *Corporate Governance: Principles, Policies, and Practices,* 3rd ed. Oxford: Oxford University Press.

- Whitmore, J. (2017). Co*aching for Performance: The Principles and Practice of Coaching and Leadership,* 25th Anniversary ed. London: Nicholas Brealey Publishing Limited.

Journals
- Leadership Quarterly

- Harvard Business Review

- Journal of Applied Leadership and Management

- Leadership

- Professional Manager

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	K/617/6862
RQF level	7
Guided learning hours	34
Total unit time	100
Credits	10
Aims of unit	The ability to optimise performance through the leadership and development of people is fundamental for leaders who wish to achieve and maximise organisational outcomes. Organisational success begins by placing the needs of people at the heart of the organisation and through the creation of a culture which enables sustained organisational performance.
	The aim of this unit is for leaders to develop an in-depth understanding of how to effectively lead and develop people. They will explore the influence and impact of leadership theories, culture, wellbeing, development and design, policy and strategy that can be used creatively within the leadership role. Ultimately, leaders will have the opportunity to propose a leadership and development strategy. The aim of which values people whilst optimising an organisation's performance.
Keywords	Culture, performance, outcomes, people, teams, theory, approaches, sustainability, mental health, wellbeing, engagement, policy, strategies, success.

Learning outcome 1
Understand the principles for leading and developing people
Assessment criteria
1.1 Discuss the influence of leadership, culture and people development on performance
1.2 Appraise the impact of organisational development and design on performance
1.3 Critically appraise how human resource policy and strategy informs the way people are led and developed
1.4 Explore strategies to promote engagement, mental health and wellbeing as an enabler of performance
Indicative content
1.1 Leadership: Ethos, ethics and values (Mendonca and Kanungo, 2007). Leadership styles (e.g. Value-driven Leadership (Gentile, 2014); Leadership Styles (Goleman, 1995); Authentic Leadership (Goffee

and Jones, 2011); Cross Cultural Leadership (Hofstede, 1991); Transformational Leadership (Bass and Riggio, 2006)).

Culture: Organisational vison, values and mission. Individual, team attitudes and behaviours. Strategic narrative. Organisational culture and leadership (Schein, E. and Schein, P. (2017). Multidimensional aspects of culture, internal and external (Cultural Web Johnson et al., 2011). Psychological Contract (Rousseau, 1989). Impact of toxic cultures/sub cultures. Attitudes to risk and blame. Gods of Management (Handy, 1978). Competing Values Framework (Quinn and Rohrbaugh, 1983).

People development: knowledge, skills, behaviours.

Performance: Individual, team, organisational.

1.2 Organisational development and design: Alignment/relationship between the organisation's vision, mission, strategy, assets/resources, people and environment and strategic objectives to improve efficiency and effectiveness (Cheung-Judge and Holbeche, 2015, Holbeche, 2017 and Burton et al, 2015). Analysis of internal and external factors (Stanford, 2017). Business processes, activities/workflows, roles and responsibilities, volumes of work, resources and resource requirements. Requirement for change (Anderson, 2017). Design and assessment of new models or structures (Stanford, 2017). Departmentalisation. Team structure, size, roles, dynamics, development. Developmental activities (Anderson, 2017). Knowledge, skills, values, behaviours. Learning Organisations (Senge, 1980). Organisational behaviours (McShane and Glinow, 2017).

1.3 Human resource policy and strategy: Policy (e.g. Learning and development, talent recruitment, talent management, coaching, mentoring, reward, pay scales (e.g. Equal Pay Act, 1970), recognition, role requirements/role modelling, succession/pipeline planning, equality diversity and inclusion (Equality Act, 2010), corporate social responsibility and sustainability). Human Resource Management (Beardwell and Thompson, 2017). Human resource development (Ulrich and Brockbank, 2005). Application of formal HRM/HRD processes (e.g. Performance Improvement Plans (PIP). Safe working practice (e.g. Health and Safety Act, 1974; Prevent Strategy, 2011; Modern Slavery Act, 2015). Procedures (e.g. capability and development). Social exchange theory. Employment data and information (e.g. GDPR, 2018). Industry specific regulations.

1.4 Strategies to promote engagement, mental health and wellbeing: Development of healthy work systems. Targeted approaches to tackling stress, anxiety, depression. Fair and decent work (The Taylor review of modern working practices, 2017). Flexible working/work life integration. Safeguard of individuals rights and responsibilities. Removal of structures (e.g. self-determined annual leave, empowered individuals) (Ricardo Semler). Mental Health First Aid. Building confidence, rapport, trust. Honest conversations (Miles, Munilla and Darroch, 2006; Beer and Eisenstat, 2004). Turning adversity into competitive advantage (Sutanto, 2010).

Learning outcome 2
Understand leadership and development strategy
Assessment criteria
2.1 Propose a leadership and development strategy which values people whilst optimising organisational success
Indicative content
2.1 Leadership and development strategy: ● *Selection of leadership approach:* Leadership styles (e.g. Value-driven Leadership (Gentile, 2014); Leadership Styles (Goleman, 1995); Authentic Leadership (Goffee and Jones, 2011); Cross Cultural Leadership (Hofstede, 1991; Transformational Leadership (Bass and Riggio, 2006)). Organisational culture and leadership (Schein, E. and Schein, P, 2017). Performance management (e.g. measuring

success, KPIs, benchmarking, celebrating success). Communication strategies (Clampitt et al., 2000). Coaching and mentoring techniques (e.g. GROW, OSCAR, CREATE).

- *Development strategies:* Learning (e.g. formal, informal, coaching, mentoring). Learning organisations (Checkland, 1981 and Senge, 1990). Communities of Practice (Wenger). Knowledge management (Max Boisot, 2000).

- *Valuing people:* How professions view each other (Sloper, 2004). Future work prospects (e.g. positive ageing). Application of reward and recognition. Definition and Values (Patrick and Kumar, 2012). Appreciative inquiry (Cooperrider, Srivastava and Bushe et al, 2011). Diversity and Inclusion (Kirton et al. 2014).

- *Organisational success:* Identify the success of the organisation in achieving its strategic goals (e.g. reputation, benchmarking, competitive advantage, staff satisfaction, retention levels).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on principles for leading and developing people
2. The learner may be asked to write a **proposal** on strategies to enable and optimise performance
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standards – Stage 5 Fellow

This unit is mapped to:

Interpersonal Excellence
- Providing purpose and direction
- Developing people and capabilities
- Building relationships and networks

Organisational Performance
- Managing resource and risk
- Achieving results

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K10	Organisational/team dynamics and how to build engagement and develop high performance, agile and collaborative cultures.	Duty 6; Duty 7
	K11	Approaches to strategic workforce planning, for example, talent management, learning organisations, group work, workforce design, succession planning, diversity and inclusion.	Duty 6; Duty 7
	K18	Coaching and mentoring techniques.	Duty 6; Duty 7
Skills	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S14	Create an inclusive culture, encouraging diversity and difference and promoting well-being.	Duty 6; Duty 7
	S15	Give and receive feedback at all levels, building confidence and developing trust, and enable people to take risks and challenge where appropriate.	Duty 6; Duty 7
	S16	Enable an open culture and high-performance working environment and set goals and accountabilities for teams and individuals in their area.	Duty 6; Duty 7
	S17	Lead and influence people, building constructive working relationships across teams, using matrix management where required.	Duty 7
	S18	Optimise skills of the workforce, balancing people and technical skills and encouraging continual development.	Duty 6; Duty 7

Suggested reading/web resource materials

Recommended Reading

- Musselwhite, C. (2007). *Building and leading high-performance teams.* http://www.inc.com/resources/leadership/articles/20070101/musselwhite.html.
- Rees, G. and French, R. (2010). *Leading, Managing and Developing People*. CIPD.
- Roe, K. (2017). *Leadership Practice and Perspectives*. Oxford: OUP.

- Schein, E. and Schein, P. (2017). *Organizational culture and leadership.* 5th Edition. San Francisco: Jossey-Bass.
- Stanford, N. (2018). *Organization design (The practitioner's guide).* Abingdon, Oxon. Routledge.

Textbooks/eBooks

- Anderson, D.L. (2017). *Organization Development: The Process of Leading Organizational Change.* London: Sage Publication.
- Beardwell, J. and Clayton, T. (2010). *Human Resources Management: A Contemporary Approach* (6th Edition). Prentice Hall.
- Beardwell, J. and Thompson, A. (2017). *Human Resources Management: A Contemporary Approach.* London. Pearson Education.
- Burton, R.M. (2015). *Organisation Design: A Step by Step Approach.* 3rd Edition. Cambridge: Cambridge University Press.
- Cheung-Judge, M.Y. and Holbeche, L. (2015). *Organisation Development: A Practitioners Guide for Organisation Development and Human Resources.* 2nd Edition. London: Kogan Page.
- Cichoki, P. and Irwin, C. (2014). *Organisation Design: A Guide to Building Effective Organisations*. 2nd Edition. London: Kogan Page.
- Collins, J. (2015). *Good to great*. London: Random House.
- Denis, J.L., Langley, A. and Rouleau, L. (2010). *The Practice of Leadership in the Messy World of Organisations, Leadership* 6(1): 67-88.
- Farnham, D. (2011). *Human Resource Management in Context: Strategy, Insights and Solutions*. CIPD.
- Holbeche, L. (2017). *Influencing Organisational Effectiveness: A Critical take on Human Resources Contribution*. London: Routledge Taylor and Francis Group.
- Institute of Business Ethics. (2011). *Ethics in Decision-making*. *Good Practice Guide*. London: Institute of Business Ethics.
- Jordan, and Turnpenny, J.R. eds. (2015). *The Tools of Policy Formulation*: *Actors, Capacities, Venues and Effects.* Cheltenham: Edward Elgar Publishing.
- Katzenbach, J. R. and Smith, D.K. (2005). *Wisdom of Teams. Creating the High-Performance Organisation*. Maidenhead: McGraw-Hill.
- Kirton, G. and Greene, A-M. (2016). *The Dynamics of Managing Diversity. A critical approach* (4th Edition). Abingdon, Oxon: Routledge.
- Linstead, S., Fulop, L. and Lilley, S. (2009). *Management and Organisation* (2nd Edition). Palgrave Macmillan.
- Sabharwal, M. (2014). Is Diversity Management Sufficient? Organizational Inclusion to Further Performance. *Public Personnel Management* [online] 43(2), 197-217. Available from https://doi.org/10.1177/0091026014522202 [7 September 2018].
- Tricker, B. (2015). *Corporate Governance: Principles, Policies, and Practices* (3rd Edition). Oxford: Oxford University Press.

Recommended Articles

Taylor, M. et al. (2017). *Good Work: the Taylor review of modern working practices.* https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/627671/good-work-taylor-review-modern-working-practices-rg.pdf.

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Ofqual unit number	M/617/6863
RQF level	7
Guided learning hours	18
Total unit time	70
Credits	7
Aims of unit	Collaboration and partnerships can have a huge impact on organisational success. These arrangements (formal or informal) can result in increased profitability and productivity as well as the development and delivery of new products and services. Collaboration and partnerships can turn ideas into reality, enhancing opportunities for innovation and creativity, research and development. Increasingly, collaboration and partnership working are required to be successful in gaining a bid or tender.
	The aim of the unit is for leaders to understand collaborative and partnership arrangements. Leaders will critically assess the scope and value of these, as well as evaluating the impact of organisational and legal frameworks on how these arrangements are delivered. The unit culminates in the requirement for the leader to present a rationale for collaboration or partnerships to further an organisation's success.
Keywords	Partnership, collaboration, inter-organisational collaboration, intra-organisational collaboration, collaborative leadership

Learning outcome 1
Understand the role of collaboration and partnerships
Assessment criteria
1.1 Critically assess the scope and value of collaboration and partnerships to support the achievement of strategic objectives
1.2 Critically evaluate the impact of organisational and legal frameworks on collaboration and partnerships
1.3 Appraise strategies and principles for making collaboration and partnerships a success
Indicative content
1.1 Scope of collaboration and partnerships: ● *Collaborative relationships and partnerships:* Public, private, third sector, cross-sector. Intra and inter organisational collaboration (formal or informal). Partnerships (formal). Partnerships (National Audit Office, 2009:5; Stern and Green, 2005). Limited Liability Partnership (LLP). Collaboration (Frost, 2005).

Consortia. Co-operatives. Corporate foundations. Networks. Coalitions, alliance (Huxham and Vangen, 2000). Multi-agency collaboration (Easen et al., 2000).

- *Value of collaboration and partnerships:* Impact on the achievement of strategic objectives. Organisational credibility, capacity, competency. Improved services and support for customers. Opportunities to access to new markets. Risk mitigation. Crisis/disaster management. Promotion of equality, diversity and inclusion. Opportunities for continuing professional development. Sharing good practice. Research and development. Innovative practice (e.g. partnerships/collaborations which deliver new/additional value to customers, i.e. Amazon and Netflix et al partnering TV manufacturers to embed access to their platforms through smart TV's. FTSE100 companies partnering with charities to offer leadership support. Organisations collaborating to bid for public sector projects).

1.2 Organisational and legal frameworks: Companies Act (2006). Equality Act (2010). Health and Safety Act (1974). Prevent Strategy (2011). Modern Slavery Act (2015). Employment law (e.g. Equal Pay Act (1970). General Data Protection Regulation (GDPR) (2018). UK and Global standards (e.g. ISO 44001; BS 11000). Industry specific regulations. Green Book Guidance (HM Treasury). PPP – Public Private Partnerships and Private Finance Initiative (PFI) (HM Treasury). Due diligence. Frameworks for operating across jurisdictions (e.g. trade agreements, taxation, money laundering, fraud). Protocols for Procurement. Contracting. Dispute and conflict resolution. Risk management. Organisational governance for collaboration/partnerships (e.g. structure of accountability, roles and responsibilities).

1.3 Strategies and principles for collaboration:

- Determining type of collaboration/partnership arrangements (e.g. contractual/informal agreements, mutual accountabilities, roles/responsibility, balance of power). Joint planning (Sharp et al., 2006:14). Coordination of functions, resources/resource sharing. Approaches to learning and development (e.g. joint training). Communication and ethical decision making.

- Senior leadership support. Engagement. Creators of collaborative culture. Inspire commitment to joint working. Build trust, rapport and respect. Ability to build new networks. Role models. Leadership styles (e.g. Collaborative leadership (Raelin, 2006); Distributed leadership (Maak and Pless, 2011)). Shared vision and sense of purpose. Ethics and shared values. Development of clear goals and objectives (e.g. shared, clear and specific goals). Ability to positively challenge/respond to conflict within professional relationships (e.g. different backgrounds, ideologies, behaviours, working practices).

Learning outcome 2
Know how collaboration and partnerships further organisational success
Assessment criteria
2.1   Present a rationale for developing a collaborative relationship or partnership to further organisational success
Indicative content
2.1 *Rationale for developing collaborative relationships or partnerships:* - *Identification of the opportunity or need for collaboration or partnership:* Strategic plan/priorities. New venture/s. Financial objectives. Stakeholder needs and expectations. To increase capability and capacity. Research. Globalisation. Project/bid requirements. Product development. Response to complex (wicked) problems. Innovation. Develop good practice. Corporate Social Responsibility and Sustainability. Risk management. - *Gather data and information:* Primary data: Quantitative, qualitative. Secondary data: Documentary sources. Application of legal and regulatory frameworks to data gathering and sharing. - *Identify options and choice of partners/collaborators:* Assess collaboration or partnership versus existing organisational arrangements.

- *Weigh/appraise evidence for collaboration/partnership*: Feasibility, acceptability, desirability. Identify barriers, opportunities (e.g. resourcing, data sharing, dominance/equality of partners, cultural differences, management and leadership styles, infrastructural capability and capacity issues (e.g. access to ICT/worldwide web)).
- *Success indicators:* KPIs, critical success factors, critical assumptions. Realisation of benefits (e.g. Institute of Collaborative Working, 2015).
- *Presentation of conclusions.*

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the complexities of collaborative relationships and partnerships.
2. The learner may produce an **account** of strategies and principles for making collaboration and partnerships a success.
3. The learner may be asked to **present** a rationale for developing a collaborative relationship or partnership to further the achievement of organisational success.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
	● Developing people and capabilities
	● Building relationships and networks
Organisational Performance	● Leading change and innovation
	● Managing resource and risk
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K9	Financial governance and legal requirements, and procurement strategies.	Duty 4; Duty 12
	K10	Organisational/team dynamics and how to build engagement and develop high performance, agile and collaborative cultures.	Duty 6; Duty 7
	K12	Influencing and negotiating strategies both upwards and outwards.	Duty 8; Duty 9
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
	K14	Working with board and other company leadership structures.	Duty 1; Duty 3
Skills	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S16	Enable an open culture and high-performance working environment and set goals and accountabilities for teams and individuals in their area.	Duty 6; Duty 7
	S17	Lead and influence people, building constructive working relationships across teams, using matrix management where required.	Duty 7
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9

Suggested reading/web resource materials

Recommended reading

● Dent. S. (2006). *Partnership Relationship Management. Implementing a Plan for Success.* Partnership Continuum Inc. http://www.partneringintelligence.com/documents/5.03_Partnership_Relationship_Management_WP.pdf
● Huxham, C. and Vangen, S. (2005). *Managing to Collaborate. The theory and practice of collaborative advantage*. London: Routledge.
● Huxham, C. and Vangen, S. (2000). What makes partnerships work? In S. P. Osborne, ed., *Public-Private Partnerships: theory and practice in international perspective*. London: Routledge.
● McQuaid, R. (2010). Theory of Organizational Partnerships: partnership advantages, disadvantages and success factors. In: S. P. Osborn (ed.). *The New Public Governance? Emerging Perspectives on the Theory and Practice of Public Governance*, London: Routledge, pp. 127-148.

Further reading

- Adair, R. (2008). Developing great leaders, one follower at a time. In R. E. Riggio, I. Chaleff, I., & J. Lipman-Blumen. (Eds.), *The art of followership: How great followers create great leaders and organizations* (pp. 137-153). San Francisco, CA: Jossey-Bass.

- Blaxter, L., Farnell, R. and Watts, J. (2003). Difference, ambiguity and the potential for learning: Local communities working in partnership with local government, *Community Development Journal*, 38 (2): 130-139

- Colbry, S. and Adair, R. (2014). Collaboration Theory. *The Journal of Leadership Education* 13(14):63-75 · December 2014DOI: 10.12806/V13/I4/C8

- Currie, G., Lockett, A. and Suhomlinova, O. (2009). The institutionalization of distributed leadership: a 'Catch-22' in English public services. *Human Relations*, 62, pp. 1735–1761.

- Gambetta, D. (1988). Can We Trust Trust? In Gambetta, D. (ed.) *Trust: Making and Breaking Cooperative Relations*. Oxford: Blackwell, pp. 213-237.

- Gustafsson, O. and Magnusson, J. (2016). *Inter-Organizaitonal Collaboration – In Theory and Practice. Based on a multiple-case study in the automotive industry*. Gothenburg, Sweden: Chalmers University of Technology. http://publications.lib.chalmers.se/records/fulltext/238220/238220.pdf

- Hudson, B. and Hardy, B. (2002). What is successful partnership and how can it be measured? Glendinning, C., Powell, M. and Rummery, K. (eds.) *Partnerships, New Labour and the Governance of Welfare*. Bristol: Policy Press, pp. 51-65.

- Huxham, C. (2003). Theorizing Collaborative Practice, *Public Management Review*, 5 (3): 401-423.

- Levin, J. and Tadelis, S. (2002). *A Theory of Partnerships*. Stanford, CA: Stanford Institute for Economic Policy Research, http://siepr.stanford.edu/sites/default/files/publications/01-28_0.pdf

- McDonald, I. (2005). Theorising partnerships: Governance, Communicative Action and Sport Policy, *Journal of Social Policy*, 34 (4): 579-600.

- McQuaid, R.W. (2000). The theory of partnerships - why have partnerships? In Osborne, S.P. (ed.). *Managing public-private partnerships for public services: an international perspective*. London: Routledge.

- McQuaid, R.W. and Scherrer, W. (2010). Changing reasons for public private partnerships, *Public Money and Management*, 30(1): 27-34.

- OECD (Organisation for Economic Development and Co-operation). (2008). *Public-Private Partnerships: In Pursuit of Risk Sharing and Value for Money*. Paris: OECD.

- Raelin, J. (2006). Does Action Learning Promote Collaborative Leadership? A*cademy of Management Learning & Education*, 2006, 5(2), 152-168.

- Rees, J., Mullins, D. and Bovaird, T. (2012). *Partnership working. Third Sector Research Centre Research Report (88).* University of Birmingham: Third Sector Research Centre. https://www.birmingham.ac.uk/generic/tsrc/documents/tsrc/working-papers/working-paper-88.pdf

Journals

- International Journal of Leadership Studies
- Leadership Quarterly
- Harvard Business Review
- Leadership
- Professional Manager
- Partnership Matters Journal
- Journal of Business Strategy
- British Medical Journal
- Partnerships: A Journal of Service learning and Civic Engagement

Useful External Weblinks

International Organization for Standardization (ISO): https://www.iso.org/home.html

ISO 44001 Collaborative Business Relationship Management Systems-Requirement and Framework

British Standards Institution: https://www.bsigroup.com

BS 11000 Collaborative Business Relationship Management Systems Part 2: Guide to implementing ISO 4401)

Institute for Collaborative Working: http://www.instituteforcollaborativeworking.com/

Benefits Realisation from Collaborative Working (2015)

Insight Into ISO 44001

British Institute of Facilities Management: https://www.iwfm.org.uk/

Collaboration in FM: Integrated Supply Chain Management

National Council for Voluntary Organisations:
http://www.ncvo-vol.org.uk/collaborativeworking.asp

Charity Commission: www.charity-commission.gov.uk

Charities Aid Foundation: https://www.cafonline.org/

Council on Foundations: https://www.cof.org/

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

704	Developing Organisational Strategy

Ofqual unit number	T/617/6864
RQF level	7
Guided learning hours	30
Total unit time	90
Credits	9
Aims of unit	Leaders must have an in-depth understanding of strategy and how it can be developed if they are to operate effectively in complex local, national and global markets.
	The aim of this unit is to enable leaders to know how to develop and influence an organisation's strategic direction through the development of a meaningful strategy. To support this outcome, leaders will critique the factors which drive the development of organisational strategy and appraise approaches to successfully develop strategy. The unit culminates in leaders developing an organisational strategy to achieve a business goal. To complement this activity, leaders will propose an approach to implement and monitor the strategy developed to ensure its sustained success.
Keywords	Strategy, direction, factors, culture, structure, approaches, deliberate, emergent, planning, implementation, monitoring, success.

Learning outcome 1
Understand how to develop strategy
Assessment criteria
1.1 Critique the factors which drive the development of organisational strategy 1.2 Critically appraise approaches for the development of strategy 1.3 Discuss the challenges of developing and leading organisational strategy
Indicative content

1.1 Factors (internal and external):

- *Internal:* Organisational structures and governance. Organisational culture (Schein, 1988; Johnson and Scholes, 2011). Strategic narrative. Cost structures, drivers, financial assumptions. Current resources and capabilities. Big data. Appetite for innovation. Stakeholder influence and power. Current and emerging technologies, markets, customers. Geographical and/or virtual locations. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

- *External:* Legal and regulatory requirements and governance (e.g. health and safety, environmental standards). Government policy. Political and economic stability (e.g. national, global). Social environment. Industry structures. Stakeholder influence and power. Competition. Market demographics, break points, dislocations, emerging markets. Disasters and events. Corporate social responsibility and sustainability. Emerging and disruptive technologies/innovations (Armstrong, 2017).

- *Strategy:* Growth. New product/service/processes. Retrenchment, consolidation, cost leadership, differentiation. Competitor and competitive strategies. Divestment, mergers, acquisition, partnerships, alliances. Diversification. Business closure. Research and development. Off-shoring, outsourcing/insourcing. Delayering and restructuring. Products, services, customer type needs, demands and expectations.

- *Strategy:* Levels of strategy. Corporate. Business. Strategic Business Unit. Departmental. Functional strategies (e.g. HR. Finance, Operations. Supply chain. Administration. IT. Purchasing. Procurement. Treasury, Quality management. Infrastructure and facilities).

1.2 Approaches for the development of strategy: Deliberate. Emergent. Incremental. Paradigm shift. Step-change. Planned/unplanned. Opportunistic (e.g. Entrepreneurialism, interpreneurialism, intrapreneurialism). Resource based view of the firm. Scenario planning and rational planning model. Strategic planning as a top down/bottom up process (e.g. co-creation, consultation, focus-group testing). Business modelling (Whittington, 2000). The five Ps of strategy (Mintzberg, 2009).

1.3 Challenges: Different perspectives for developing and leading strategy. Organisational design (e.g. Network based organisations, virtual organisations/teams, autonomous team working. Self-organisation). Data management. Use of big data. Changing customer needs and expectations. Implementation of government policy. Current and emerging technology (e.g. social networking platforms). Challenge strategies and operations in terms of ethics, responsibility, sustainability, resource allocation and business continuity/risk management.

Diagnostic approaches to assess challenges: Organisations as complex adaptive systems. (Kaufmann et al, 2000). Use of systems approaches such as soft systems methods (Checkland, 1999). Collective strategy and co-evolutionary theory (Stacey, 2011).

Learning outcome 2
Know how to develop strategy
Assessment criteria
2.1 Develop an organisational strategy to achieve a business objective 2.2 Recommend an approach to implement and monitor the strategy to ensure its success
Indicative content
2.1 Organisational strategy: Growth. Retrenchment. Consolidation. Partnerships. Collaborations. Delayering and restructuring. Diversification. Development of product/service/processes. Recruitment, retention, engagement of people. Competitor and competitive approaches. Divestment, mergers, acquisition. Business

closure. Crisis management and mitigation. Research and development. Off-shoring/outsourcing/insourcing. Legal and regulatory requirements.

- *Content and structure of the strategy (tailored to the requirements of the organisation/dependent on business goal to be achieved):* Alignment to business goal/organisational vision. KPIs. Timescales (milestones). Critical success factors, assumptions, decisions. Selection and application of appropriate tools and techniques to support the development of the strategic plan (e.g. Benchmarking. Value Chain Analysis and 5 Forces Model (Porter, 1980); RAEW/RACI analysis (Smith and Erwin, 2005)). Resource requirements. Implementation strategy. Governance of the strategy. Stakeholder considerations (e.g. set strategic direction and gain support for it from key stakeholders). The organisation's developing communications strategy and its link to area of responsibility.

2.2 Approaches to implementing and monitoring the strategy:

- *Approach to implementation:* Deliberate. Emergent. Incremental. Paradigm shift. Step-change. Planned/unplanned. Opportunistic. Prototypes and pilot implementation.
- *Identification of key processes and activities:* Milestones. People and resource needs (e.g. capacity and capability). Costs, funding and budgets. Constraints and risks (e.g. Timescales, finance, contingency planning. Cultural impact, reputation, stakeholders, international trade barriers. Identification of the critical path. Development of a communications strategy and plan, internal and external. Ownership. Governance. Leadership styles and approach (e.g. Transformational Leadership (Bass and Riggio, 2006)).
- *Monitoring:* Achievement of objectives. KPIs. Critical success factors. Critical decisions. Timescales (milestones). Resource use. Costs/budgets. Cost benefit analysis (e.g. net social cost benefit). Active reflection on the recommended implementation process.

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on approaches to developing organisational strategy.
2. The learner may be asked to **develop** an organisational strategy to achieve a business goal.
3. The learner may produce a **reflective account** to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
Organisational Performance	● Leading change and innovation
	● Managing resource and risk
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K8	Financial strategies, for example scenarios, modelling and identifying trends, application of economic theory to decision-making, and how to evaluate financial and non-financial information.	Duty 4
	K9	Financial governance and legal requirements, and procurement strategies.	Duty 4; Duty 12
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
	K14	Working with board and other company leadership structures.	Duty 1; Duty 3
	K17	Crisis and risk management strategies.	Duty 5
	K19	Approaches to developing a Corporate Social Responsibility programme.	Duty 2; Duty 5; Duty 11
	K20	The organisation's developing communications strategy and its link to their area of responsibility.	Duty 10
Skills	S1	Use horizon scanning and conceptualisation to deliver high performance strategies focusing on growth/sustainable outcomes.	Duty 1
	S2	Set strategic direction and gain support for it from key stakeholders.	Duty 1; Duty 2; Duty 3;

			Duty 6; Duty 9; Duty 11
	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S4.1	Lead change in their area of responsibility, create an environment for innovation and creativity	Duty 3; Duty 5; Duty 7; Duty 11
	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S7	Challenge strategies and operations in terms of ethics, responsibility, sustainability, resource allocation and business continuity/risk management.	Duty 2; Duty 4; Duty 11
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S10	Oversee development and monitoring of financial strategies and setting of organisational budgets based on Key Performance Indicators (KPIs), and challenge financial assumptions underpinning strategies.	Duty 1; Duty 2; Duty 4
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9
	S21	Shape and manage the communications strategy for their area of responsibility.	Duty 10

Suggested reading/web resource materials

Recommended Reading:

- Ambrosini, V., Jenkins, M. and Mowbray, N. (2015). *Advanced Strategic Management: A multi-perspective approach*. Palgrave McMillan Higher Education.
- Collis, D.J. and Montgomery, C.A. (2005). *Corporate Strategy*. McGraw-Hill.
- Grant, R. (2016). *Contemporary Strategy Analysis*. John Wiley and Sons.
- Jackson, M.C. (2003). *Systems Thinking: Creative Holism for Managers.* John Wiley.
- Johnson, G., Whittington, R., Scholes, K., Agwin, D.N. and Regner, P. (2017). *Exploring Strategy: Texts and Cases*. Pearson.
- Stacey, R.D. (2010). *Strategic Management and Organisational Dynamics.* Financial Times/Prentice Hall.

Strategy Books

- Armstrong, P. (2017). *Disruptive technologies: Understand, Evaluate, Respond.* Kogan Page.
- Barney, J. and Clark, D. (2007). *Resource-Based Theory: Creating and Sustaining Competitive Advantage.* Oxford University Press.
- Bower, J. and Gilbert, C. (2007). *From Resource Allocation to Strategy.* Oxford University Press.
- Porter, M. (2004). *Competitive Strategy: Techniques for Analyzing Industries and Competitors.* Free Press.
- Ritchie-Dunham, J.L. and Rabbino, H.T. (2002). *Managing from Clarity: Identifying, Aligning and Leveraging Strategic Resources.* Wiley.

- Schein, E.H. (2015). *Organisational culture and leadership (Vol. 2).* John Wiley and Sons.
- Schwartz, P. (1997). *The Art of the Long View: Planning for the Future in an Uncertain World*. John Wiley and Sons.
- Tennent, J. and Friend, G. (2011). *Guide to Business Modelling.* The Economist.

Strategic Planning Books

- De Wit, B. (2004). *Strategy-Process, Content, Context: An International Perspective*, Thomson.
- Grant, R. (2010). *Contemporary Strategy Analysis: Text and Cases.* John Wiley and Sons.
- Johnson, G., Scholes, K. and Whittington, R. (2011). *Exploring Corporate Strategy: Text & Cases.* Pearson Education Limited.
- Kaplan, R. (2001). *The Strategy-Focused Organisation: How Balanced Scorecard Companies Thrive in the New Business Environment*. Harvard Business School Press.
- Mintzberg, H. (2009). *Strategy Safari: The Complete Guide through the Wilds of Strategic Management.* Financial Times/Prentice Hall.
- Porter, M. (2008). *The Five Competitive Forces That Shape Strategy.* Harvard Business Review.
- Stacey, R. (2019). *Strategic Management and Organisational Dynamics.* 6th ed. Financial Times Prentice Hall.

Journals

- British Journal of Management
- Business Strategy Review
- European Management Journal
- Harvard Business Review
- Journal of Business Strategy
- Long Range Planning
- Sloan Management Review

Supplementary Journals

- Academy of Management Journal
- Academy of Management Review
- European Management Review
- Strategy and Leadership
- Management Decision
- Strategic Change

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	A/617/6865
RQF level	7
Guided learning hours	24
Total unit time	80
Credits	8
Aims of unit	Leaders must be able to navigate an organisation through strategic change. This will optimise an organisation's ability to remain competitive, react to the needs and expectations of stakeholders and respond to changing national and international markets.
	The aim of this unit is for leaders to understand the scope, context and complexity of leading strategic change. Leaders will understand how the application of analytical techniques, theories and models of change, and creative problem-solving can be used to equip them to lead strategic change with confidence. The unit culminates in giving leaders the opportunity to develop a proposal to lead a strategic change.
Keywords	Change, drivers, scope, context, problem-solving, theory, approaches, strategy, reflection, success.

Learning outcome 1
Understand the scope and context of strategic change
Assessment criteria
1.1 Discuss the scope, context and drivers for organisational change
1.2 Critically appraise the complexities of leading strategic change
1.3 Critically evaluate theories and models for leading and managing strategic change
Indicative content
1.1 Scope: strategic, operational, departmental, team, people. ● *Organisational context:* Type of organisation. Public sector (local and national government). Private. Third sector. Local, regional, national, international and global organisations (Cross border and cross boundary organisations). SMEs. Partnerships. Sole Traders. Limited liabilities Companies (LLPs). ● *Internal drivers for change:* Financial management. Profitability. Organisational structures and governance. Re-structuring. Competition. Organisational culture (Edgar Schein, 1988; Johnson and Scholes, 2011). Organisational vision and values. Resourcing, capability and capacity. Innovation, entrepreneurialism, creativity and enterprise. Stakeholder requirements. Current, emerging and

disruptive technologies. New ways of working across infrastructure, processes, people and culture and sustainability. Systems thinking, knowledge/data management, programme management. New product development. Staff morale. Demographics. Conflict management.

- *External drivers for change:* Legal and regulatory requirements (e.g. health and safety, environmental standards, CSR). Government-led drivers (e.g. legislative changes, policy initiatives). Political, economic and social influences and stability (e.g. local, regional, national, global). Industry structures. Stakeholder influence. Competition (e.g. from existing and new competitors). Partnerships. Emerging/changing markets. Response to a crisis situation. Disasters and events. Emerging and disruptive technologies. Big data and insight.

1.2 Complexities of leading strategic change: Legal, regulatory and good practice requirements. Organisational culture (e.g. prevailing and desired, resistance to and support for change). Organisational development and design (e.g. Human Resource Management. Impact of restructuring/de-layering). Stakeholder management (e.g. relationships with partners, staff, unions and other representative bodies). Resourcing. Maintaining business as usual. Communicating, purpose, scope and definition of change. Managing and mitigating risk.

1.3 Theories and models for change: Models of Incremental and Transformational Change. Eight Guiding Principles of Change Management (Kotter, 2014). McKinsey's 7S Model (Singh, 2013). The Three Step-Model of Change (Lewin, 1947). The Action Research Model (Lewin, 1946). Force Field Analysis (Lewin, 1951). Radical Change within Traditional Structures (Oswick, 2015). Appreciative Enquiry Model (Cooperrider, Srivastva, Bushe et al, 2011).

Learning outcome 2
Know how to propose a strategy for leading strategic change
Assessment criteria
2.1 Develop a proposal for leading strategic change 2.2 Reflect on how approaches to leadership can be applied to deliver the strategy for change
Indicative content

2.1 Proposal:
- Outline of the proposed strategic change (e.g. synopsis of change, statement of business value/benefits of change, anticipated timeframe, resources).
- Aim and objectives of strategic change.
- Alignment of change to the strategic goals of the organisation. Compliance with organisational (e.g. HR, ethical, CSR), legal and regulatory frameworks.
- Tools and techniques to deliver strategic change. Diagnostic and action-planning. Stakeholder mapping. Models of change (e.g. Kotter, 2014, Lewin, 1946, Oswick, 2015). Structured approaches to project management (e.g. Agile, Waterfall, PRINCE2.) Risk identification and mitigation. Contingency. Governance and reporting structures.
- Potential impact and consequences of strategic change. Gaining insight into effects of change. (e.g. change agents, stakeholders). Overcoming resistance to change. Monitoring outcomes (e.g. Reactions to change, values, beliefs, culture).
- The organisation's developing communications strategy to support and disseminate strategic change (e.g. Internal/external).

2.2 Leadership approaches and management models: Authentic Leadership (Goffee and Jones, 2011). Entrepreneurial Leadership (Roebuck, 2014). Transformational Leadership (Bass and Riggio, 2006). Situational Leadership (Hersey and Blanchard, 1969). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Leadership Styles (Goleman, 1995). Charismatic Leadership (House, 1997). The Servant

Leader (Greenleaf, 1977). Finding new role models. Allowing imprecise visions. Creating new areas and pockets of commitment. Ethos, ethics and values (Mendonca and Kanungo, 2007). Use of informational resources.

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the scope, context and complexity of organisational change
2. The learner may be asked to develop a **proposal** for a strategy to lead change in an organisational context
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness   ● Making decisions

Interpersonal Excellence   ● Providing purpose and direction

Organisational Performance   ● Leading change and innovation

                               ● Managing resource and risk

                               ● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge			
Knowledge	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes,	Duty 4; Duty 9; Duty 11

		people and culture and sustainability.	
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S5	Lead and respond in a crisis situation using risk management techniques.	Duty 4; Duty 5
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S21	Shape and manage the communications strategy for their area of responsibility.	Duty 10

Suggested reading/web resource materials

Recommended Books

- Cameron, E. and Green, M. (2012). *Making sense of change management: a complete guide to the models, tools and techniques of organisational change.* Kogan Page.
- Handy, C. (1993). *Understanding Organisations.* Penguin.
- Haye, J. (2018). *The Theory and Practice of Change Management.* Palgrave. (5th ed)
- Hodges, J. (2016). Managing and Leading People Through Organisational Change: *The theory and practice of sustaining change through people.* Kogan Page.
- Hughes, M. (2010). *Managing change: a critical perspective.* Chartered Institute of Personnel and Development.
- Maccoby, M. (2017). Strategic Intelligence: *Conceptual Tools for Leading Change.* Oxford University Press.
- Olson, A. and Simerson, K. (2015). Leading with Strategic Thinking: *Four Ways Effective Leaders Gain Insight, Drive Change, and Get Results.* Wiley.
- Stanford, N. (2018). *Organisation Design.* Routledge.
- Stanford, N. (2013). *Engaging with Change.* John Wiley and Sons, Routledge.
- Kotter, J.P. (2011). *On Change Management.* HBR's 10 must reads. Boston, MA: Harvard Business Review Press.

Supplementary Books

- Ashkenas, R. et al. (2002*). The Boundaryless Organization: Breaking the Chains of Organisational Structure.* Jossey Bass.

- Hughes, M. (2010). *Managing Change: A Critical Perspective.* Chartered Institute of Personnel and Development.
- Kotter, J.P. (1996). *Leading Change.* Harvard Business School Press.
- Kotter, J.P. (2008). *Sense of Urgency.* Harvard Business School Press.
- Kotter, J.P. (2014). *Accelerate: Building Strategic Agility for a Faster-Moving World*. Harvard Business School Press.
- Mill, J.H., Dye, K. and Mills, A.J. (2009). *Understanding organisational change.* Routledge.
- Schein, E.H. (2004). *Organisational Culture and Leadership.* John Wiley and Sons.
- Senge, P. et al. (2008). *The Necessary Revolution: How Individuals and Organisations are Working Together to Create a Sustainable World.* Nicholas Brealey.

Journals

- International Journal of Strategic Change Management
- Journal of Change Management
- Journal of Organisational Behaviour
- Journal of Organisational Change Management
- Journal of Organisational Design
- Leadership & Organisation Development Journal
- Organisation Development Journal

Supplementary Journals

- Journal of Occupational and Organisational Psychology
- Journal of Organisation Design
- Organisational Behaviour and Human Decision Processes
- Organisational Science

Recommended Journals/Articles

- Aguirre, D. and Alpern, M. (2014). *10 principles of leading change management.* Strategy+Business. No 75, Summer. pp.65-71.
- Alfes, K., Truss, C. and Gill, J. (2010). *The HR manager as change agent: evidence from the public sector.* Journal of Change Management. Vol 10, No 1. pp.109-127.
- Barratt-Pugh, L. and Bahn, S. (2015). *HR strategy during culture change: building change agency.* Journal of Management & Organization. Vol 21, No 6. pp.741-754.
- Gill, A. (2009). *Employee engagement in a change environment. Strategic HR Review*. Vol 8, No 2. pp19-24.
- Graetz, F. and Smith, A. (2010). *Managing Organisational change: a philosophies of change approach.* Journal of Change Management. Vol 10, No 2, June. pp.135-154.
- Hennessy, J. and McCcartney, C. (2008). *The value of HR in times of change*. Strategic HR Review. Vol 7, No 6. pp.16-22.
- Kotter, J.P. and Schlesinger, L.A. (2008). *Choosing op for change*. Harvard Business Review.
- Lawrence, P. (2015). *Leading change: Insights into how leaders actually approach the challenge of complexity.* Journal of Change Management. Vol 15, No 3. pp231-252.
- Singh, A. (2013). *A study of role of McKinsey's 7S framework in achieving organizational excellence.* Organization Development Journal, 31(3), pp.39-50.
- Wiedner, R., Barrett, M. and Oborn, E. (2017). *The emergence of change in unexpected places: resourcing across Organisational practices in strategic change*. Academy of Management Journal. Vol 60, No 3. pp.823-854.
- Wolff, C. (2010). *Managing change survey 2010: The role of HR. IRS Employment Review*. 6 September.7pp.

Useful External Weblinks

Association of Project Management http://www.apm.org.uk/

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements.
Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	F/617/6866
RQF level	7
Guided learning hours	32
Total unit time	90
Credits	9
Aims of unit	Practicing leaders must have an understanding of the Finance function to be an effective decision maker within their role. Finance impacts on all aspects of an organisation and has a profound influence on the development and achievement of strategic objectives.
	The aim of this unit is to provide leaders with an understanding of the scope, complexity and role of Finance within an organisational context. Leaders will know how to critically assess methods for analysing financial data and information required to make strategic decisions. Ultimately, the aim of this unit is to equip leaders to be more confident in their understanding of the Finance function.
Keywords	Financial accounting, project accounting, management accounting, Treasury, financial markets, institutions, governance, business partnering, technology, data, information, ethics, reporting.

Learning outcome 1
Understand the scope of the Finance function within an organisational context
Assessment criteria
1.1   Critically appraise how the Finance function supports organisational success
1.2   Discuss the scope, boundaries and governance of Finance within an organisational context
1.3   Critically assess current and emerging technological factors which impact on Finance
Indicative content
1.1   Finance function: Finance as a strategic business partner (e.g. inform new business models and plans. Outsourcing and insourcing. Make or buy decisions). Trusted advisor (e.g. identifying and securing sources of finance and allocation of funds, supply chain integration, use of business intelligence, industry convergence). Drive and contribute to strategic and operational planning. Governance (e.g. policies, procedures). Defining a project and its identity. Conducting value add and value for money (e.g. Public Sector). Business analysis. Creation of alliances and partnerships. Managing supply chain financial and supplier risk. Reporting to internal and external stakeholders.

1.2   Organisational Contexts: Global, international, national, regional, local. Corporate, business, network, operational, functional, strategic business unit (SBU), departmental. Multi-national enterprise (MNE), Corporation (government owned or privately owned). Small to medium sized enterprise (SME). Public sector. Cooperative organisations. Partnerships. Sole traders. Not for profit (e.g. charities).

Scope, boundaries and governance of Finance:

● *Financial accounting:* Managing sources of finance (e.g. debt equity ratio and the cost of capital). Financial statement analysis. Content and reporting of financial information to stakeholders (e.g. Trustees, Board of Independent Directors). Interpreting financial analysis (e.g. compounding and discounting factors, time value of money - future and present value).

● *Management and cost accounting:* Costing methods (e.g. product, process, job costing). Budgeting and forecasting. Variance analysis. Cash flow. Relevant costs (e.g. internal cost reporting and decision making).

● *Project accounting (cost engineering):* significant projects (e.g. ring fenced to manage business risk, project charts of account). Purchasing (simple contracts). Role of project analysis methods (e.g. budgeted cost of work performed). Payment methods (e.g. earned values). Quantity adjusted budgets.

● *Treasury, financial markets and institutions:* The role of treasury management. (e.g. Capital Asset Pricing Model. Stock market anomalies and inefficiencies. Portfolio theory and management. Investment Management. Financial risk management).

● *Governance:* Legal and regulatory frameworks. Companies Act 2006. Partnership Act 1890. General Data Protection Regulation (GDPR, 2018). International Financial Reporting Standards. Industry and technical standards. Professional codes of conduct. Sarbanes-Oxley. Bank of England Directives. EU Directives. UK Treasury Directives. Oversee development and monitoring of financial strategies and setting of organisational budgets based on Key Performance Indicators (KPIs).

1.3   Current and emerging technological factors: Technological development (e.g. electronic transactions and payments). Electronic Data Interchange (EDI) standards and protocols. Simple, smart and self-invoicing. Use of enterprise resource planning (ERP). Manufacturing resource planning (MRP) systems. Spreadsheets and accounting software. Value added networks (VANs). New/evolving technologies - block chain and peer to peer technologies, Cloud computing, cybersecurity, FINtech and industry convergence, industry 4.0, use of Big Data.

Learning outcome 2
Understand the role of Finance in strategic decision making
Assessment criteria
2.1 Critically assess how strategic decision making is informed by financial and cost analysis 2.2 Discuss approaches for legal and ethical financial reporting
Indicative content
2.1 Financial analysis: Financial statement (e.g. statement of financial position, balance sheet, profit and loss statement, annual report). Use of key financial ratios (e.g. Liquidity, profitability, solvency, efficiency/effectiveness). Use financial data to allocate resources *Cost analysis:* Budgeting and cashflow. Costing methods (e.g. fixed cost, variable cost, activity costs, marginal, project costing). Investment appraisal (e.g. Discounted Cash Flow. Internal Rate of Return. Net Present Value. Return on Investment. Payback. Return on Capital Employed. Weighted Average Cost of Capital). Challenge financial assumptions which underpins strategies. *2.2 Reporting:* ● *Legal:* Mandatory financial statements to external stakeholders in the public domain. Formal audit reporting. Costs and budgets to internal stakeholders (e.g. Internal performance reporting). Use of

leading and lagging indicators or measures to report performance. Dealing with causation and correlation of financial data and information.

● *Ethics:* Adherence to ethical codes of conduct (e.g. Professional Bodies) and guidance from the financial reporting council. The challenge of impartiality, influence and power of stakeholders, different perspectives, cognitive limits and bias (e.g. The observer and the observed phenomena Mahoney 1988). Reporting (e.g. situations when data or information may be incomplete, corrupted or lacks currency).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the scope and complexity of Finance within organisational contexts.
2. The learner may be asked to write an **account** on how a strategic leader can use financial and non-financial data and information to make decisions and report performance.
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness
- Making decisions
- Communicating and influencing

Interpersonal Excellence
- Providing purpose and direction

Organisational Performance
- Managing resource and risk
- Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K8	Financial strategies, for example scenarios, modelling and identifying trends, application of economic theory to decision-making, and how to evaluate financial and non-financial information.	Duty 4
	K9	Financial governance and legal requirements, and procurement strategies.	Duty 4; Duty 12

Skills	S10	Oversee development and monitoring of financial strategies and setting of organisational budgets based on Key Performance Indicators (KPIs), and challenge financial assumptions underpinning strategies.	Duty 1; Duty 2; Duty 4
	S11	Uses financial data to allocate resources.	Duty 1; Duty 2; Duty 4

Suggested reading/web resource materials*

Please note: there is no singular textbook which covers the complete range of topics included within this unit

Textbooks/eBooks

Financial Accounting

- Harrison, W.T., Horngren, C.T., Thomas, C.W., Tietz, W.M. and Suwardy, T. (2018). *Financial Accounting: International Financial Reporting Standards.* Global Edition, Pearson. *
- Horngren, C.T., Sundem, G.L., Elliott, J.A. and Philbrick, D. (2013). *Introduction to Financial Accounting.* Pearson New International Edition. *
- Miller-Nobles, T.L. (2015). *Horngren's Financial & Managerial Accounting, The Managerial Chapters.* Global Edition. *

Management and Cost Accounting

- Datar, S.M. and Rajan, M.V. (2017). *Horngren's Cost Accounting: A Managerial Emphasis*. Global Edition, Pearson.
- Drury, C. (2010). *Management and Cost Accounting*, 9th Ed. Cengage Learning.
- Weetman, P. (2010). *Management Accounting*. Prentice Hall. *

Public Sector Accounting

- Budding, T. (2014). *Public Sector Accounting.* Routledge.
- Van Dooren, W. (2015). *Performance Management in the Public Sector (Routledge Masters in Public Management.*
- Van Helden, J and Hodges, R. (2015). *Public Sector Accounting and Budgeting for Non-Specialists*. Pagrave.

Supplementary Reading

- Johnsen, T.E., Howard, M. and Miemczyk, J. (2019). *Purchasing and Supply Chain Management.* 2nd ed. Abingdon: Routledge.

Contract Management Books

- Corey, J.J. Jr. (2015). *Contract Management and Administration for Contract and Project Management Professionals. Fuquay Varina, NC: JJ Corey.*
- Sammons, P. (2017). *Contract Management: Core Business Competence*. London: Kogan Page.

Project Accounting and Cost Engineering

- American Association of Cost Engineers. (1979). Project and Cost Engineering Handbook.
- Clarke, F.D. and Lorenzoni, A.B. (1985). Applied Cost Engineering, 2nd ed. *
- Kerzner, H. (2017). Project Management A Systems Approach to Planning, Scheduling and Controlling, 3rd ed. *
- Project Management Institute Standards Committee. (1996). A Guide to the Project Management Body of Knowledge.

Journals

- Journal of Purchasing & Supply Management
- Recent Journal of Purchasing & Supply Management Articles
- Journal of Accountancy
- Accounting Today
- International Journal of Accounting
- Management Today
- People Management

Useful External Weblinks

www.nao.org.uk/successful.../value-for-money/assessing-value-for-money/

www.nao.org.uk/successful-commissioning/general.../value-for-money/

www.finance-ni.gov.uk/articles/definition-best-value-money

Institute of Chartered Accountants in England and Wales (ICAEW), http://www.icaew.com/

Institute of Chartered Accountants of Scotland (ICAS), https://www.icas.com/

Chartered Accountants Ireland, https://www.charteredaccountants.ie/

Association of Chartered Certified Accountants (ACCA), http://www.accaglobal.com/uk/en.html

Chartered Institute of Public Finance and Accountancy (CIPFA), http://www.cipfa.org/

Chartered Institute of Management Accountants (CIMA), http://www.cimaglobal.com/

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	J/617/6867
RQF level	7
Guided learning hours	26
Total unit time	80
Credits	8
Aims of unit	Organisational design and development impacts on an organisation's ability to respond to new and emerging markets, changing work patterns, new technologies and the ability to respond to the needs and expectations of stakeholders. Ultimately, organisational design and development is critical to an organisation's sustained success.
	The aim of this unit is to enable leaders to understand the relationship between organisational design and development and the achievement of strategic objectives. Leaders will understand the impact of current and emerging factors which influence the need for agile and adaptive organisations. On successful completion of this unit, leaders will be able to develop a proposal for sustainable organisational design and development to respond to current and emerging needs.
Keywords	Design, development, vision, mission, strategy, change, people, teams, organisations, objectives, success.

Learning outcome 1
Understand organisational design and development
Assessment criteria
1.1 Critically assess the factors which influence organisational design and development 1.2 Critically appraise approaches to organisational design and development
Indicative content
1.1 Factors (Current and emerging): ● *Organisational contexts:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure (e.g. mechanistic, bureaucratic, organic, virtual, hub, spoke). Organisational culture. Type (e.g. operational, local, international, global, project/programme based, departmental and strategic business unit). International factors (e.g. ethno-centric, geo-centric). Size of the organisation (including the impact of increasing/decreasing workforce). Levels of organisational

maturity (Carnegie Mellon Maturity Index (CMMI), 1990). External environment (Political, economic, social, technological).

- *Strategic objectives:* Relationship between the organisation's vision, mission, strategy, assets/resources, corporate social responsibility and sustainability, people and environment and strategic objectives (e.g. to improve efficiency and effectiveness).
- *Legal and organisational frameworks (UK/international):* e.g. Equality Act (2010), Modern Slavery Act (2015). Customs and practices relevant to industry sector. (e.g. HSE requirements, working time directives, age requirements).
- *Assets management/organisational assets:* Physical infrastructure (e.g. premises types, internal layout). Manufacturing equipment. Transport and logistics. IT systems. Intellectual property. Brand and reputational value.
- *Human resourcing:* Human capital. Talent management. Workforce structure and planning (e.g. hierarchy, matrix, partnership, professional practice, flexible and unstructured 'boundaryless'). Demographics of workforce. Succession/pipeline planning. Employment contracts (e.g. Full time, part-time, precariat working, contractors, subcontractors, consultants, partners, apprentices, interns, seasonal contractors). Flexible Firm model (Atkinson, 1984). The Shamrock Organisation (Handy, 1989).

1.2 Approaches: Development/change to organisation structure. Business processes. Activities/workflows. Roles, responsibilities and accountabilities. Span of control (e.g. number and levels of management, level of constraint/freedom awarded to specific roles). Centralisation/decentralisation of task/activities (e.g. decision-making, levels of autonomy). Organisation of workforce (divisions, departments, team structures, projects). Relationships among individuals, groups, departments (e.g. team dynamics, cross-functional teams). Allocation and deployment of resources. Organisational Development and Design (Cheung-Judge, Holbeche, 2015; Galbraith, 2014; Stanford, 2018). McKinsey's 7S Model (Peters and Waterman, 1982). Six Box Model (Weisbord, 1976). Galbraith's Star Model (Galbraith, 1977). Organisation as Complex Adaptive Systems (Kaufman et al, 2000). Learning and development (e.g. formal, informal, coaching, mentoring) (Anderson, 2017). Learning organisations (Checkland, 1981; Senge, 1990). Knowledge management (Max Boisot, 2000). Change Readiness: A Multi-Level Review (Rafferty et al, 2013).

Learning outcome 2
Understand how to apply the principles of organisational design and development
Assessment criteria
2.1 Develop a proposal using the principles of organisational design and development to enable the achievement of strategic objectives 2.2 Recommend approaches to ensure sustainable organisational design and development are embedded within organisational strategy
Indicative content

2.1 Proposal:
- *Type of proposal:* Business plan, strategic plan or report.
- *Scope of proposal:* Whole organisation or significant part of an organisation.
- *Content of proposal:*
  - Rationale for organisational design and development: Response to market need (local, international), financial imperative, rationalisation of services, opportunity, merger, legal/regulatory requirements.
  - Analysis of existing circumstances, structure and processes of the organisation: Analysis of external/internal environment. Strategic issues and objectives. Business activities. Organisational structure. Assets (i.e. people, equipment, infrastructure, IT, physical, virtual). Culture. Social systems.

- Organisation diagnosis: Sensemaking to establish causes and possible solutions to structural problems/requirements for organisational development. Organisations as complex adaptive systems. (Kaufmann et al, 2000). System in Focus and Organisations as viable systems (Beer, 1970). Chaos Theory (Cheung-Judge, Holbeche, 2015). Application of Co Evolutionary Theory Collective Strategy (Stacey, 2011). Organisation as an Autopoietic Systems (Maturana and Varela, 1990). Cultural Web (Johnson and Scholes, 2008)
- *Objectives:* Measures (KPIs). Critical success factors. Critical assumptions. Critical decisions.
- Timescales (milestones) if applicable.
- *Resource needs*: People, real and virtual assets, costs/budgets, cost benefit analysis (net social cost benefit), return on investment.
- Implementation strategy.
- Barriers and challenges, risk, opportunities, legal and regulatory requirements, corporate social responsibility and sustainability.
- Governance of the proposal.
- Stakeholder considerations.
- Communication strategy (internal and external).

2.2 Approaches to ensure sustained organisational development and design:
Strategic planning. (e.g. Reflective, central, cyclical). Development of clear goals and objectives. Ethos, ethics, values, sense of purpose (Mendonca and Kanungo, 2007). Continuous improvement (Hines and Butterworth, 2019). Change management (e.g. Anderson, 2017). Radical Change within Traditional Structures (Oswick, 2015). Design and assessment of new models or structures (Stanford, 2017).

Organisational culture and leadership (Schein, E. and Schein, P. (2017)). Organisational behaviours (McShane and Glinow, 2017). Leadership approach (e.g. Value-driven Leadership (Gentile, 2014); Leadership Styles (Goleman, 1995); Authentic Leadership (Goffee and Jones, 2011); Entrepreneurial Leadership (Roebuck, 2014); Cross Cultural Leadership (Hofstede, 1991); Transformational Leadership (Bass and Riggio, 2006)). Collaboration (Frost, 2005). The CSR Pyramid (Carroll, 1979).

Application of decision-making models (e.g. Ethical decision making, the rational model/model of bounded rationality (Simon, 1979). The organisational procedures view (March 1988)). Taking a holistic 'Helicopter view' (Morgan, 1985). Sustaining organisation change (Wallin and Von Krogh, 2010).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on organisational design and development

2. The learner may be asked to develop a **proposal** for organisational design and development

3. The learner may produce a **reflective account** on their work-based practice to evidence their knowledge and understanding of organisational design and development

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
Interpersonal Excellence	● Providing purpose and direction

Organisational Performance	● Developing people and capabilities
	● Leading change and innovation
	● Managing resource and risk
	● Achieving results

| **Relationship with other frameworks and occupational standards** |

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K8	Financial strategies, for example scenarios, modelling and identifying trends, application of economic theory to decision-making, and how to evaluate financial and non-financial information.	Duty 4
	K12	Influencing and negotiating strategies both upwards and outwards.	Duty 8; Duty 9
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
	K14	Working with board and other company leadership structures.	Duty 1; Duty 3
	K15	Brand and reputation management.	Duty 3; Duty 10
Skills	S4.1	Lead change in their area of responsibility, create an	Duty 3; Duty 5; Duty 7;

		environment for innovation and creativity	Duty 11
	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S13	Use personal presence and "storytelling" to articulate and translate vision into operational strategies, demonstrating clarity in thinking.	Duty 6; Duty 7; Duty 11
	S14	Create an inclusive culture, encouraging diversity and difference and promoting well-being.	Duty 6; Duty 7
	S15	Give and receive feedback at all levels, building confidence and developing trust, and enable people to take risks and challenge where appropriate.	Duty 6; Duty 7
	S17	Lead and influence people, building constructive working relationships across teams, using matrix management where required.	Duty 7
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9
	S20	Lead within their area of control/authority, influencing both upwards and outwards, negotiating and using advocacy skills to build reputation and effective collaboration.	Duty 8

Suggested reading/web resource materials

Recommended Reading
- Cheung-Judge, M-Y. and Holbeche, L. (2015). Organization Development. A practitioner's guide for OD and HR. 2nd ed. London: Kogan Page.
- Galbraith, J.R. (2014). Designing Organizations: Strategy, Structure, and Process at the Business Unit and Enterprise Levels. 3rd ed. San Francisco, CA: Jossey-Bass.
- Stanford, N. (2018). Organization design (The practitioner's guide). Abingdon, Oxon.: Routledge.

Further Reading
- Ashkenas, R., Ulrich, D., Jlck, T. and Kerr, S. (2015). The Boundaryless Organization: Breaking the Chains of Organizational Structure. 2nd ed. San Francisco, CA: Jossey Bass.
- Burnes, B. (2017). Managing Change. 7th ed. Harlow, Pearson.
- Cameron, E. and Green, M. (2015). Making sense of change management: A complete guide to the models, tools and techniques of organisational change. 4th ed. London: Kogan Page.
- Fincham, R. and Rhodes, P. (2005). Principles of Organizational Behaviour. Oxford: Oxford University Press.
- Fisher, C., Lovell, A. and Valero-Silva, N. (2012). Business Ethics and Values: Individual Corporate and International Perspectives. 4th ed. Harlow: Pearson.
- Galbraith, J. R., Downey, D. and Kates, A. (2001). Designing Dynamic Organizations: A Hands-on Guide for leaders at All Levels. New York, NY: McGraw-Hill Education.
- Hayes, J. (2014). The Theory and Practice of Change Management. 4th ed. London: Palgrave Macmillan.
- Helms Mills, J., Dye, K. and Mills, A.J. (2009). Understanding organizational change. Abingdon: Routledge.

- Hines, P. and Butterworth C. (2019) The Essence of Excellence. S A Partners.
- Hughes, M. (2010). Managing change: A Critical Perspective. 2nd ed. London: Chartered Institute of Personnel and Development.
- Kotter, J.P. (2012). Leading Change. Boston, MA: Harvard Business Review Press.
- Kotter, J.P. (2011). On Change Management. HBR's 10 must reads. Boston, MA: Harvard Business Review Press.
- Nicholls, A. (2008). Social Entrepreneurship: New Models of Sustainable Social Change. Oxford: OUP.
- Schein, E.H. (2016). Organizational culture and leadership. 5th ed. Chichester: John Wiley.
- Senge, P. (2006). The Fifth Discipline: The Art and Practice of The Learning Organization. 2nd ed. London: Random House Business Books.
- Senge, P. (2009). The Necessary Revolution: How Individuals and Organizations are Working Together to Create a Sustainable World. London: Nicholas Brealey Publishing.
- Stanford, N. (2015). Guide to Organisation Design: Creating High-Performing and Adaptable Enterprises. 2nd ed. London, Profile Books.
- Tett, G. (2016). The Silo Effect: Why Every Organisation Needs to Disrupt Itself to Survive. London: Abacus.
- Worren, N. (2018). Organization design. Simplifying Complex Systems. 2nd ed. Abingdon, Oxon.: Routledge.

Journals

- Journal of Change Management
- Journal of Organizational Change Management
- Leadership & Organization Development Journal
- Organization Development Journal
- Journal of Organizational Behaviour
- International Journal of Strategic Change Management
- People Management
- Training Journal
- Personnel Today

Supplementary Journals

- Organisational Science
- Organizational Behaviour and Human Decision Processes
- Journal of Occupational and Organizational Psychology
- Journal of Organizational Design

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	L/617/6868
RQF level	7
Guided learning hours	24
Total unit time	80
Credits	8
Aims of unit	The ability to effectively lead strategic risk management is essential to safeguard an organisation's prosperity and reputation. Ultimately, leaders must know how to develop and lead risk management in a manner that not only reacts to organisational needs but contributes to organisational success. The aim of this unit is for leaders to develop an in-depth understanding of strategic risk management. Leaders will critically appraise strategic risk within an organisational context. They will assess strategies for risk management and the leadership skills to lead risk initiatives successfully. Ultimately, leaders will be given the opportunity to develop a framework to deliver a risk strategy in an organisational context.
Keywords	Risk, scope, meaning, context, purpose, governance, strategies, approaches, prioritisation, escalation, mitigation, avoidance, transfer, leadership, success

Learning outcome 1
Understand strategies for managing risk
Assessment criteria
1.1 Critically appraise strategic risk within an organisational context 1.2 Critically assess strategies for managing risk in an organisational context
Indicative content
1.1 Risk: *Scope of risk:* Reputational. Technological (development, disruption, functionality, cyber security). Financial (e.g. interest rates, foreign exchange rates, funds and credit, counterparty risk). Political. Policy. Process. Engineering. Design. Partnerships. Collaborations. Human resource risk. Infrastructure. Communications. Supply chain. Crisis management planning and mitigation. Disasters and events. Public health risk. Cultural barriers (Strauss and Corbin, 1998; Hillson, 1997).

- *Current and emerging factors which influence risk:* Changing organisational structures, governance, processes and procedures. New policy development and implantation. Changing legal and regulatory requirements (e.g. ISO Standards, health and safety standards). Corporate Social Responsibility and sustainability. Short-term and long-term resource availability (e.g. people and assets). Changes in business continuity (e.g. business strategy). Changes to the external environment. Market change. Competition. New opportunities and challenges. New learning and development requirements. Changing stakeholder expectations and influence.

- *Organisational contexts:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure (e.g. authority versus autonomy). Current processes, policies, procedures. Organisational culture. Type (operational, local, international, global, SME's, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). External environment. Stakeholder influence, needs and expectations (e.g. pressure, lobby groups). Role of Regulatory bodies.

1.2 Strategies for managing risk: Risk register management process (e.g. risk prioritisation, escalation, mitigation, avoidance, risk transfer). Use of insurance policies. Continuity, contingency planning. Crisis Management Plan. Disaster recovery. Risk prevention and monitoring. Shadowing competitor risks. Identifying barriers and constraints. Approaches to problem solving. Messy Wicked Problems (Ackoff, Rittel and Webber, 1990). Tame Problems (Rittel and Webber, 2000). Systematic Boundary Critique (Ulrich, 1996, 2000). Multi Perspectives Analysis (Lindstone, 1993). Dealing with open and closed systems.

Learning outcome 2
Know how to develop risk management strategies
Assessment criteria
2.1 Critically appraise the leadership skills for strategic risk management 2.2 Propose a Risk Management Framework to deliver strategic objectives
Indicative content
2.1 Leadership skills: Application of Competency Frameworks and Codes of Practice. Future managerial competences (e.g. Managing complexity. Use of information technology. Remote management. Dealing with and managing ambiguity. Environment scanning and identifying weak signals (Morgan, 2013)). Attitudes to risk judgement (Baxter, 1990). Value-driven Leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Ethical Leadership (Mendonca and Kanungo, 2007). Entrepreneurial Leadership (Roebuck, 2014). Authentic Leadership (Goffee and Jones, 2011). Transformational Leadership (Bass and Riggio, 2006). Stakeholder management (Kahneman, 2011). Interpretation of data and information (which may be incomplete, corrupted, lacks currency). *2.2 Risk Management Framework:* Identification of the strategic risk. Relationship to strategic objectives (e.g. Scenario Planning (Ringland, 1990). Governance (e.g. roles, responsibilities, accountabilities (RAEW/RACI). Compliance with legal and regulatory frameworks and standards (e.g. Basel II, Sarbanes Oxley, Health and Safety Act, 1974. GDPR, 2018. International and national standards (e.g. ISO)). Strategies to measure, manage, monitor and report risk. Tools and techniques (e.g. RAID logs, Gantt Charts, KPIs). Risk assessment, registers and mitigation. Decision-making models (e.g. Ethical decision making. The rational model (Simon, 1979)). The model of bounded rationality (Simon, 1979). The incrementalist view (Lindblom, 1959). The organisational procedures view (The political view, March, 1988).
Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the strategies for managing risk
2. The learner may be asked to write an **account** on how to develop and lead strategic risk management
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness
- Making decisions
- Communicating and influencing

Interpersonal Excellence
- Providing purpose and direction
- Building relationships and networks

Organisational Performance
- Leading change and innovation
- Managing resource and risk
- Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K16	Working with corporate leadership structures, for example, the markets it operates in, roles and responsibilities, who its stakeholders are and what they require from the organisation and the sustainability agenda.	Duty 2
	K17	Crisis and risk management strategies.	Duty 5
Skills	S5	Lead and respond in a crisis situation using risk management techniques.	Duty 4; Duty 5

	S7	Challenge strategies and operations in terms of ethics, responsibility, sustainability, resource allocation and business continuity/risk management.	Duty 2; Duty 4; Duty 11
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12

Suggested reading/web resource materials

Textbooks/eBooks

Recommended Reading

- Baxter, K. (2010). *Fast Track to Success: Risk Management.* Prentice Hall.
- Bernstein, P. L. (1996). *Against the Gods: The Remarkable Story of Risk.* Chichester, NY: John Wiley & Sons.
- Chapman, C. and Ward, S. (2003). *Managing Project Risk and Uncertainty – A Constructively Simple Approach to Decision Making.*
- Christensen, C.M. and Overdorf, M. (2000). Meeting the Challenge of Disruptive Change. *Harvard Business Review*, March–April 2000.
- Hopkin, P. (2012). *Fundamentals of Risk Management: Understanding, Evaluating and Implementing Effective Risk Management,* 2nd Ed*.* London: Kogan Page.
- Hubbard, D. W. (2009). *The Failure of Risk Management: Why it's Broken and How to Fix it.* Chichester: John Wiley & Sons.

Supplementary Reading

- Bower, J. Bower, J.L. and Christensen. C.M. (1995). Disruptive Technologies: Catching the Wave. *Harvard Business Review*, 73(1), pp. 43–53.
- Clarke, L. (2001). *Mission Improbable, Using Fantasy Documents to Tame Disaster.* Chicago: The University of Chicago Press.
- Hutter, B. and Power, M. (2005). *Organizational Encounters with Risk*, Cambridge: Cambridge University Press.
- Kaplan, R.S. and Mikes, A. (2012). Managing Risks: A New Framework. *Harvard Business Review*, June 2012.
  https://hbr.org/2012/06/managing-risks-a-new-framework
- Manners-Bell, J. (2017). *Supply Chain Risk Management: Understanding Emerging Threats to Global Supply Chains.* London: Kogan Page.
- Power, M. (2009). *"The Risk Management of Nothing".* Accounting, Organisations and Society. Elsevier.
- Taleb, N.N. (2007). *The Black Swan: The Impact of the Highly Improbable*. New York: Random House.

Journals

- Risk Management: An International Journal
- [The Orange Book of Management of Risk - Principles and Concepts: HM Treasury- Hierarchy of Risk](#)
- Journal of Financial Risk Management
- International Journal of Risk Assessment and Management
- Journal of Risk and Financial Management
- Risk Management in Financial Institutions
- Entrepreneurship & Organization Management
- Managing Service Quality
- Business Process Management Journal
- Benchmarking: An International Journal

Useful External Weblinks

https://www.cips.org

https://www.ioscm.com

Use innovation to grow your business, © Crown copyright 2009, UK Gov.

www.prosci.com

cipd.co.uk/knowledge/strategy/change/management-factsheet

cleverism.com/major-approaches-models-of-change-management/

Alarm: Risk Excellence

Institute of Risk Management

The Health and Safety Executive

International Organization for Standardization

Risk Management Standards
- ISO 31000:2018 provides guidelines on managing risk faced by organisations. The application of these guidelines can be customised to any organisation and its context.
- ISO 31000:2018 provides a common approach to managing any type of risk and is not industry or sector specific.
- ISO 31000:2018 can be used throughout the life of the organisation and can be applied to any activity, including decision-making at all levels.

Quality Management Standards
- ISO 9000 family, including ISO 9000 and ISO 9004
- ISO 19011 for auditing management systems

IT and Security Standards
- ISO/IEC 27001, part of ISO/IEC 27000 family of standards, is an information security management system
- Cobit 5, IT governance and enterprise IT

Environmental Standards
- ISO 14000 family for environmental management systems

Information/knowledge Management Standards
- ISO 30401 Knowledge management systems

Health and Safety
- ISO 45001, Occupational Health and Safety

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	R/617/6869
RQF level	7
Guided learning hours	24
Total unit time	80
Credits	8
Aims of unit	The use of strategic data and information supports leaders to make complex decisions and judgements which will ultimately enable an organisation to achieve its objectives. Given the complexities of this topic, understanding how data and information can be applied strategically is an essential leadership attribute.
	The aims of this unit are for leaders to see strategic management of data and information as an opportunity rather than a challenge. Leaders will understand the strategic value and use of data and information and will critique strategies for its effective management. The unit culminates in the opportunity to develop a strategy to improve the use of data and information in a strategic organisational context.
Keywords	Data management, information management, value, usage, technology, governance, strategy, success.

Learning outcome 1
Understand the strategic management of data and information
Assessment criteria
1.1 Critically discuss the strategic use and value of data and information
1.2 Critically appraise the challenges of managing data and information in an organisational context
1.3 Evaluate approaches to the effective strategic management of data and information
1.4 Recommend a strategy to improve the management of data and information in an organisational context
Indicative content
1.1 Strategic use of data and information: Generic roles/emerging capabilities which use data and information: Data science, informatics, business analysis, business intelligence/data visualisation. Emerging developments (e.g. machine learning, Artificial Intelligence, real time decision making, automation, data orchestration).
Strategic value of data and information: Enterprise asset. Financial value. Competitive advantage. Development of people and/or organisational capabilities. Contribution to decision making at operational and

strategic levels (e.g. HRM/HRD. Operations. Finance. Procurement. Logistics. Product development. Marketing, Service delivery). Influence on project and programme management, innovation and change management, leadership strategy. Value and use to organisations in specific contexts *(e.g.* Public, private, third sector, local national international, global organisations including legal status and levels of organisational maturity).

*Data and information: (*e.g. Internal and external data and information in public and private domains). Use of qualitative and quantitative data and information. Text, images, numbers, multimedia, structured, unstructured, count, measurement, metrics and attribute data).

1.2 Challenges:

- Approaches to how data and information is acquired, created, stored, used, shared and managed (e.g. use of enterprise, process, data architectures).
- Capability of technology to support the management of data and information (e.g. legacy systems, cloud solutions (e.g. AWS - Amazon Web Services)). Capability of strategic data and information management to respond to change (e.g. organisational growth, merger, compliance, consolidation).
- Financial cost to acquiring, developing, maintaining and managing data and information (e.g. Cost of ICT i.e. licence fees, people development).
- Risk (e.g. data breaches, cyber security, Intellectual property, reputational risks, litigation, insourcing/out scouring data and information, data security, backup, hardware/software risks).
- Current and future capabilities: levels of knowledge, skills, expertise and leadership styles (e.g. Hay/McBer). Behavioural competences (Boyatzis, 1982). Future Competences (Morgan, 1985). Technical skill development i.e. business analysis, programming, project management (e.g. Prince 2, APM, PMI, Gantt charts, spreadsheets, simple data bases). Ability of people to interpret, select and weigh evidence, draw conclusions (e.g. currency, validity/relevancy, authenticity, and sufficiency). Organisational and information cultures (e.g. sharing, participating).
- The ability to use Systems Thinking: e.g. Soft Systems Method (Checkland, 1980). Viable Systems Model for organisation design (Beer, 1970). Critical Systems Heuristics (Ulrich, 1990). Strategic Options Design and Analysis (Eden et al., 1990). Strategic Assumption Surfacing and Testing (Rosenhead et al., 1990). Critical Systems Thinking (Jackson, 2019).
- Governance. Legal and regulatory frameworks. National/international (e.g. Data Protection Act, 2018, GDPR, 2018. Freedom of Information Act, 2000. IS0/IEC 27000 Information security. ISO/IEC 20000 Service management. ITIL. Cobit 5). Protocols for accessing and sharing data (cross functional data requirements). Ethical practice.

1.3 Strategies for the effective strategic management of data and information: Approaches to data acquisition, storage, creation, usage, management, sharing (e.g. use of enterprise architectures i.e. Zachmann, eTOM, TOGAF). Process and data architectures (e.g. metadata models). Development of new ICT capabilities. Development of 'Legacy' systems. Use of Systems Development Life Cycles (e.g. Agile/RAD, SRUM, Waterfall and "V" model). Purchase of COTS packages (e.g. Enterprise Resource Planning (ERP). Materials resource planning (MRP). Application of current and emerging technologies for specific organisational contexts (e.g. Simple and Smart invoicing, cashless transactions). EDI (Electronic Data Interchange standards and protocols). Spreadsheets and software for specific business functions. Business to business and business to consumer technologies. VANs (Value Added Networks). Peer to peer technologies. Internet and intranets. Blockchains. Cloud technologies. Cybersecurity. Data base types (e.g. use of Relational, Hierarchical, Object, Graph, Network, Pointer). Technologies for Data Mining, Data Visualisation. Dealing with "Big Data". Industry 4.0, Industry Convergence and FinTech. Disaster recovery, business continuity strategy, problem and service management (ITIL). Crisis management planning.

1.4 Strategy to improve the management of data and information: Approaches to the way data is acquired, created, stored, used, managed, shared. Data governance (policies and procedures). Stewardship and ownership. Approaches to collecting/selecting/rationalising data volumes and quality (clean data). Use of people analytics and metrics. Data Science and Informatics. Rationalisation of data formats and data definitions, data sets, data bases, technologies, applications, e.g., use of spreadsheets and COTs packages. Approaches tailored to strategic requirements, decision making (e.g. Reducing process waste and variation - Lean and Six Sigma. Financial and cost analysis. Market segmentation. Customer behaviours and analytics. Product and Service costing and pricing. Purchasing and procurement decisions). Benchmarking (e.g. use of PIMS - Profit Impact of Market Strategy, EFQM Excellence Model, Baldridge Model).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the strategic value and use of data and information.
2. The learner may be asked to **develop a strategy** to improve the use of data and information in an organisational context.
3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness
- Making decisions

Interpersonal Excellence
- Providing purpose and direction
- Developing people and capabilities

Organisational Performance
- Managing resource and risk
- Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader (ST0480):

Knowledge			
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K13	The external social and political environment and use of	Duty 1; Duty 8; Duty 9

		diplomacy with diverse groups of internal and external stakeholders.	
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12

Suggested reading/web resource materials

Recommended Reading

- Albright, S. and Winston, W. (2015). *Business analytics: Data analysis & decision making*. Stamford, CT: Cengage Learning.
- Jackson, P. and Carruthers, C. (2019). *Data-driven business transformation*. Hoboken, NJ: John Wiley & Sons.
- Laudon, K.C. and Laudon, J.P. (2015). *Essentials of management information systems*. Harlow: Pearson Education Limited.
- O'Keefe, K. and O'Brien, D. (2018). *Ethical data and information management: Concepts, tools and methods*. London: Kogan Page.
- Weirich, P. (2017). *Models of decision-making: Simplifying choices*. Cambridge: Cambridge University Press.

Supplementary Books

- Banks, R., Thorlund, J. T and Laursen, G. (2016). *Business analytics for managers*: *Taking business intelligence beyond reporting.* Hoboken, NJ: John Wiley & Sons.
- Chaki, S., (2015). *Enterprise information management in practice. Managing data and leveraging profits in today's complex business environment.* New York, NY: Springer Science + Business Media.
- Currie, W. and Galliers, B. (2014*). Rethinking management information systems: An interdisciplinary perspective*. Oxford: Oxford University Press.
- DAMA International (2017). *Data management body of knowledge*. Bradley Beach, NJ: Technics Publications.
- Earl, M. (2006). *Information management: The organisational dimension*. Oxford: Oxford Univ. Press.
- Eremenko, K. (2018). *Confident data skills - master the fundamentals of working with data and supercharge your career.* London: Kogan Page.
- Gorelik, A. (2019). T*he enterprise big data lake: Delivering the promise of big data and data science*. Sebastopol, CA: O'Reilly Media.
- Hinton, M. (2016). *Introducing Information Management*. New York, NY: Routledge.
- Milner, E. (2003). *Managing information and knowledge in the public sector*. London: Routledge.
- Phillips-Wren, G., Carlsson, S., Respício, A. and Brézillon, P. eds. (2014). DSS 2.0 - *Supporting decision making with new technologies*. Amsterdam: IOS Press BV.
- Rosenfeld, A. and Kraus, S. eds. (2018). *Predicting human decision-making*. Williston, VT: Morgan and Claypool.

Journals

- Information Processing & Management
- Expert Systems with Applications
- Journal of Enterprise Information Management
- Information Technology and People
- Journal of Strategic Information Systems
- Information Resources Management Journal
- Information Systems Management

- Journal of Database Management
- MIS Quarterly Executive
- Information Technology and Management
- Journal of Information Science

Supplementary Journals

- Journal of Software Maintenance and Evolution
- SIAM Journal on Computing
- IBM Systems Journal
- Networks
- Expert Systems with Applications
- Decision Support Systems
- Data & Knowledge Engineering

Useful External Weblinks

Stewart Brand: How Buildings Learn: What Happens after They're Built, http://shearinglayers.com/layers/

COBIT 5, https://cobitonline.isaca.org/

ITIL (the IT Infrastructure Library, http://www.itil.org.uk/

ISO/IEC 27000 (information security)

ISO/IEC 20000 (service management)

https://www.bcs.org/upload/pdf/business-analysis2.pdf

TED Talks https://www.ted.com/talks

YouTube includes topical discussions on data: https://www.youtube.com/

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

710	Marketing Strategy

Ofqual unit number	J/617/6870
RQF level	7
Guided learning hours	30
Total unit time	80
Credits	8
Aims of unit	Strategic marketing practice requires the ability to respond rapidly to ever-changing markets through the development of a marketing strategy, which is a plan of action designed to promote and sell products or services. Whilst leaders may already be familiar with basic marketing concepts, it is essential to maintain pace with change especially with regard to developments in data and information management, social and technological change.

The aim of this unit is to enable leaders to understand the context in which a marketing strategy is developed. Leaders will appraise theoretical frameworks and processes which inform strategic marketing. They will have the opportunity to reflect on the interrelationship between marketing and an organisation's strategic aims along with the opportunities and impact of digital marketing. Ultimately, leaders will consider how to develop a marketing strategy, which will enable organisational success. |
| **Keywords** | Marketing strategy, decision making, stakeholders, competitive advantage, frameworks, processes, marketing planning, digital marketing, marketing position, opportunities, growth, innovation, success. |

Learning outcome 1
Understand the context in which a marketing strategy is developed
Assessment criteria
1.1 Critically appraise theoretical frameworks and processes which inform strategic marketing

1.2 Discuss the influence of an organisation's strategic aims and context on a marketing strategy

1.3 Critically review the influence of changing market environments on marketing strategy

1.4 Evaluate developments in digital marketing which impact on a marketing strategy |
| **Indicative content** |
| *1.1 Theoretical frameworks and processes:* Marketing Mix (7 P's of the marketing mix, (1960)). S.W.O.T analysis. Ansoff's Growth Vector Matrix (1957). Porters 5 Force Model (1979). Developing audits and planning processes (Alignment to mission and vision statements and organisational objectives). Facing the |

external environment (P.E.S.T.L.E analysis). Refinement and development of marketing objectives and strategies. Frameworks for digital marketing communication platforms (e.g. R.A.C.E model – Reach, Act, Covert and Engage (Dave Chaffey, 2010)). SOSTAC (Smith, 1990). Diffusion of innovations (Rogers, 2003). Agile marketing.

1.2 Strategic Aims: Long-term implementation of plans based on three fundamental areas: target market, segmentation of market, position commanded.

Context: Prevailing market conditions. Level of completion. Level of development. Maturity of market. Product offering.

1.3 Changing market environments: Pace of social and technological change. Technological development (e.g. Marketing automation. Artificial Intelligence. Big data. Data harvesting). Legislation (e.g. General Data Protection Regulation, 2018 (GDPR), Equality Act, 2010). Consumer behaviour (e.g. response to branding, environmental concerns/pressures, contact preferences – call blocking). Investment in human capital, IT infrastructure. Marketing approaches (e.g. local, regional, national, global).

1.4 Digital marketing: Number and variety of technological advancements in past decade. Dramatic change to marketing environment. Social media platforms. Branding and marketing communications (Co-developed and co-created with customers, clients). Approaches to market research. Data-gathering. Marketing intelligence. Marketing plans. Marketing planning and campaign implementation have developed to include new tools and techniques including: analytics, search engine optimisation (S.E.O), content development across several platforms and the on-going development of mobile communications.

Learning outcome 2
Know how to develop a marketing strategy
Assessment criteria
2.1 Critically evaluate an organisation's market position, opportunities for growth and innovation   2.2 Develop a marketing strategy to respond to existing and future stakeholder requirements   2.3 Recommend approaches to ensure an organisation's approach to marketing remains effective
Indicative content
2.1 Market position: Developing direction and product enhancement. Position (organisation feels it commands in the marketplace). Position the organisation and its brands (in the minds of existing and potential customers). Brand perception, equity and value (Kotler, 1977; Keller, 2001; Rossiter and Percy, 1987; Hoyer and Brown, 1990).   *Innovation:* Principles of market segmentation. Targeting. Positioning. Experience and set of resources to embark on new product development and/or enhancement.   *2.2 Marketing strategy:* Plan that outlines overall objective for developing customers for the organisation. Aims and objectives for organisation/marketing approach. Branding. Collaboration through media 'owned', media 'paid for' and media 'earned' through social media mentions, shares, re-tweets. Integrated Marketing Communication (created with a data-driven, technology empowered, customer-centric focus). Aligned approach to communication. Consistency in messaging (in response to brands operating across so many channels). Integration of marketing strategy with organisational strategy.   *Respond to existing and future stakeholder requirements:* Marketing strategy operations. Audit. Customer relationship management (CRM) operations. Customer-focused systems to respond to problems. Identify needs, expectations. Harvest on-going and real-time customer feedback.

2.3 Approach to marketing: Marketing methods. 'Touch-points' for reaching/contacting potential and existing customers. Automation to maximise reach and operational effectiveness. Approaches from production-led to sales-led to marketing-led. Customer-focussed position/worth.

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the context in which marketing strategy is developed using the example of a changing environment.

2. The learner may be asked to **develop** a marketing strategy for an organisation in-line with the proposed development of an existing or new product or service.

3. The learner may produce a **reflective account** to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
	● Building relationships and networks
Organisational Performance	● Leading change and innovation
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across	Duty 4; Duty 9; Duty 11

		infrastructure, processes, people and culture and sustainability.	
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K15	Brand and reputation management.	Duty 3; Duty 10
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11

Suggested reading/web resource materials

Recommended reading:
- Chaffey, D. and Smith, P.R. (2017). *Digital marketing excellence: planning, optimizing and integrating online marketing.* 5th edition. Oxford, Routledge.
- Hooley, G., Nicoulaud, B., Piercy, N. and Rudd, J. (2017). *Marketing strategy and competitive positioning.* 6th edition. Harlow, FT Prentice Hall.
- Piercy, N. (2016). *Market-led strange change: transforming the process of going to market*. 4th edition. Oxford, Routledge.
- West, D. C., Ford, J. B. and Ibrahim, E. (2015). *Strategic marketing: creating competitive advantage.* Third edition. Oxford: Oxford University Press.

Further reading:
- Bird, D. (2007). *Common sense Direct and Digital Marketing*. 5th edition. London, Kogan Page.
- Cravens, D. W. and Nigel, P. (2013). *Strategic marketing*. 10th ed. New York: McGraw-Hill.
- Evans, M., O'Malley, L. and Patterson, M. (2004). *Exploring Direct and Customer Relationship Marketing*. 2nd edition. London, Thomson Learning.
- Kotler, K. and Keller, K.L (2016). *Marketing Management*. Boston, Pearson.
- Kotter, J.P. (2012). *Leading change.* Boston, Harvard Business School Press.
- Mintzberg, H. (2000). *The rise and fall of strategic planning*. NJ, Prentice Hall.
- Porter, M.E. (2004). *Competitive advantage: Creating and sustaining superior performance.* New York, Free Press.
- Schein, E.H. (2017). *Organizational culture and leadership*. 5th edition. San Francisco, Jossey-Bass.
- Shankar, V. and Carpenter, G.S. (2012). *Handbook of marketing strategy*. Cheltenham, Edward Elgar.
- Tapp, A., Whitten, I. and Housden, M. (2013). Principles of Direct, Database and Digital Marketing. 5th edition. London, Pearson.

Journal Articles:
- Balachander, S. and Ghose, S. (2003). "Reciprocal spill over effects: A strategic benefit of brand extensions". *Journal of Marketing,* Vol. 67 No.1, pp.4-13.
- Eisenhardt, M.K. and Sull, N.D. (2001). "Strategy as Simple Rules". *Harvard Business Review,* Vol. 79 No.1, pp.106-116.
- Kim, W.C. and Mauborgne, R. (1997). "Value Innovation: The Strategic Logic of High Growth". *Harvard Business Review*, January-February, pp.103-112.
- Koça, C and Bohlmann, D.J. (2008). "Segmented Switchers and Retailer Pricing Strategies". *Journal of Marketing*, Vol. 72 No.3, pp. 124.
- Lusch, R.F and Brown, J.R. (1996). "Interdependency, Contracting, and Relational Behaviour in Marketing Channels". *Journal of Marketing*, October, pp.19-38.

- Makrides, C. (2004). "What is Strategy and how do you know if you have one?" *Business Strategy Review*. Vol.15 No.2, pp.5-12.
- Menon, A., Bharadwaj, S.G., Adidam, T.P. and Edison, W.S. (1999). "Antecedents and Consequences of Marketing Strategy Making: A Model and a Test". *Journal of Marketing*, Vol. 63 No.2, pp. 18-40.
- Mintzberg, H. (1994). "The Fall and Rise of Strategic Planning". *Harvard Business Review*, Vol.72 No.1, pp.107-114.
- Moon, Y. (2005). "Break Free from the Product Life Cycle". *Harvard Business Review*, May, pp.87-94.
- Rust, R.T and Lemon, K.N. (2004). "Customer-Centered Brand Management". *Harvard Business Review*, September, pp.110-118.
- Vargo, S.L and Lusch, R.F. (2004). "Evolving to a New Dominant Logic for Marketing". *Journal of Marketing, January*, pp.1-17.

Journals:

- European Journal of Marketing, Emerald, ISSN: 0309-0566.
- Harvard Business Review, ISSN: 0017-8012.
- International Journal of Research in Marketing, Elsevier, ISSN: 0167-8116.
- Journal of Database and Customer Strategy Management, Springer, ISSN: 1741-2447.
- Journal of Marketing Communication, Taylor and Francis, ISSN: 1352-7266.
- Journal of Marketing Management, Taylor and Francis, ISSN: 0267-257X.
- Journal of Strategic Marketing, Taylor and Francis, ISSN: 0965-254X.

Useful External Websites:

Marketing Week
https://www.marketingweek.com

Digital Marketing Magazine
https://digitalmarketingmagazine.co.uk

Adweek
https://www.adweek.com

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

711	Entrepreneurial Practice

Ofqual unit number	D/617/1769
RQF level	7
Guided learning hours	32
Total unit time	90
Credits	9
Aims of unit	Entrepreneurial practice is a multi-dimensional concept. To some it is simply the pursuit of an opportunity; to others it could be an innovative business start-up, an invention or re-invention of a product, service or a process or the development of solutions to social, cultural or environmental issues. At its core entrepreneurialism or entrepreneurial action is a mind-set. Entrepreneurial practice covers several different perspectives; economic, management, sociology and psychology. The aim of this unit is to enable leaders to explore the principles of entrepreneurial practice, understand the different contexts in which entrepreneurship can flourish and the characteristics of entrepreneurial leadership.
Keywords	Entrepreneurs, intrapreneurs, social entrepreneurship, international/global contexts, finance, environmental factors, entrepreneurial practice, behavioural competences, managerial competencies, business start-up, commercialisation.

Learning outcome 1
Understand entrepreneurship in strategic contexts
Assessment criteria
1.1 Critically appraise the forms and contexts of entrepreneurship with reference to theoretical concepts and contemporary thinking 1.2 Assess multi-dimensional issues which impact on entrepreneurial practice in different contexts 1.3 Formulate approaches to removing barriers to entrepreneurial practice using an evidence-based justification
Indicative content
1.1 *Forms:* Entrepreneurship. Intrapreneurship. Social entrepreneurship.

Contexts: Existing organisation. New business start-up. Product, service or process development. New capability development. Social enterprise. Local, international, global.

Theoretical concepts and contemporary thinking: Wolcott and Lippitz Taxonomy, Four Generic Intrapreneurship Models (2007). The Entrepreneur and Entrepreneurship: A Neoclassical Approach (Lowery and Ling, 2003). Equilibrium Destruction Theory (Schumpeter, 1999). Alert entrepreneur (Kirzner, 1997). Theory of the firm (Spender et al, 1996). Presenting ideas - To the point (Minto 1996). Sociological/anthropological theories, (Reynolds P, 1991). Corporate Social Responsibility (CSR) Model (Carroll, 1991). Theories of entrepreneurship (Marz, 1991). The Visual Display of Quantitative and qualitative data and Information (Tufte, 1990s). Opportunity based theories, (Drucker P, 1985). Emergent Strategies (Mintzberg, 1985). Value chain (Porter, 1980s). Formal Project Management Approaches (Project Management Institute, 1990s). Schultz Approach (1975), The human capital approach, constituted by Theodor W. Schultz (1975). Entrepreneur Function in Modern Enterprise (Knight, 1971). Psychological Theories, (McClelland D, 1970s). Resource based theories of the firm, (Penrose, 1959). Ashby's Law of Requisite Variety (1950s). Entrepreneurship as a mental act (Mises, 1949). Economic theories, (Cantillon R, 1770s).

1.2 Multi-dimensional issues: Strategic direction. Strategic position. Intent of an organisation. Characteristics and attributes of organisation to entrepreneurship. National/international policy cascade (national/international). People (current and future competencies). Industry types. Economic and environmental. Culture and climate. Home country effect. International/global context. Funding, emerging and disruptive technologies. Regeneration projects. Industry types. Population demographics. Legal and social responsibility. Diversity. Culture.

1.3 Barriers: Commercialisation and viability of the process/idea/opportunity. Measurement of success. Entrepreneurship in education (potential conflict between theory and practice). Serial and habitual entrepreneurialism (managing the volume of ideas). Cultural dimensions (diversity, ethnic and gender divide to entrepreneurial practice). Networking. Communities of Practice (CoPs), the 'Amoeba effect'. Groupthink. Communications and confidentiality. Value proposition. Time, Finance. Commitment. Own motivation. Theory of constraints. The entrepreneur as a disruptor and the use of disruptive technologies.

Learning outcome 2

Understand the principles of entrepreneurial practice

Assessment criteria

2.1 Critically appraise the characteristics and attributes of entrepreneurial leadership

2.2 Propose a course of action to achieve an entrepreneurial aim using an evidence-based justification

Indicative content

2.1 Characteristics and attributes:
- *Behavioural competences:* Leadership behaviours. Ability to lead and inspire others. Motivation. Ability to reflect. Self-awareness. Achievement. Long term perspective. Identify fractures lines (breakpoints) in the market place. Being holistic. Deal with ambiguity. Passionate. Initiates change. Builds commitment. Encourages diversity. Moral action. Takes risk. Explores new territories. Builds long term relationships. Views employees as a strategic resources. Innovation orientation. Formulates a vision. Brave, Knowledgeable. Ability to generate new ideas. Tolerance and respect for different opinions. Vigour and efficiency, perseverance in overcoming difficulties. Independence of judgement. Creative thinking. Measured approach. Reformulate existing knowledge and ideas. Problem structuring (dealing with wicked, messy, unbounded problems). Bias towards action. Open to advice from others. Communication skills. Collaborative. Consultative. Learns from failures. Systemic and systematic thinking.

- *Managerial competencies:* Understanding of the function of the business (e.g. operations, finance, HR). How the organisation operates. Culture. Markets. Climate (viable systems model). Ability to apply and leadership competencies.
- *Know hows:* Professional knowledge. Domain of expertise. Design thinking. System thinking. Process thinking. Organisational and legal guidelines, TRIZ (Altshuller, 1946). Prototyping. Concept design. Concept mapping. Diffusion of innovation (experience curve) organisational maturity curves. New Capability Development (NCD) Cycle. New Product Development (NPD) cycle. Dealing with emergent properties and interaction between new ideas and the environment. Design thinking. Process thinking. Systems thinking.

2.2 *Course of action*: Formal or informal and refers to design. Implement and manage. Identify opportunity/idea generation (deductive, inductive, basic, applied, quantitative, qualitative research). Feasibility study (cost benefit analysis). Value proposition. Business case includes assessment of finance, risk, demand, niche markets, new and emerging markets/opportunities, disruptive technologies, benefits to the organisation. Approval to proceed (including finance, capital, risks, intellectual property). Concept and detailed design and evaluation. Incubate and grow opportunity/ideas, scaling, Business Model Canvas (Osterwalder and Pigneur, 2010). Implementation and commercialisation; Changing organisational systems - people, processes and structures. Decision making: Attribute Trade Off Analysis (Tarbors et al 1986). Perceived User Value Curves (Bowman, 1998). Pugh Matrix (1981). Communications theory including formal, informal, written, verbal, digital, simulation, modelling, Visualisation (Tufte 1990s), (Shannon and Weaver, 1947).

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on entrepreneurial practice in different contexts.

2. The learner may be asked to respond to a **scenario** based on how they would develop an idea from concept to delivery.

3. The learner may present **work based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
Organisational Performance	● Leading change and innovation
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K15	Brand and reputation management.	Duty 3; Duty 10
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11

Suggested reading/web resource materials

Recommended Reading
- Burns, P. (2013). *Corporate Entrepreneurship: Innovation and strategy in large organisations.* 3rd edition. Palgrave Macmillan.
- Bygrave, D. and Zacharakis, A. (2010). *Entrepreneurship.* John Wiley and Sons.
- Dabic, M. et al. (2011). *Human Resource Management in Entrepreneurial firms: a literature review.* International Journal of Manpower, Vol. 32, No.1 pp 14-33.
- Deakins, D. and Freel, A. (2009). *Entrepreneurship and Small Firms.* 5th Edition. McGraw-Hill.
- Edralin, D.M. (2010). Hu*man Resource Management Practices: Drivers for Stimulating Corporate Entrepreneurship in Large Companies in the Philippines.* DLSU Business & Economics Review 19.2 (2010), pp. 25-41.

Supplementary Reading
- Kuratko, K., Morris, M.H. and Govin, J.G. (2011). *Corporate Entrepreneurship (International Ed.).* 3rd edition. South-Western College Publishing.
- Lee, S.M. et al. (2011). *Corporate entrepreneurship and human resource management: theoretical background and a case study*, International Journal of Manpower, Vol. 32, No.1 pp 48-67.
- Metrick, A. and Yasuda, A. (2012). *Venture Capital and the Finance of Innovation.* 2nd Edition. Wiley.
- Osterwalder, A. and Pigneur, Y. (2011). *Business Model Generation: A handbook for visionaries, game changers and challenger.* Journal of business.
- Ries, E. (2011). *The lean startup: How today's entrepreneurs use continuous innovation to create radically successful business.* Crown Books.

Journals

- International Journal of Entrepreneurial Behaviour and Research
- International Journal of Entrepreneurship and Innovation
- Management Review
- Management Today
- People Management
- Strategic Entrepreneurship Journal
- Academy of Management Review
- California Management Review
- Harvard Business Review
- HR Magazine
- Journal of International Business Studies
- Journal of Management
- MIT Sloan Management Review

Useful External Weblinks

Department for Business Innovation and Skills

https://www.gov.uk/government/organisations/department-for-business-innovation-skills

Innovation Union

https://ec.europa.eu/info/research-and-innovation/strategy/goals-research-and-innovation-policy/innovation-union_en

NESTA

http://www.nesta.org.uk/

OFGEM

https://www.ofgem.gov.uk/

The European Commission

https://ec.europa.eu/commission/index_en

UK Research and Innovation

https://www.ukri.org/

ManagementDirect resources require CMI membership, a username and password.

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Ofqual unit number	A/617/6871
RQF level	7
Guided learning hours	24
Total unit time	100
Credits	10

Aims of unit

A fundamental part of a leader's role is to develop and lead strategic management projects. Tailored to the long-term aims of the organisation, projects may focus on opportunities for organisational growth, development or the management of change. Projects may explore identified problems or weaknesses. They may be designed to create dynamic new opportunities in the competitive marketplace, explore new ways of working or build capabilities. Ultimately a strategic management project should add value to the organisation.

The aim of this unit is for leaders to undertake a strategic management project of their own choosing. To achieve this outcome leaders will develop a business case, propose research design to inform the project's direction and recommend project management methods and tools to structure the delivery of the project. Leaders will report on project outcomes and reflect on the skills and behaviours which ultimately influence the success of the strategic management project.

Keywords

Project management methodologies, research methodologies, strategic thinking, planning, project implementation.

Learning outcome 1
Know how to develop a strategic management project
Assessment criteria
1.1 Develop the business case for a strategic management project 1.2 Propose a research design to inform the direction of the strategic management project 1.3 Recommend a project management methodology and tools to structure project delivery
Indicative content
1.1 Strategic Management Project: Examples may include infrastructure development, new products, services, business process improvements, financing and refinancing, mergers and acquisitions, partnerships, collaborations, corporate social responsibility and sustainability, human capital management, mental health, equality and diversity, knowledge management.

*Business case: S*tatement of business value/benefits. Impacts and consequences of project. Articulation of problem or opportunity. Scope and schedule of project. Development of project aims/objectives (e.g. business viability, value-add proposition, stakeholder mapping, timeframe, associated resources, risk identification and mitigation, contingency, and deliverables). Alignment to strategic goals of organisation. Compliance with regulatory and legal frameworks (e.g. ethics, sustainability). Project governance and reporting structures.

1.2 Research design: Selection of research strategy. Research methods. Selection of tools and techniques. Data collection. Sampling. Data analysis. Time-frames. Ethics and risk factors/considerations (e.g. ethical approval. Risk assessment. Risk to researcher/s and participants. Insider research in workplace. Misconduct). Presentation of findings.

1.3 Project management methodologies: Internationally recognised methodologies (e.g. PRINCE2, PMBOK, Agile, Waterfall, Six Sigma Project, SCRUM). Organisational approaches. Project management structures (e.g. Hierarchical, matrix. Programme board, project board, role of programme and project director, project managers. Use of contract/sub-contractors). Project governance (e.g. Project Initiation Document (PID). Project Management Office (PMO). Project lifecycle, scheduling, stages and milestones. Planning activities (e.g. Gantt charting). Resource allocation and constraints. Budget management and control mechanisms. Performance measurement (e.g. KPIs).

Project management tools: Software packages (e.g. MS Project, use of spreadsheets).

Learning outcome 2
Know how to conduct a strategic management project
Assessment criteria
2.1 Report on the outcomes of the strategic management project 2.2 Critically reflect on the leadership skills and behaviours used to conduct the strategic management project
Indicative content

2.1 Report on the strategic management project: Evidenced project report (for a completed project or a defined project milestone). Executive summary. Introduction and background. Research design. Data collection and analysis. Findings and recommendations aligned to project objectives.

2.2 Leadership skills and behaviours:

● *Skills:* Provide guidance, purpose, direction. Monitors progress. Manages stress, wellbeing. Manages time (e.g. set priorities). Persuades, influences and negotiates. Problem-solves. Communicates (e.g. clearly, effectively, regularly). Manages stakeholders. Manages conflict.

● *Behaviours:* Makes effective decisions. Leads and communicates. Collaborates and partners. Motivates. Takes responsibility. Builds trust. Seeks views of others. Agile.

● *Leadership theory:* Situational Leadership (Hersey and Blanchard, 1969). Theory of Hierarchies (Maslow, 1943 and 1987). Ethical Leadership (Mendonca and Kanungo, 2007). Leadership Styles (Goleman, 1995). Entrepreneurial Leadership (Roebuck, 2014). Cross Cultural Leadership (Hofstede, 1991). Followership (Kelley, 1988). Transformational Leadership (Bass and Riggio, 2006). Transactional Leadership (Weber, 1947).

● *Methods of reflective practice:* Model of Structured Reflection (Johns, 1995; 2006). Reflective cycle (Gibbs, 1988). Experiential cycle (Kolb, 1984). 3 stem questions (What? So What? Now What?) (Borton, 1970; Driscoll, 1994, 2000, 2007). Reflection-in-action/Reflection-on-Action (Schön and Argyris, 1978).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to develop a **strategic management project** which will be of benefit to an organisation.

2. The learner may be asked to develop a **project report** based on the implementation of the strategic management project.

3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to evidence their ability to meet each assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
Organisational Performance	● Leading change and innovation
	● Managing resource and risk
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K9	Financial governance and legal requirements, and procurement strategies.	Duty 4; Duty 12
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S8	Apply principles relating to Corporate Social	Duty 5; Duty 12

		Responsibility, Governance and Regulatory compliance.	
	S16	Enable an open culture and high-performance working environment and set goals and accountabilities for teams and individuals in their area.	Duty 6; Duty 7
	S20	Lead within their area of control/authority, influencing both upwards and outwards, negotiating and using advocacy skills to build reputation and effective collaboration.	Duty 8

Suggested reading/web resource materials

Recommended reading:

- Barker, S. (2014). *Brilliant Project Management: What the best project managers know, do, and say.* 3rd ed. Harlow: Pearson.
- Bell, E. Bryman, A and Harley, B. (2018). *Business Research Methods*. 5th ed. Oxford: Oxford University Press.
- Berkun, S. (2008). *Making Things Happen. Mastering Project Management*. Sebastopol, CA: O'Reilly Media Inc.
- Maylor, H. (2010). *Project Management*. 4th ed. London: Pearson.
- Project Management Institute. (2017). *A Guide to the Project Management Body of Knowledge (PMBOK Guide).* 6th ed. Newtown Square: PA: Project Management Institute.

Further reading:

- Bennett, N. and AXELOS. (2017). *Managing Successful Projects with PRINCE2.* 6th ed. London: The Stationery Office.
- Burke, R. (2013). *Project Management: Planning and Control Techniques*. 5th ed. Chichester: John Wiley & Sons.
- Burke, R. and Barron, S. (2014). *Project Management Leadership: Building Creative Teams*. 2nd ed. Chichester: John Wiley & Sons.
- Dow, W. and Taylor, B. (2015). *Project Management Communication Tools.* Renton, WA: Dow Publishing LLC.
- Drummond, H. (2001). *The Art of Decision Making: Mirrors of imagination, masks of fate*. Chichester: John Wiley & Sons.
- Gardiner, P.D. (2005). *Project Management: A Strategic Planning Approach.* 5th ed. Basingstoke: Palgrave McMillan.
- Grint, K. (2008). Wicked Problems and Clumsy Solutions: The Role of Leadership. *Clinical Leader,* 1(2), December 2008, BAMM Publications.
- Kerzner, H. (2017). *Project Management: A Systems Approach to Planning, Scheduling, and Controlling.* 12th ed. London: John Wiley & Sons.
- Marsden, S. (2015). *The Power of Project Leadership: 7 Keys to Help You Transform from Project Manager to Project Leader.* London: Kogan Page.
- Project Management Institute. (2019). *The Standard for Risk Management in Portfolios, Programs, and Projects.* Newtown Square: PA: Project Management Institute.
- Rad, P. and Levin, G. (2002). *The Advanced Project Management Office: A Comprehensive Look at Function and Implementation.* 1st ed. Indianapolis, IN: CRC Press Ltd.
- Roberts, P. (2013). *The Economist Guide to Project Management: Getting it right and achieving lasting benefit.* 2nd ed. London: Economist Books.

- Schmidt, T. (2009). *Strategic Project Management Made Simple. Practical Tools for Leaders and Teams.* New York: John Wiley & Sons, Inc.
- Teece, D.J. (2009). *Dynamic Capabilities and Strategic Management: Organizing for Innovation and Growth*. Oxford: Oxford University Press.
- Wastian, M., Von Rosenstentiel, L., West, M. and Braumandl, I. eds. (2015). *Applied Psychology for Project Managers: A Practitioner's Guide to Successful Project Management.* Heidelberg, Springer.
- Wong, Z. (2018). *The Eight Essential People Skills for Project Management. Solving the Most Common People Problems for Team Leaders*. Oakland, CA: Berrett- Koehler Publishers.

Journals

- International Journal of Project Management
- International Journal of Managing Projects in Business
- Journal of Modern Project Management
- Project Management Journal (PMI)
- Project (APM)

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	R/617/6872
RQF level	7
Guided learning hours	18
Total unit time	70
Credits	7
Aims of unit	Undertaking meaningful research can unlock solutions to complex organisational problems. It can also enable new opportunities to be explored, which impacts on the development of new products, services and support for customers and stakeholders.
	The aim of this unit is to enable strategic leaders to develop an evidence-based understanding of applied research methods and the ways research can be conducted scientifically, ethically and legally in an organisational context. The unit will support strategic leaders to become producers of applied research, with the ability to generate new knowledge, based on the practical challenges of the workplace. The aim is to facilitate strategic decision making, and ultimately add value to the organisation.
Keywords	Applied research, evidence-based, research philosophy, action research, research approach, research design, data collection, quantitative and qualitative methods, sampling, ethics, insider research.

Learning outcome 1
Understand the research process
Assessment criteria
1.1 Critically appraise the role of applied research in strategic leadership
1.2 Consider the impact of research philosophies on work-based investigation
1.3 Discuss the principles of research methodologies and design in an organisational context
Indicative content
1.1 Role of applied research: Knowledge generation. Facilitate the critical analysis and appraisal of complex information. Inform strategic decision making. Problem solving. Develop an understanding of the organisation and sector. Identify opportunities for growth, change and development of the organisation. Development of new products, services and support for customers and stakeholders. Elicit stakeholder opinion. Management of risk.
1.2 Research philosophies: Clarification of assumptions about the world and ways of understanding the world. Ontology (how people view the world). Epistemology (assumptions made about ways of investigating

the world). Source, nature, development of knowledge and creation of new knowledge. Classifications of philosophical approaches to applied research (e.g. pragmatism, positivism, realism, interpretivism).

1.3 Research methodologies: Methodological choices regarding the approach to research and selection of methods as appropriate to an organisational context (e.g. quantitative, qualitative, mixed-methods). Research methods for applied research, observational research, case-study, survey, experimental types of research. Action research. Research approach (e.g. inductive, deductive, mixed methods, ethnography, autoethnography).

Research design principles include:

- *Selection of research strategy:* Methodology to investigate a particular issue.
- *Research methods:* Such as case study, mixed-methods, action research, grounded theory, narrative enquiry, experiment.
- *Selection of tools and techniques:* Quantitative (e.g. surveys, questionnaires, experiments, observations). Document screening (e.g. financial reports). Qualitative (e.g. interviews, focus groups).
- *Sampling and data collection*: Primary data. Secondary data. Sample population (and access to sample sets). Ethical, legal and regulatory frameworks.
- *Data analysis:* Methods of analysis (e.g. software packages). Reliability and validity, bias and error.
- *Time-frames:* Longitudinal study, cross-sectional studies.
- *Ethics and risk factors*: Ethical approval. Risk assessment. Risk to researcher/s and participants (e.g. safety/security/protection of researcher and participant). Insider research in workplace. Misconduct.
- *Presentation of findings*: Format (tailored to audience/research type). Underpinning evidence (referencing).

Learning outcome 2
Know how to develop a research proposal of strategic benefit
Assessment criteria
2.1 Formulate the research question and aims for a research proposal of strategic benefit to an organisation   2.2 Critically review a range of literature to inform the research proposal   2.3 Develop the research design for the proposal
Indicative content
2.1 Research question and aims: Focus of the research (i.e. methodology, analysis, reporting, related to research question and aims). Viable, clear, significant, ethical.   *Research proposal:* Specifies nature of research (e.g. organisational opportunity, challenge, value add).   *2.2 Literature review:* Critical review of topical and relevant literature and media.   *2.3 Research design:* Selection of research strategy. Research methods. Selection of tools and techniques. Data collection. Sampling. Data analysis. Time-frames. Ethics and risk factors/considerations (e.g. ethical approval. Risk assessment. Risk to researcher/s and participants. Insider research in workplace. Misconduct). Presentation of findings.

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to develop a written **report** on the research process in an organisational context.

2. The learner may be asked to develop a research **proposal** of strategic benefit to an organisation.

3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness
- Making decisions

Interpersonal Excellence
- Providing purpose and direction

Organisational Performance
- Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12

Suggested reading/web resource materials

Recommended reading:

- Bell, E. Bryman, A and Harley, B. (2018). *Business Research Methods.* 5th ed. Oxford: Oxford University Press.
- Biggam, J. (2018). *Succeeding with your Masters Dissertation*: *Step by Step Handbook.* 4th ed. London: Open University Press.
- Costley, C., Elliott, G. and Gibbs, P. (2010). *Doing Work Based Research: Approaches to Enquiry for Insider-Researchers.* London: Sage Publications Ltd.
- Robson, C. and McCartan, K. (2016). *Real World Research*. 4th ed. Chichester, W. Sussex: John Wiley & Sons Ltd.
- Saunders, M., Lewis, P. and Thornhill, A. (2016). *Research Methods for Business Students*. 7th ed. Harlow: Pearson.

Further reading:

- Costley, C. and Gibbs, P. (2006). Researching others: care as an ethic for practitioner researchers. *Studies in Higher Education*, 31(1), 89–98.
- Coughlin, D. and Brannick, T. (2014). *Doing Action Research in Your Own Organisation*. 4th ed. London: Sage Publications Ltd.
- Creswell, J.W. and Creswell, J.D. (2018). *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches.* Thousand Oaks, California: Sage Publications.
- Denscombe, M. (2012). *Research Proposals: A Practical Guide*. Maidenhead, Berkshire: Open University Press/McGraw-Hill Education.
- Easterby-Smith, M., Thorpe, R., Jackson, P. and Jasperson, L. (2018). *Management and Business Research*. 6th ed. London: Sage Publications Ltd.
- Fawcett, B. and Pockett, R. (2015). *Turning Ideas into Research. Theory, Design and Practice.* London: Sage Publications Ltd.
- Fink, A. (2016). *How to Conduct Surveys: A Step-by-Step Guide.* California, Thousand Oaks: Sage Publications.
- Flick, U. (2019). *An Introduction to Qualitative Research*. 6th ed. London: SAGE Publications Ltd.
- Floyd, A. and Arthur, L. (2012). Researching from Within: external and internal ethical engagement. *International Journal of Research and Method in Education*, 35(2), 171-180.
- Gibbs, P. and Costley, C. (2006). An ethics of community and care for practitioner researchers, *International Journal of Research & Method in Education*, 29(2), 239-249.
- Gill, J., and Johnson, P. (2010). *Research Methods for Managers.* 4th ed. London: Sage Publications Ltd.
- Gray, D. (2017). *Doing Research in the Real World*. 4th ed. London: Sage Publications Ltd.
- Hart, C. (2018*). Doing a Literature Review*. 2nd ed. London: Sage Publications Ltd.
- Kaplan, D. (2004). *The SAGE Handbook of Quantitative Methodology for the Social Sciences*. London: SAGE Publications Ltd.
- McNiff, J. (2017). *Action Research.* London: Sage Publications Ltd.
- Munro, A., Holly, L., Rainbird, H. and Leisten, R. (2004). Power at work: reflections on the research process, *Social Research Methodology*, 3(4), 289-304.
- Nussbaumer Knaflic, C. (2015). *Storytelling with Data: A Data Visualisation Guide for Business Professionals*. NJ, Hoboken: John Wiley & Sons Inc.
- Wallace, M. and Wray, A. (2016). *Critical Reading and Writing for Postgraduates*. London: Sage Publications Ltd.
- Williams, M. (2016). *Key Concepts in the Philosophy of Social Research.* London: Sage Publications Ltd.
- Yin, R. (2018). *Case Study Research and Applications: Design and Methods*. 6th ed. California, Thousand Oaks: Sage Publications.

Journals

- e-Journal of Business Research Methods
- International Journal of Research and Method in Education
- International Journal of Social Research Methodology
- Journal of Mixed Methods Research
- Organizational Research Methods
- Qualitative Health Research
- Qualitative Research
- Qualitative Research Journal

Useful External Weblinks

https://scholar.google.co.uk/

https://www.researchgate.net

https://appreciativeinquiry.champlain.edu/ (Appreciative Inquiry)

https://www.alarassociation.org/   (Action Research and Action Learning)

https://www.britsoc.co.uk/ethics

https://www.mrs.org.uk/pdf/MRS%20Regulations%20for%20Non%20Research%20Purposes.pdf

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	Y/617/6873
RQF level	7
Guided learning hours	24
Total unit time	90
Credits	9
Aims of unit	In a globalised, high-tech, fast paced and unpredictable world, strategic leaders must prioritise personal and professional development. This will enable them to keep pace with developments in strategic and operational practice and equip them to respond effectively to organisational and societal change.
	The aim of this unit is to support leaders to understand approaches to personal and professional development. Leaders will critically reflect on the interrelationship between the skillset and mindset to develop as a strategic leader. Vitally leaders will reflect on their own personal, interpersonal and professional competencies and behaviours to lead strategically. The opportunity for leaders to reflect on their own performance will equip them to develop a meaningful personal and professional development plan.
Keywords	Personal and interpersonal development, professional development, skillset, mindset, behavioural competencies, emotional competencies, social competencies, CPD, reflection, skills, awareness, opportunities, values, leadership, management, success.

Learning outcome 1
Understand approaches for personal and professional development
Assessment criteria
1.1 Critically reflect on the interrelationship between the skillset and mindset to develop as a strategic leader
1.2 Critically examine the personal values and behaviours required for strategic leadership practice
1.3 Critically appraise how engagement with personal and professional development impacts on strategic leadership
Indicative content
1.1 Skillset: Range of actions and behaviours based on capabilities, knowledge, understanding, multiple intelligences (e.g. emotional, verbal, numerical, spatial, kinaesthetic) (Gardener, 1983). Creation of common

understanding/shared mental model of 'skills' (Bennett *et al*, 2000). Ability to select and apply skills and behaviours.

Mindset: (Dweck, 2016). Sense making. Ways of perceiving the world. Interpreting and responding to situations. Innate personal preferences and styles of interaction with others (e.g. Jung, 1907). Transactional Analysis (Stewart and Joines, 1987). Determination of behaviours and outlook (e.g. motivations, interests, beliefs, values, ways of thinking). Resilience. Willingness of leader to develop skills of others.

1.2 Personal values and behaviours: Formative self-audits (SOAR model, Kumar, 2008). Evaluation of self against competency frameworks (e.g. CMI Professional Standard). Evaluation of self against organisational/ethical frameworks (e.g. NHS, Civil Service). Values (e.g. integrity, objectivity, impartiality, honesty, loyalty) and behavioural competencies required for self-management and leadership in a professional globalised workplace. Reflective practice (e.g. Identifying, evidencing and articulating current and potential strengths and weaknesses. Addressing development needs through planning).

1.3 Personal and professional development: Alignment to professional standards. Use of key toolsets (e.g. Self-Mapping (Mayne, 2009); SOAR model (Kumar, 2008)). Inter-related dimensions of Self: MAP *Motivation*: mindset: values, priorities, self-efficacy beliefs (Dweck, 2016). *Ability:* skills, competencies, knowledge, multiples intelligences (Gardner, 1993; Handy, 1994). *Personality:* natural styles and preferences (Jung, 1908)). Appreciative Inquiry (Cooperrider and Srivastra, 1987). Learning and developing (e.g. Motivation. Ability to seek new knowledge, skills and experience. Opportunities to achieve and improve). Planning and managing (e.g. Productive self-management (Adair and Allen, 2003). Personal values and career drivers (Schein, 1993). Drive for results. Multiple Intelligences (Gardner, 1983)). Advocate use of good practice internal and external to the organisation.

Opportunities for Personal and professional development: Coaching, mentoring, qualifications, academic studies, peer review within and outside immediate situational context (e.g. workplace, curriculum, lifestyle).

Strategic leadership: Leads by example. Leadership Styles (Goleman, 1995). Demonstrates high level of self-awareness, emotional, cultural and social intelligence, empathy and compassion. Able to identify/support mental wellbeing in others. Works collaboratively enabling empowerment and delegation. Acts with humility and authenticity (Roe, 2017). Demonstrates courage (e.g.is credible, confident, brave and resilient). Cross Cultural Leadership (Hofstede, 1991). Followership (Kelley, 1988). Demonstrates curiosity (e.g. willingness to innovate; seeks new ideas and looks for contingencies). Entrepreneurial Leadership (Roebuck, 2014). Transformational Leadership (Bass and Riggio, 2006). Value-driven Leadership (Gentile, 2014). Resonant Leadership (McKee, Boyatzis and Goleman 2003). Five Practices of Exemplary Leadership (Kouzes and Posner, 2014). Servant Leadership (Greenleaf, 2002). Distributed Leadership (Leithwood et al, 2006). Traditional Management Competencies (McBer and Boyatzis, 1996). Corporate Culture (Jacques, 1951).

Engagement: Taking and maximising opportunities. Multiple perspectives assessment. Formative feedback (e.g. Giving and receiving constructive feedback. 360º review and feedback). Peer learning. Action learning sets.

Impact: Decision making. Confidence. Technical ability. People skills. Conflict Management. Behaviour. Values. Knowledge. Performance. Resilience. Self-esteem. Self-actualisation.

Learning outcome 2

Know how to develop as a strategic leader through personal and professional development

Assessment criteria

2.1 Critically reflect on personal, interpersonal and professional competencies to lead strategically

2.2 Produce a personal and professional development plan to improve strategic leadership

Indicative content

2.1 Reflect: Use of professional standards and competency frameworks. Reflective practice approaches: Model of Structured Reflection (Johns, C, 1995; 2006). Reflective cycle (Gibbs, G, 1988). Experiential Cycle (Kolb, D, 1984). 3 Stem Questions (What? So What? Now What?) (Borton, T, 1970; Driscoll, 1994, 2000, 2007). Reflection before action-reflection in action-reflection on action (Schön, D 1983).

Personal competencies: Judgement and challenge - takes personal accountability aligned to clear values; demonstrates flexibility and willingness to challenge when making decisions and solving problems; instils confidence, demonstrating honesty, integrity, openness and trust. Courageous Curiosity - Is confident and brave; comfortable in uncertainty, is pragmatic. Curious and innovative - exploring areas of ambiguity and complexity and finding creative solutions.

Interpersonal competencies: Leads by example - demonstrates high level of self-awareness, emotional and social intelligence, empathy and compassion; is able to identify mental wellbeing in others; works collaboratively enabling empowerment and delegation; acts with humility and authenticity; is credible, confident and resilient.

Professional competencies: Valuing difference - engaging with all; is ethical and demonstrates inclusivity; champions diversity, championing enabling cultural inclusion; empowers and motivates to inspire and support others. Professional - reflects on own performance; demonstrates professional standards in relation to behaviour and ongoing development; advocates the use of good practice within and outside the organisation. Act as a Sponsor/Ambassador, championing projects and transformation of services across organisational boundaries

Professional competencies linked to role within a specific organisational context: Define/shape/communicate organisational purpose, vision, mission, culture and values. Develop/implement strategy. Organisational awareness. Leads the organisation ethically and legally. Initiates, leads change, innovation, enterprise. Entrepreneurial practice. Drives continuous improvement. Manages and mitigates risk. Manages and mitigates crisis' and business contingency planning. Influence, negotiate and use advocacy skills to build reputation and effective collaborations. Brand relationship and reputation management. Corporate social responsibility and sustainability. Data and information management. Application of technologies (e.g. disruptive technologies). Leads individuals and teams. Develops employee relationships. Develops people. Seeks continuous professional development opportunities for self and wider team. Collaborates, partners, manages relationships. Works with board and company leadership structures. Knowledge of finance strategies. Procurement/Supply chain management, contracts. Resource management.

2.2. Personal and professional development plan: Timebound, measurable plan. Aims and objectives. Success criteria. Selected development activities/rationale for their choice (e.g. Formal/informal development opportunities such as social and collaborative learning. Work-based learning. Face to face, blended or online learning, coaching and mentoring). Timescales for completion and review of the development activity. Reflection and review of development activity.

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the approaches for personal and professional development
2. The learner is required to **develop a personal and professional plan** to develop as a strategic leader
3. The learner may produce a **reflective account** and a personal and professional development plan to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness

- Making decisions

Interpersonal Excellence

- Providing purpose and direction

Organisational Performance

- Achieving results

Relationship with other frameworks and occupational standards			

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K3	New market strategies, changing customer demands and trend analysis.	Duty 3; Duty 11
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K5	Systems thinking, knowledge/data management, research methodologies and programme management.	Duty 3; Duty 5
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K7	Competitive strategies and entrepreneurialism, approaches to effective decision making, and the use of big data and insight to implement and manage change.	Duty 3; Duty 4; Duty 9; Duty 11
	K9	Financial governance and legal requirements, and procurement strategies.	Duty 4; Duty 12
	K10	Organisational/team dynamics and how to build engagement and develop high performance, agile and collaborative cultures.	Duty 6; Duty 7
	K11	Approaches to strategic workforce planning, for example, talent management, learning organisations, group work, workforce design, succession planning, diversity and inclusion.	Duty 6; Duty 7
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S4.1	Lead change in their area of responsibility, create an environment for innovation and creativity	Duty 3; Duty 5; Duty 7; Duty 11

	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S6	Act as a Sponsor/Ambassador, championing projects and transformation of services across organisational boundaries.	Duty 9
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S12	Oversee procurement, supply chain management and contracts.	Duty 4; Duty 12
	S16	Enable an open culture and high-performance working environment and set goals and accountabilities for teams and individuals in their area.	Duty 6; Duty 7
	S17	Lead and influence people, building constructive working relationships across teams, using matrix management where required.	Duty 7
	S18	Optimise skills of the workforce, balancing people and technical skills and encouraging continual development.	Duty 6; Duty 7
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9
	S20	Lead within their area of control/authority, influencing both upwards and outwards, negotiating and using advocacy skills to build reputation and effective collaboration.	Duty 8
Behaviours	B1	Work collaboratively enabling empowerment and delegation.	Duty 5; Duty 6; Duty 7; Duty 8; Duty 9; Duty 10
	B2	Take personal accountability aligned to clear values.	Duty 1; Duty 2; Duty 3; Duty 4
	B3	Curious and innovative - exploring areas of ambiguity and complexity and finding creative solutions.	Duty 3; Duty 11; Duty 12
	B4	Value difference and champion diversity.	Duty 6; Duty 7
	B5	Seek continuous professional development opportunities for self and wider team.	Duty 6; Duty 7

Suggested reading/web resource materials

Recommended reading
- Adair, J. (2009). *Effective Communication: The Most Important Management Skill of All*. London: Thorogood.
- Cottrell, S. (2015). *Skills for Success: Personal Development and Employability.* London: Palgrave Macmillan.
- Kumar, A. (2008). *Personal, Academic and Career Development in Higher Education – SOARing to Success.* London and New York: Routledge Taylor and Francis. Companion website: http://www.routledge.com/professional/978041542360-1/

- Roe, K. (2017). *Leadership; Practice and Perspectives*. Oxford: OUP.

Supplementary reading

- Adair, J. and Allen, M. (2003) *Time Management and Personal Development*. London: Thorogood.
- Branson, R. (2013) *Like a virgin: Secrets they won't teach you at business school*. London: Random House.
- Chartered Management Institute. (2013). *Managing Yourself.* London: Profile Books.
- Cooperrider, D., Whitney, D. and Stavros, J. (2008). *The Appreciative Inquiry Handbook for Leaders of Change.* 2nd ed. Brunswick, OH: Crown Custom Publishing Inc. and San Francisco, CA: Berrett-Koehler Publishers Inc.
- Denis, J.L., Langley, A. and Rouleau, L. (2010). The Practice of Leadership in the Messy World of Organisations, *Leadership* 6(1): 67-88.
- Dowson, P. (2015). *Personal and Professional Development for Business Students*. London: SAGE Publications.
- Dweck, C. (2016). *Mindset. The New Psychology of Success.* New York, NY: Ballantine Books.
- Gardner, H. (1999). *Intelligence Reframed: Multiple intelligences for the 21st Century* New York: Basic Books.
- Goleman, D. (2005). *Emotional Intelligence: Why it can matter more than IQ.* New York: Bantam Books.
- Horn, R. (2009). *The Business Skills Handbook.* London: Chartered Institute of Personnel and Development.
- Humphrey, N. (2013). *Social and Emotional Learning*. London: SAGE.
- Kouzens, J.M. and Posner, B.Z. (2014). *The Leadership Challenge 5th Edition.* San Francisco: Jossey-Bass.
- Lombard, G. (2004). *Social Competence. Reading Other People.* Chippenham, Wilshire: Lifetime Careers.
- Lynch, L. (2009). *Smart Networking - Attract a Following in Person and Online*. New York: McGraw-Hill.
- McKay, M. (2008) *Messages: The communication skills handbook*. Oakland, CA: New Harbinger Publications
- Pedler, M., Burgoyne, J. and Boydell, T. (2013). *A Manager's Guide to Self-Development.* Maidenhead: McGraw-Hill.
- Routledge, C. and Carmichael, J. (2007). *Personal Development and Management Skills*. London: CIPD-Kogan Page.
- Schein, E. H. (1993). Career anchors – discovering your real values. London: Jossey-Bass / Pfeiffer and Co.

Journals

- Management Today (Haymarket Business Media)
- People Management (Chartered Institute of Personnel and Development)
- Professional Manager (Chartered Management Institute)
- Training journal (www.trainingjournal.com)

Useful External Weblinks

www.managementhelp.org
Self-assessments for personal and professional development and articles on leadership development planning

www.mindtools.com
time management tools and activity logs

www.personalitytype.com
for MBTI explanations and questionnaire

www.teamtechnology.co.uk
Online business resources

www.belbin.com
Belbin for teams, individuals and training

www.cipd.co.uk
continuing professional development
www.management-standards.org.uk
Chartered Management Institute

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	D/617/6874
RQF level	7
Guided learning hours	24
Total unit time	80
Credits	8
Aims of unit	There is a moral, financial and legal business case for excellent practice in equality, diversity and inclusion in an organisational context. Ensuring it is led effectively at a strategic level requires knowledge, understanding, skills, behaviours and tenacity to keep pace with the momentum of change. Strategically, equality, diversity and inclusion matters. An understanding of the topic not only impacts on the success of strategic objectives but it mitigates risk and enables a culture of support and wellbeing to thrive.
	The aim of this unit is to enable leaders to develop an in-depth understanding of equality, diversity and inclusion at a strategic level. Leaders will have the opportunity to critically assess structural inequality within an organisational and societal context. They will discuss approaches to comply with legal and good practice requirements and to appraise the influence of equality, diversity and inclusion on strategic objectives. The unit culminates in leaders being given the opportunity to develop strategic priorities for equality, diversity and inclusion.
Keywords	Equality, diversity, inclusion, inequality, legislation, moral, financial, business-case, assessment, priorities, impact, success.

Learning outcome 1
Understand equality, diversity and inclusion at a strategic level
Assessment criteria
1.1 Critically assess structural inequality within an organisational and societal context
1.2 Discuss approaches to legal and good practice requirements for equality, diversity and inclusion in an organisational context
1.3 Critically appraise the influence of equality, diversity and inclusion on the strategic objectives of an organisation
1.4 Present the business case for good practice in equality, diversity and inclusion
Indicative content

1.1 Structural inequality: Systemic, institutional barriers (e.g. policies, procedures, operations and culture) (Macpherson report 1999). Criteria, practices and processes. Methods of entry to organisations. Opportunities for progression (e.g. Glass ceiling). Attitudes, beliefs, perceptions and unconscious bias. Impact of disadvantage across two or more protected characteristics (intersectional discrimination) (e.g. BAME women. LGBTQ+ disabled people). Over/under-representation in workforce and service user profile. Disproportionate outcomes for staff or service users. Profile of senior level staff.

Organisational context: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture. Type (operational, local, international, global, project/programme based, departmental and strategic business unit).

Societal context: Local, regional, national. Patterns and trends in inequality (e.g. employment, housing, criminal justice, health, housing, educational attainment, hate crime, migration). Sector-specific issues. Criminal Justice (e.g. Lammy Report, 2017). Changing attitudes and trends, positive and negative i.e. recognition of wider gender identities vs increases in hate crime.

1.2 Approaches: Policy development and implementation. Equality analysis (impact assessment).

Consistent involvement and engagement of 'experts by experience'. Data and information management (gathering, monitoring, recording). Reporting requirements (i.e. gender pay gap, race disparity audits). Disseminating, publishing outcomes (GDPR, 2018). Benchmarking (comparison against national statistics, past performance, sector, competitor performance). Embedding equality, diversity and inclusion into operational practice. Development of strategic priorities and equality objectives. Learning and development programmes which embed equality, diversity and inclusion. Commissioning and procurement of services (e.g. Public sector duty).

Legal and regulatory requirements: Legislative framework (Equality Act, 2010). Protected characteristics. Types of discrimination. Prohibited conduct. Rights and responsibilities of employers and employees. Interrelationship with other legal and regulatory frameworks. Human Rights Act (1999). Gender Recognition Act 2004. Prevent Strategy (2011). Modern Slavery Act (2015). Domestic Abuse & Violence Bill (consultation in draft, 2018). Equal Pay Act (1970). The Equality Act 2010 (Gender Pay Gap Information). Regulations 2017. General Data Protection Regulation (GDPR) (2018). Acts relating to languages and national identity in the UK such as: Welsh Language Act (2018). Welsh Language Measure (2016). Gaelic Language (Scotland Act, 2005).

Organisational context: Public sector (public sector equality duties). Private sector. Voluntary sector.

1.3 Influence of equality, diversity and inclusion: Involvement, co-production and engagement with experts by experience. Legal and regulatory requirements. Assessment and mitigation of risks and benefits. Specific equality objectives and targets. Development of good practice. Identification of opportunities. Support and development for self-organised/representative groups (i.e. staff networks).

Strategic objectives: Embedding equality, diversity and inclusion into overarching aims and objectives of an organisation (e.g. Closure or relocation of a business. Development of a new product or service. Acquisition of a new I.T. system. Development of a new operating model). Development of specific equality, diversity and inclusion objectives (e.g. recruitment, retention, career development).

1.4 Present business case:

Moral business case: Duty of care (staff, customers, community). Valuing individuals and collective contributions. Social corporate responsibility as part of community to reduce discrimination and offer opportunities to all. Impact on organisational culture. Impact on mental health and wellbeing. The Case for Equality, Diversity and Inclusion (Kirton et al. 2014). Valuing Diversity (Griggs, 1995). Super-diversity (Vertovec, 2007).

Financial business case: Reduced risk of employment tribunal costs. Reduced sickness absence. Increased productivity. Increased revenue (increased service take-up or market share (e.g. Pink/Grey pound). Reputational impact. (Diversity Matters, McKinsey, 2015). Link between accreditation and new markets/opportunities (e.g. Stonewall top 100s, Equality Mark. Investors in Diversity Award). Reduced recruitment costs through retention of talent. Turning adversity into competitive advantage (Sutanto, 2010).

Legal business case: Avoid breaches of law. Meet requirements for reporting/publishing. Avoid ECHR enforcement action. Minimisation of reputational/financial damage.

Learning outcome 2
Know how to develop strategic priorities for equality, diversity and inclusion
Assessment criteria
2.1 Select and appraise data and information to inform strategic priorities of an organisation 2.2 Develop strategic priorities for equality, diversity and inclusion within an organisational context 2.3 Develop a strategy to embed strategic priorities for equality, diversity and inclusion within an organisation

Indicative content
2.1 Data and information (Qualitative and quantitative): Staff/service user satisfaction surveys. Consultation data (e.g. focus groups, exit surveys). Customer/service user profile (e.g. overall representation, contact/take up, complaints, outcomes). Workforce data by protected characteristic (e.g. overall representation, grade, grievance/disciplinary, recruitment and retention). Intersectional analysis (i.e. experiences of black women). External data and information: National reports (e.g. Stonewall reports into LGBTQ+ experiences). Equality Commission reports. Published statistical data (e.g. ONS data on local/regional profile, employment, housing, hate crime). *2.2 Development of strategic priorities:* ● *Critical assessment of evidence base*: research; involvement and consultation; data. Identify organisational gaps and opportunities. Risks and benefits of proposed activity. Development of specific equality objectives and targets to address gaps (e.g. empirical targets such as percentage improvements to increase involvement, employment, participation. Research in specific issues allied to equality, diversity, inclusion). Inclusion of meaningful user involvement/co-design and delivery (e.g. experts by experience, individuals/groups directly affected by issue). ● Development of a framework to monitor and review equality objectives and targets (e.g. milestones, deliverables, responsibilities). ● Equality analysis (equality impact assessment) embed into organisational practice. Review of policies or approaches. Collaborative approach to analysis. *2.3 Strategy to embed strategic priorities for equality, diversity and inclusion:* Operational planning. Development of individual/team objectives. Identify roles, responsibilities and accountabilities. Leadership approaches. Role modelling. Learning and development. Monitoring activities at strategic and operational levels (e.g. involvement of people by protected characteristic). Visibly championing and celebrating equality diversity and inclusion (e.g. sharing stories as a senior BAME/LGBTQ+/faith leader). Promoting events to mark key diversity dates (e.g. Time to Talk, International Women's Day, Black History Month). Seek accreditation to appropriate standard frameworks (e.g. Stonewall top 100s, Equality Mark. Investors in Diversity Award).
Recommendations for assessment
Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only. 1. The learner may be asked to write a **report** on diversity and inclusion at a strategic level. 2. The learner may be asked to **develop** strategic priorities for equality, diversity and inclusion. 3. The learner may produce a **reflective account** on their leadership practice to evidence their ability to meet each of the assessment criteria.

Further guidance

It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Interpersonal Excellence	● Providing purpose and direction
	● Developing people and capabilities
	● Building relationships and networks
Organisational Performance	● Managing resource and risk
	● Achieving results

Relationship with other frameworks and occupational standards

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K10	Organisational/team dynamics and how to build engagement and develop high performance, agile and collaborative cultures.	Duty 6; Duty 7
	K11	Approaches to strategic workforce planning, for example, talent management, learning organisations, group work, workforce design, succession planning, diversity and inclusion.	Duty 6; Duty 7
Skills	S3	Undertake research, and critically analyse and integrate complex information.	Duty 3; Duty 11; Duty 12
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S14	Create an inclusive culture, encouraging diversity and difference and promoting well-being.	Duty 6; Duty 7
Behaviours	B4	Value difference and champion diversity.	Duty 6; Duty 7

Suggested reading/web resource materials

Recommended Reading

- Kirton, G. and Greene, A-M. (2016). *The Dynamics of Managing Diversity. A Critical Approach*. 4th ed. Abingdon, Oxon: Routledge.

Textbooks/eBooks

- Abramovich, G. and Mercer Traavik, L.E. (2017). Support for diversity practices in Norway: Depends on who you are and whom you have met. *European Management Journal,* 35 (4), 454-463.
- Barr, D. and Campbell, C. (2011). *Ethics in Decision-Making. (Good Practice Guide).* London: Institute of Business Ethics.
- Buchanan, D. and Huczynski, A. (2016). Organizational Behaviour an Introductory Text. 9th ed. Harlow: Prentice Hall.
- Fujimoto, Y., Härtel, C. and Azmat, F. (2013). Towards a diversity justice management model: integrating organizational justice and diversity management. *Social Responsibility Journal,* [online] 9(1), 148–166. available from https://doi.org/10.5465/256486 [15 August 2018].
- Goyal, S. (2009). Diversity in the Workplace. *HRM Review* [online]. available from http://thestrategist.in/wp-content/uploads/2014/11/HRM-REVIEW_Dimension-of-Diversity.pdf [15 August 2018].
- Kumra, S. and Manfredi, S. (2012). *Managing Equality and Diversity: Theory and Practice*. Oxford: OUP.
- Malone, T. (2019). *Equality, Diversity & Inclusion: A practical guide: Terminology, Communities and Dignity*.
- Moss-Racusin, C.A., Dovidio, J.F., Brescoll, V.L., Graham, M. and Handelsman, J. (2012). Science faculty's subtle gender biases favor male students. *Proceedings of the National Academy of Sciences for the United States of America,* 109(41): 16474–16479.
- Mullins, L.J. (2016). *Management and Organisational Behaviour*. 11th ed. Harlow: Pearson Education. Chapter 5.
- Parillo, V. and Donoghue, C. (2005). Updating the Bogardus social distance studies: a new national survey. *The Social Science Journal* [online] 42, 257– 271. available from https://doi.org/10.1016/j.soscij.2005.03.011 [15 August 2018].
- Patrick, H., and Kumar, V. (2012). Managing Workplace Diversity: Issues and Challenges. *Sage Open*, *2*(3), 346-351.
- Sabharwal, M. (2014). Is Diversity Management Sufficient? Organizational Inclusion to Further Performance. *Public Personnel Management* [online] 43(2), 197-217. available from https://doi.org/10.1177/0091026014522202 [7 September 2018].
- Shaban, A. (2016). Managing and Leading a Diverse Workforce: One of the Main Challenges in Management. *Procedia - Social and Behavioural Sciences* [online] 230 (2016) 76–84. available from https://doi.org/10.1016/j.sbspro.2016.09.010 [15 August 2018].
- Sutanto, M. (2009). Turning Diversity into Competitive Advantage: A Case Study of Managing Diversity in the United States of America. *Jurnal Manajemen Dan Kewirausahaan* [online] 11(2) 154-160. available from https://doi.org/10.9744/jmk.11.2.pp.%20154-160 [15 August 2018].
- Wentling, R. and Palma-Rivas, N. (1997). Diversity in the Workforce: A Literature Review. *Diversity in the Workforce Series Report #1* ERIC [online]. Available from https://eric.ed.gov/?id=ED414473 [15 August 2018].

Journals

- Equality, Diversity and Inclusion: An International Journal (Emerald): https://www.emeraldinsight.com/journal/edi
- International Journal of Law in Context
- https://www.cambridge.org/core/journals/international-journal-of-law-in-context
- Interdisciplinary Perspectives on Equality and Diversity
- http://journals.hw.ac.uk/index.php/IPED/

Useful External Weblinks

Websites such as those listed below are recommended sources of information as these are updated continuously in line with current developments in equality diversity and inclusion.

http://www.equalities.gov.uk/equality_act_2010.aspx

http://www.gov.uk

http://www.acas.org.uk

https://equalityhumanrights.com/en

LGBTQ+

https://www.stonewall.org.uk/lgbt-britain-health

https://www.stonewall.org.uk/lgbt-britain-home-and-communities

https://www.gov.uk/government/publications/recruiting-and-retaining-transgender-staff-a-guide-for-employers

Disability

https://www.equalityhumanrights.com/en/publication-download/research-report-88-barriers-employment-and-unfair-treatment-work-quantitative

https://www.equalityhumanrights.com/en/publication-download/hidden-plain-sight-inquiry-disability-related-harassment

https://www.equalityhumanrights.com/en/publication-download/being-disabled-britain-journey-less-equal

Race/ethnicity

https://race.bitc.org.uk/all-resources/research-articles/race-work-report

https://www.equalityhumanrights.com/en/publication-download/healing-divided-britain-need-comprehensive-race-equality-strategy

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/686071/Revised_RDA_report_March_2018.pdf

Religion/belief

https://www.equalityhumanrights.com/sites/default/files/religion-or-belief-guide-to-the-law.pdf

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/642220/Young_Muslims_SMC.pdf

Hate crime

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/748598/hate-crime-1718-hosb2018.pdf

Pay gap

https://www.equalityhumanrights.com/sites/default/files/closing-the-gender-pay-gap_0.pdf

Overall picture in Britain

https://www.equalityhumanrights.com/sites/default/files/is-britain-fairer-2018-executive-summary-pre-lay.pdf

Business Case

https://www.mckinsey.com/business-functions/organization/our-insights/why-diversity-matters

ManagementDirect resources require CMI membership, a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	H/617/6875
RQF level	7
Guided learning hours	18
Total unit time	70
Credits	7
Aims of unit	Strategies for mental health and wellbeing must be a priority for all organisations seeking to improve their productivity, capability, reputation and quality of outcomes. Prioritising mental health and wellbeing in the workplace is rapidly gaining traction through political and social campaigning. People are challenging the 'always-on' 24/7 culture, and the term 'work-life' balance is emerging as a requirement, rather than an aspiration.
	The aim of the unit is for leaders to understand the impact of mental health and wellbeing on organisational performance. Leaders will critically assess the complexities of managing wellbeing and will appraise contemporary approaches for the creation of healthy work systems. The unit culminates in leaders being given the opportunity to propose a series of recommendations to create and sustain a positive culture of mental health and wellbeing within an organisational context.
Keywords	Mental health, wellbeing, impact, performance, systems, approaches, strategies, implement, sustain, success.

Learning outcome 1
Understand the impact of managing mental health and wellbeing on organisational performance
Assessment criteria
1.1 Discuss the impact of mental health and wellbeing on organisational performance
1.2 Critically assess the complexities of managing mental health and wellbeing in an organisational context
1.3 Critically evaluate contemporary approaches for creating healthy work systems
Indicative content
1.1 Impact: Economic impact (reduced costs incurred through staff absence, recruitment costs, litigation/tribunal costs (e.g. breaches of law), competitive advantage (Sutanto, 2010)). Corporate social responsibility and sustainability. Improved performance outcomes. Improved/increased employee satisfaction. Improved recruitment and retention. Reputational benefits (e.g. Top 100 employers, repeat custom, preferred supplier).

1.2 Complexities of managing mental health and wellbeing: Knowledge and understanding of mental health and wellbeing (stress, anxiety, depression). Competence and courage to identify and discuss mental health and wellbeing. Disclosure/non-disclosure (fear of/lack of). Personal/organisational confidence to comply to with legal safeguards (e.g. General Data Protection Regulation (GDPR) (2018). Human Rights Act (1999); Equality Act (2010)). Balancing individual needs with operational needs. Safeguarding individuals' rights and responsibilities. Fairness. Preventing social stigma, negative stereo-types. Discrimination. Making mental health and wellbeing a strategic priority. Awareness of policy/policy cascade. Cultural change.

Organisational context: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture. Type (operational, local, international, global, project/programme based, departmental and strategic business unit).

1.3 *Contemporary approaches for development of healthy work systems:* Good practice (e.g. HSBC, CMI). Fair and decent work (The Taylor review of modern working practices, 2017). Flexible working/work life integration. Removal of structures (e.g. self-determined annual leave, empowered individuals) (Ricardo Semler). Mental Health First Aid. Designated points of contact (access to advice and support). Whole organisational approach (e.g. awareness days. Learning and development initiatives. Mindfulness (Dweck, 2019). Mindsets. Exercise and leisure. Supervision and appraisal. Support networks/groups. Buddy schemes. Mental health champions). Honest conversations (Miles, Munilla and Darroch, 2006; Beer and Eisenstat, 2004). Organisational development and design (Cheung-Judge and Holbeche, 2015, Holbeche, 2017 and Burton et al, 2015). Architecture and interior design of workspace (e.g. lighting, décor, seating areas, planting). United Nations Sustainable Development Goals (2015).

Learning outcome 2
Know how to develop a culture of mental health and wellbeing
Assessment criteria
2.1 Propose a strategy to promote mental health and wellbeing in an organisational context 2.2 Critically appraise approaches for implementing and sustaining a culture of mental health and wellbeing
Indicative content
2.1 Strategy: ● Alignment/relationship of strategies with the organisation's vision, mission, assets/resources, people and environment, strategic objectives. ● Human resource management and development (Beardwell and Thompson, 2017). Role requirements/role modelling. Succession/pipeline planning. Management of data and information (e.g. GDPR, 2018). ● Policy development (e.g. mental health and wellbeing, recruitment and selection, dignity at work, corporate social responsibility and sustainability). ● Selection of strategies tailored to organisational need (e.g. Mental Health First Aid. Access to advice and support. Support networks/groups. Creative approaches to work-based stress, anxiety and depression). Physical working environment. Strategies to deliver fair and decent work (e.g. Taylor review of modern working practices, 2017). Strategies to deliver future work prospects (e.g. positive ageing). Diversity and Inclusion (Kirton et al. 2014). Relationship with organisational and legal frameworks (e.g. Equal Pay Act, 1970; Equality Act, 2010; Health and Safety Act, 1974; Prevent Strategy, 2011; Modern Slavery Act, 2015). ● Leadership approaches (e.g. Value-driven Leadership (Gentile, 2014); Leadership Styles (Goleman, 1995); Authentic Leadership (Goffee and Jones, 2011); Cross Cultural Leadership (Hofstede, 1991); Transformational Leadership (Bass and Riggio, 2006)).

2.2. Approaches for implementing and sustaining a culture of mental health and wellbeing:

- *Culture:* Organisational vision, values and mission. Individual, team attitudes and behaviours. Strategic narrative. Organisational culture and leadership (Schein, E. and Schein, P. (2017)). Cultural Web Johnson et al., (2011). How professions view each other (Sloper, 2004). Psychological Contract (Rousseau, 1989).

- *Clear lines of governance:* Reporting structures Development of strategic and operational objectives. Action planning. Communication strategies. Use of diplomacy. Development of stakeholder groups (e.g. Quality groups, groups of people with lived experience). Data and information gathering, analysis, benchmarking (e.g. staff satisfaction, absence, compliments, complaints). Learning and development opportunities. Championing and celebrating mental health and wellbeing (e.g. sharing stories). Promoting events (e.g. Time to Talk) Actively seeking accreditation to appropriate standard frameworks (e.g. Investors in People, Top 100 Employers). Environment that promotes mental health and wellbeing.

- *Leadership:* Ethos, ethics and values (Mendonca and Kanungo, 2007). Leadership Styles (Goleman, 1995); Appreciative inquiry (Cooperrider, Srivastava and Bushe et al, 2011). Organisational culture and leadership (Schein, E. and Schein, P. (2017)). Cultural Web (Johnson et al., (2011)). Impact of toxic cultures/sub cultures. Competing Values Framework (Quinn and Rohrbaugh, 1983).

Recommendations for assessment

Learners may approach the assessment in several ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the impact of mental health and wellbeing on an organisation's performance.
2. The learner may be asked to write an **account** on how to develop a culture of mental health and wellbeing
3. The learner may produce a **reflective account** to evidence their ability to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 5 Fellow

This unit is mapped to:

Personal Effectiveness	● Making decisions
	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction
	● Developing people and capabilities
	● Building relationships and networks
Organisational Performance	● Leading change and innovation
	● Managing resource and risk
	● Achieving results

Relationship with other frameworks and occupational standards			

This unit is mapped to the following requirements of the Apprenticeship Standard for the Senior Leader Apprenticeship (ST0480):

Knowledge	K1	How to shape organisational mission, culture and values.	Duty 1
	K2	Organisation structures; business modelling; diversity; global and horizon scanning perspectives; governance and accountability; technological and policy implications.	Duty 1; Duty 2; Duty 12
	K4	Innovation; the impact of disruptive technologies (mechanisms that challenge traditional business methods and practices); drivers of change and new ways of working across infrastructure, processes, people and culture and sustainability.	Duty 4; Duty 9; Duty 11
	K6	Ethics and values-based leadership theories and principles.	Duty 1; Duty 2; Duty 3; Duty 4; Duty 5; Duty 6; Duty 7
	K10	Organisational/team dynamics and how to build engagement and develop high performance, agile and collaborative cultures.	Duty 6; Duty 7
	K13	The external social and political environment and use of diplomacy with diverse groups of internal and external stakeholders.	Duty 1; Duty 8; Duty 9
	K14	Working with board and other company leadership structures.	Duty 1; Duty 3
Skills	S1	Use horizon scanning and conceptualisation to deliver high performance strategies focusing on growth/sustainable outcomes.	Duty 1
	S4.1	Lead change in their area of responsibility, create an environment for innovation and creativity	Duty 3; Duty 5; Duty 7; Duty 11
	S4.2	Establish the value of ideas and change initiatives and driving continuous improvement.	Duty 3; Duty 5; Duty 7; Duty 11
	S7	Challenge strategies and operations in terms of ethics, responsibility, sustainability, resource allocation and business continuity/risk management.	Duty 2; Duty 4; Duty 11
	S8	Apply principles relating to Corporate Social Responsibility, Governance and Regulatory compliance.	Duty 5; Duty 12
	S9	Drive a culture of resilience and support development of new enterprise and opportunities.	Duty 6; Duty 7; Duty 11
	S13	Use personal presence and "storytelling" to articulate and translate vision into operational strategies, demonstrating clarity in thinking.	Duty 6; Duty 7; Duty 11
	S14	Create an inclusive culture, encouraging diversity and difference and promoting well-being.	Duty 6; Duty 7
	S15	Give and receive feedback at all levels, building confidence and developing trust, and enable people to	Duty 6; Duty 7

		take risks and challenge where appropriate.	
	S16	Enable an open culture and high-performance working environment and set goals and accountabilities for teams and individuals in their area.	Duty 6; Duty 7
	S17	Lead and influence people, building constructive working relationships across teams, using matrix management where required.	Duty 7
	S18	Optimise skills of the workforce, balancing people and technical skills and encouraging continual development.	Duty 6; Duty 7
	S19	Manage relationships across multiple and diverse stakeholders.	Duty 8; Duty 9
Behaviours	B1	Work collaboratively enabling empowerment and delegation.	Duty 5; Duty 6; Duty 7; Duty 8; Duty 9; Duty 10
	B4	Value difference and champion diversity.	Duty 6; Duty 7

Suggested reading/web resource materials

Recommended Reading

- Coles, R., Vaz Costa, S. and Watson, S. eds. (2018). *Pathways to Well-Being in Design Examples from the Arts, Humanities and the Built Environment.* Abingdon, Oxford: Routledge.
- Cooper, C. and Hesketh, I. (2019). *Wellbeing at Work: How to Design, Implement and Evaluate an Effective Strategy.* London: Kogan Page/CIPD.
- Taylor, M. (2017) *Good Work: The Taylor Review of Modern Working Practices.* Assets publishing service.gov.uk.
- Van Velderhofen, M. and Peccei, R. eds. (2014). *Well-Being and Performance at Work the Role of Context.* Abingdon, Oxford: Taylor and Francis.
- Worrall, L et al. (2016) *The Quality of Working Life. Exploring Managers' Wellbeing, motivation, productivity.* Chartered Management Institute.

Textbooks/eBooks

- Allen, B. and Fidderman, H. (2018). *Your Health at Work: An Indispensable Guide to Physical and mental Wellbeing*. Trades Union Congress TUC. London: Kogan Page.
- Cain, D. (2010). *How to support Mental Health and Wellbeing in the Workplace.* www.lulu.com
- Day, A., Kelloway, E.K. and Hurrell, J.J. eds. (2014). *Workplace Well-being: How to Build Psychologically Healthy Workplaces.* Chichester, West Sussex: John Wiley.
- Dweck, C.S. (2019). The Choice to Make a Difference. *Perspectives on Psychological Science.* 14 (1) 21-25.
- Hesketh, I. and Cooper, C. (2017). M*anaging Health and Wellbeing in the Public Sector: A Guide to Best Practice*. London: Routledge.
- Hodgins, M., Fleming, P. and Griffiths, J. (2016). *Promoting Health and Well-being in the Workplace: Beyond the Statutory Imperative.* London: Plagracve Macmillan.
- Marsh, T. and Ward, L. (2018). *Organised Wellbeing: Proven and Practical Lessons from Safety Excellence*. Oxford: Routledge.
- Miller, R. (2018). *The Healthy Workplace Nudge: How Healthy People, Culture, and Buildings Lead to High Performance*. Chichester, West Sussex: John Wiley.
- Mitchell, D. (2018). *50 Top Tools for Employee Wellbeing: A Complete Toolkit for Developing Happy, Healthy, Productive and Engaged Employees*. London: Kogan Page.

- Nielsen, K. and Noblet, A. eds. (2018). *Organizational Interventions for Health and Well-being. A Handbook for Evidence-Based Practice.* Abingdon, Oxford: Routledge.
- Pinnock, L.E. (2018). *A Managers Guide to mental Health in the Workplace.* Talk2tom Ltd.
- Steffan, S.L. and Rezmovits, J. eds. (2018). *Evolving Leadership for Collective Wellbeing: Lessons for Implementing the United Nations Sustainable Development Goals (Building Leadership Bridges)*. Bingley: Emerald Publishing.
- Stringer, L. (2016). *The Healthy Workplace: How to Improve the Well-Being of Your Employees-and Boost Your Company's Bottom Line*. New York, NY: American Management Association.
- Sutanto, M. (2009). *Turning Diversity into Competitive Advantage*: A Case Study of Managing Diversity in the United States of America. Jurnal Manajemen Dan Kewirausahaan [online] 11(2) 154-160. available from https://doi.org/10.9744/jmk.11.2.pp.%20154-160 [15 August 2018].

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	D/617/4462
RQF level	6
Guided learning hours	21
Total unit time	60
Credits	6
Aims of unit	The ability to procure, purchase and contract goods, services and capital items effectively is of paramount importance if an organisation is to succeed. For the professional manager and leader this knowledge and understanding is invaluable. It has the power to enhance decision making, strategic and operational planning and the effective delivery of outcomes within budgetary constraints.
	It is important to recognise that the terms 'procurement' and 'purchasing' are interpreted differently depending on the type of organisation. For the purpose of this unit, 'procurement' is recognised as the strategic activity that will be underpinned by 'purchasing' and 'contracting'.
	The aim of this unit is for managers and leaders to realise business objectives though competent, ethical and professional contracting, purchasing and procurement practices.
Keywords	Contracts, purchasing, procurement, business objectives, internal, external influences, partners, consortia, policy, strategy, supplier/vendor selection, tenders, bids, negotiation, risk management, contract management.

Learning outcome 1
Understand the principles of procurement, purchasing and contracting within organisational contexts
Assessment criteria
1.1 Critically appraise the factors which impact on procurement, purchasing and contracting within organisational contexts
1.2 Critically assess the interrelationship between strategic procurement and operational purchasing within an organisational context
1.3 Investigate how the application of procurement and purchasing processes can be utilised to achieve strategic objectives
Indicative content
1.1 Factors which impact on procurement, purchasing and contracting: ● *Internal factors (i.e. skills and know hows of people to conduct contracting, purchasing and procurement):* Policy and strategy in relation to supply chain and supply chain outsourcing, strategic alliances, partnerships and consortia. Organisational policy with respect to regulatory requirements, compliance, fraud, corruption, coercion, collusion, conflict of interest, codes of conduct, confidentiality, due diligence, environment and sustainability. Organisational structure and governance in relation to ethics, culture, diversity, Corporate and Social Responsibility (CSR), risk, roles, responsibilities, accountability, stakeholder engagement.

- *External factors (i.e. emerging technology, technology trends, digitalisation regulatory and legal frameworks):* Global influence (i.e. multi-national corporations, culture/cultural difference, country of origin effects, host country effects, ethics, diversity and values, language and communications, governance, legal and regulatory). Finance (e.g. exchange rates, tariffs, customs and excise duties).
- *Organisational context:* Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

1.2 Interrelationship between strategic procurement and operational purchasing: Finance. Risk management. Governance. Quality management. Interaction with project and programme management. Requirements management. Thru-life management. New product and/or capability development. Contracting and contract management. Inter-organisational relationships. Specification creep.

1.3 Procurement and purchasing processes: Identify business need. Add value (e.g. tangible and intangible benefits such as cost reduction, reputation, maintaining brand and image, process efficiency, continuous improvement). Identify procurement and purchasing strategic/operational policies. Design/develop/enable supply chain. Conduct research regarding new and/or existing suppliers (e.g. trade study). Identify capability to deliver requirements. Supplier/vendor selection (e.g. tender evaluation, due diligence, pre-qualification. Invitation to Tender – ITT. Requests for Proposal – RFP. Requests for Quotation – RFQ). Contract negotiation and award. Selection of contract type (e.g. simple contract, purchase order, contract under seal). Methods for managing procurement and purchasing processes, manual or computerised (e.g. ERP/MRP systems). Commercial systems (e.g. SAP, Oracle, SAGE). Performance management of purchasing and procurement processes.

Learning outcome 2
Know how to apply the principles of procurement, purchasing and contracting to achieve an operational requirement
Assessment criteria
2.1 Develop a proposal to manage the tender and bidding process to meet a specified operational requirement 2.2 Recommend the type of contract required to meet a specified operational requirement 2.3 Propose an approach to contract management to achieve an operational requirement
Indicative content
2.1. Proposal to manage the tender and bidding process: Use of open and closed bids. Single or two stage bid process. Technical and commercial compliance. Finance and cost information (e.g. standard pricing, pricing structures and quantities, commodities trading, bulk buying cost plus, open book, ever green, hybrid unit pricing). Bid evaluation and assessment. Stakeholder involvement (e.g. internal and/or external). Supply chain management (e.g. use of intermediaries, management of first and second tier suppliers). Methods to submit the proposal (i.e. Electronic Data Interface - EDI, "E" purchasing and procurement such as Purchase to Pay – P2P). Use of Materials Resource Planning – MRP. Enterprise Resource Planning – ERP. Use of manual or computerised operational procurement and purchasing processes (e.g. Commercial systems such as SAP, Oracle, SAGE). Authorisation and approval processes. *2.2 Recommendation:* With reference (as applicable) to legal and regulatory frameworks (e.g. local and international laws and standards, suppliers, partners, consortia, alliances). *Type of contract:* Simple contracts (i.e. purchase order). Contracts under seal (i.e. multi-stage process involving negotiation of technical and commercial conditions such as Public Finance Initiative - PFI). Franchise. Joint venture. Profit sharing. Self-funding. Special Purpose Vehicle - SPV. *2.3 Approaches to contract management:* Manage and/or develop relationships with selected suppliers/vendors. Set performance goals (e.g. KPIs). Track performance, evaluate outcomes. Manage thru-life costs and value for money. Supplier Relationship Management - SRM (e.g. Conflict management and resolution, disputes, changes to contract).

Recommendations for assessment
Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only. 1. The learner may be asked to write an **account** on the principles of procurement, purchasing and contracting within organisational contexts. 2. The learner may be asked to write a **management report** on how the principles of procurement, purchasing and contracting can be applied to achieve an operational requirement. 3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria**.** **Further guidance** It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 4 Chartered Manager
This unit is mapped to:

Personal Effectiveness	● Making decisions ● Communicating and influencing
Interpersonal Excellence	● Developing people and capabilities ● Building relationships and networks
Organisational Performance	● Leading change and innovation ● Managing resource and risk ● Achieving results

Suggested reading/web resource materials
Recommended Reading ● Bailey, P., Farmer, D., Crocker, B., Jessop, D. and Jones, D. (2015). *Procurement Principles and Management.* 11th ed. Harlow: Pearson. ● Christopher, M. (2016). *Logistics and Supply Chain Management.* Creating Value-Adding Networks. 5th ed. Harlow: Pearson Education. ● Chudy, M. and Castedo, L. (2017). *Procurement with SAP MM*: Business User Guide 2nd ed. Boston, MA: Rheinwerk Publishing Inc. ● Chopra, S. (2019). *Supply Chain Management:* Strategy, Planning and Operation. 7th ed. Harlow: Pearson Education. ● Hackett, M. and Statham, G. eds. (2016). *The Acqua Group Guide to Procurement, Tendering and Contract Administration.* 2nd ed. Chichester: John Wiley and Sons. ● Hodges Silverstein, S. and Sager, T. (2015) *Legal Procurement Handbook*. USA: Buying Legal Council. ● Jackson, P., Crocker, B., and Carter, R. (2016). *101 Models of Procurement and Supply Chain Management.* Cambridge, UK: Cambridge Academic. ● Johnsen, T.E., Howard, M. and Miemczyk, J. (2019). *Purchasing and Supply Chain Management*. 2nd ed. Abingdon: Routledge.

- Lysons, K. and Farrington, B. (2016). *Procurement and Supply Chain Management*. Harlow: Pearson Education.
- Manners-Bell, J. (2017). *Supply Chain Ethics*: Using CSR and Sustainability to Create Competitive Advantage. London: Kogan Page.
- Manners- Bell, J. (2019). *The Logistics and Supply Chain Innovation Handbook*: Disruptive Technologies and New Business Models. London: Kogan Page.
- Monczka, R.M., Handfield, R.B., Giunipero, L.C., Patterson. J.L. and Waters, D. (2015). *Purchasing and Supply Chain Management*. 6th ed. Boston, MA: Cengage Learning.
- O'Brien, J. (2016). *Negotiation for Procurement Professionals:* A Proven Approach that Puts the Buyer in Control. 2nd ed. London: Kogan Page.
- Semple, A. (2015). *A Practical Guide to Public Procurement*. Oxford: OUP.
- Van Weele, A.J. (2018). *Purchasing and Supply Chain Management* 7th ed. Boston, MA: Cengage Learning.

Contract Management Books

- Carter, R., Kirby, S. and Oxenbury, A. (2012). *Practical Contract Management*. Cambridge, UK: Cambridge Academic.
- Corey, J.J. Jr. (2015). *Contract Management and Administration for Contract and Project Management Professionals*. Fuquay Varina, NC: JJ Corey.
- IACCM. (2013). Fundamentals of Contract and Commercial Management (IACCM Series). Norwich: Van Haren Publishing.
- IACCM. (2014). *Contract and Commercial Management*: The Operational Guide (IACCM Series. Business Management). IACCM and Norwich: Van Haren Publishing.
- Powell, G. (2016). *Construction Contract Preparation and Management*: From concept to completion. 2nd ed. London: Palgrave / Springer Nature Ltd.
- Sammons, P. (2017). *Contract Management:* Core Business Competence. London: Kogan Page.

Journals

- International Journal of Procurement Management
- Journal of Purchasing & Supply Management
- Recent Journal of Purchasing & Supply Management Articles
- International Journal of Procurement Management

Useful External Weblinks

- https://www.cips.org
- https://www.ioscm.com

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	H/617/4463
RQF level	6
Guided learning hours	20
Total unit time	60
Credits	6
Aims of unit	Corporate Social Responsibility (CSR) and sustainability are topics keenly related to organisational accountability. Definitions and approaches taken to manage and lead CSR and sustainability vary according to the type and purpose of an organisation and its governance. Approaches typically include the development of aims and objectives, policy and strategy, with the intent to address the impact of an organisation's activity on society, the environment and a commitment to ethical and responsible conduct.
	The aim of this unit is to enable professional managers and leaders to understand CSR and sustainability in an organisational context. They will assess the enablers, constraints and barriers to its success, present a case for organisational engagement, identify approaches for its implementation and ultimately, identify strategies to gain ongoing stakeholder commitment.
Keywords	Corporate social responsibility, sustainability, enablers, constraints, barriers, theoretical concepts and frameworks, stakeholders, ethics, implementation, communication, performance improvement, success.

Learning outcome 1
Understand corporate social responsibility and sustainability in organisational contexts
Assessment criteria
1.1 Discuss organisational approaches to corporate social responsibility and sustainability
1.2 Critically assess enablers, constraints and barriers to corporate social responsibility and sustainability
1.3 Present a case for organisational commitment to corporate social responsibility and sustainability
Indicative content
1.1 Corporate Social Responsibility (CSR)*: Organisational responsibility to society (accountability). Organisational responsibility for society (compensation for negative impacts on society, contribution to societal welfare, environmental considerations). Organisational responsible conduct (operating ethically responsibly, sustainably, address impact on environment within legal and regulatory requirements). Management of an organisation of its relationships with society (e.g. codes of conduct, reputational value, legal implications). Scope of CSR (e.g. local, global, individual, organisational).
Sustainability*: Accountability for society and the environment. Interrelationship with economic wellbeing, commercial practices, legal and regulatory requirements. Sustainable development and resourcing (e.g. natural resources, renewable and recyclable production, green logistics, green procurement, triple bottom line 'people, planet, profit'). Scope of sustainability (e.g. local, global, individual, organisational).
(* Please note: CSR and sustainability are contested areas depending on definitions and understanding they may be viewed as separate areas or interlinked with sustainability a subset of CSR.)

CSR and Sustainability theoretical concepts and frameworks: Business ethics theory (Bigg, 2004); Shareholder value theory (Friedman, 1970); Stakeholder theory (Freeman, 1984). Frameworks: United Nations Global Compact (UNGC) (2000); The CSR Pyramid (Carroll, 1979); Triple Bottom Line (Elkington, 1997). ISO 26000 Guidance on Corporate Social Responsibility (2010).

Organisational contexts: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). External environment. Stakeholder expectations.

1.2 Enablers, constraints and barriers: Contested nature of corporate social responsibility and sustainability. Organisational structure. Processes and procedures, codes of conduct. Demographic of the workforce. Organisational Culture (Schein, 1988; Johnson and Scholes, 2011). Internal politics. Leadership commitment. Change of leader (new leader). Political, legal and regulatory change. Organisational environment, market, stakeholders (culture, interests and expectations). Financial climate, impact of media, public perception. Force Field Analysis (Lewin, 1951). Competing Values Framework (Quinn and Cameron, 2011).

1.3 Case for organisational commitment to corporate social responsibility and sustainability: Legal and regulatory requirements, social conscience, reputation. Understanding of customer expectations, service to the local community, educational benefits, support for the arts and culture. Economic benefits, societal benefits, direction of the organisation. Achievement of charter marks, accreditations. Development of a high-performance organisation (e.g. inter- relationship between values, culture, behaviours, performance). Positive contribution to safeguarding the environment, response to environmental concerns, sustainable use of natural resources, reduction of environmental impact.

Learning outcome 2
Know how corporate social responsibility and sustainability is applied in an organisational setting
Assessment criteria
2.1 Justify an approach to leading and implementing corporate social responsibility and sustainability in an organisational context 2.2 Propose a strategy to gain ongoing stakeholder commitment to corporate social responsibility and sustainability
Indicative content

2.1 Approach to leading and implementing corporate social responsibility and sustainability:

● *Rationale for corporate social responsibility and sustainability:* Triggers: environmental, societal, stakeholder influence, research findings, legal and regulatory requirements.

● *The case for corporate social responsibility and sustainability*: Alignment between proposed strategy and organisational goals and values. Fit with organisational culture. Analysis of revenues and costs, risks, benefits. Impact on operational activities, governance, leadership and management. Resourcing. Delivery partners. Establishment of subsidiary company or foundation.

● *Stakeholder engagement:* Internal and external.

● *Implementation plan*: Pilot implementation, soft launch, 'Big Bang', phasing in, full roll out (dependent on size of organisation and maturity, nature of strategy).

● *Monitoring and evaluation of outcomes, measurement of impact:* Qualitative and quantitative measures of success, KPIs, objectives, goals, timescales.

● *Reporting:* Publication of results. Impact report.

2.2 Strategies: Communications theory (Shannon and Weaver, 1947; Parguel, Benoît-Moreau and Larceneux, 2011). Persuasion, challenging perceptions. Making sense through emotional connections. Learning and development (e.g. communities of practice, use of subject matter experts, self and directed learning programmes, coaching and mentoring, technical training). Building reputation (e.g. media presence, public engagement). Publicity (campaigns and activities for different audiences). Leadership approaches/commitment. Feedback structures to assess the practicality and success of CSR and

sustainability. Persistence. Provision of time and space to allow developmental change. Lessons learned. Continuous improvement (Zwetsloot, 2003) Good practice (Jenkins, 2006). Honest conversations (Miles, Munilla and Darroch, 2006; Beer and Eisenstat, 2004)

Stakeholders: internal and external stakeholders; Stakeholder theory (Mitroff, 1983; Freeman, 1983)

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner will be required to produce a **written report** or develop a **presentation** on corporate social responsibility and sustainability in organisational contexts.
2. The learner may be required to develop a **proposal** on how corporate social responsibility and sustainability is applied in an organisational setting.
3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 4 Chartered Manager

This unit is mapped to:

Personal Effectiveness	● Making decisions ● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction ● Developing people and capabilities
Organisational Performance	● Achieving results

Suggested reading/web resource materials

Recommended reading
- Asbury, S., and Ball, R. (2009). *Do the Right Thing*: The Practical, Jargon-free Guide to Corporate Social Responsibility. Abingdon, Oxon: Routledge.
- Chandler, D. (2016). *Strategic Corporate Social Responsibility*: Sustainable Value Creation. 4th ed. Thousand Oaks, CA: SAGE Publications.
- Moon, J. (2014). *Corporate Social Responsibility*. A very short introduction. Oxford: OUP.

Supplementary reading
- Barth, R., and Wolff, F. (2009). *Corporate Social Responsibility in Europe.* Rhetoric and Realities. Cheltenham: Edward Elgar Publishing Ltd.
- Beal, B.R. (2013). *Corporate Social Responsibility*: Definition, Core Issues, and Recent Developments. Thousand Oaks, CA: SAGE Publications.
- Beer, M., and Eisenstat, R.A. (2004). *How to have an honest conversation about your business strategy.* Harvard Business Review, 82(2): 82-89.

- Bigg, T. ed. (2004). *Survival for a small planet:* the sustainable development agenda. Abingdon, Oxon: Routledge.
- Blackburn, W.R. (2016). *The Sustainability Handbook:* The Complete Management Guide to Achieving Social, Economic and Environmental Responsibility. Abingdon, Oxon: Routledge.
- Blowfield, M., and Murray, A. (2014). *Corporate Responsibility.* 3rd ed. Oxford: OUP.
- Brown, L. (2010). Plan B 4.0: *Mobilizing to Save Civilization*. Washington D.C.: Earth Polar Institute/ W.W. Norton & Co.
- Bruel, O. (2017). *Strategic Sourcing Management:* Structural and Operational Decision Making. Kogan Page.
- Carroll, A.B. (1979). *A Three-Dimensional Conceptual Model of Corporate Social Performance*. Academy of Management Review. 4(4), 497-505.
- Choi, T-M., and Cheng, T.C.E. eds. (2015). *Sustainable Fashion Supply Chain Management*: From Sourcing to Retailing. Cham, Switzerland: Springer.
- Crane, A., McWilliams, A., Matten, D., Moon, J., and Siegel, D.S. (2009). *The Oxford Handbook of Corporate Social Responsibility*. Oxford: OUP.
- Crane, A., Matten, D., and Spence, L. eds. (2013). *Corporate Social Responsibility*. Readings and Cases in a Global Context. Abingdon, Oxon: Routledge.
- Elkington, J. (1999). Cannibals with Forks: *The Triple Bottom Line of 21st Century Business.* Chichester: Capstone Publishing Ltd.
- Eweje, G., and Bathurst, R. (2018). *CSR, Sustainability, and Leadership*. Abingdon, Oxon: Routledge.
- Falck, O., and Heblich, S. (2007). *Corporate Social Responsibility*: Going well by doing good. Business Horizons, 50(3): 247-254.
- Freeman, R. E. (2010). *Strategic Management. Cambridge:* Cambridge University Press.
- Fleming, P., and Jones, M. (2012). *The End of Corporate Social Responsibility*: Crisis and Critique. London: SAGE Publications.
- Friedman, M. (1970). *The Social Responsibility of Business in to Increase its Profits*. The New York Times Magazine, September 13.
- Grant, D.B., Trautrims, A., and Wong, C.Y. (2017). *Sustainable Logistics and Supply Chain Management*: Principles and Practices for Sustainable Operations and Management. 2nd ed. London: Kogan Page.
- Gürtler, G., Lane, B., and Sendel, F. (2014). *The Easy Guide to ISO 26000.* Using the offered guidance on social responsibility in an easy, correct and efficient manner. 2nd ed. CreateSpace Independent Publishing Platform.
- Haski-Leventhal, D. (2018). *Strategic Corporate Social Responsibility*: Tools and Theories for Responsible Management. Los Angeles, CA: SAGE Publications.
- Idowu, S., and Papasolomou, I. (2007). Are the corporate social responsibility matters based on good intentions or false pretences? An empirical study of the motivations behind the issuing of CSR reports by UK companies. Corporate Governance: The international journal of business in society, 7(2): 136-147.
- Jenkins, H. (2006). Small Business Champions for Corporate Social Responsibility. Journal of Business Ethics, 67(3): 241-256.
- Leleux, B., and van de Kaaij, J. (2018). *Winning Sustainability Strategies:* Finding Purpose, Driving Innovation and Executing Change. 2019 ed. Basingstoke: Palgrave Macmillan.
- Londrigan, M., and Jenkins, J. (2018). *Fashion Supply Chain Management*. New York, NY: Bloomsbury Academic.
- Manners-Bell, J. (2017). *Supply Chain Ethics*: Using CSR and Sustainability to Create Competitive Advantage. London: Kogan Page.
- McKinnon, A., Cullinane, S., Browne, M. and Whiteing, A. (2010). *Green Logistics*: Improving the Environmental Sustainability of Logistics. Kogan Page.
- Miles, M.P., Munilla, L. and Darroch, J. (2006). *The Role of Strategic Conversations with Stakeholders in the Formation of Corporate Social Responsibility Strategy*. Journal of Business Ethics, 69(2): 195-205.
- Moratis, L., and Cochius, T. (2017). ISO 26000: *The Business Guide to the New Standard on Social Responsibility*. Abingdon, Oxon: Routledge.
- Parguel, B., Benoît-Moreau, F., and Larceneux, F. (2011). How Sustainability Ratings Might Deter 'Greenwashing': *A Closer Look at Ethical Corporate Communication*. Journal of Business Ethics, August 2011: 102-15.
- Samar Ali, S., Kaur, R., and Marmolejo Saucedo, J.A. (2019). *Best Practices in Green Supply Chain Management: A* Developing Country Perspective. Bingley, Yorkshire: Emerald Publishing.
- Wicks, J. (2018). The Price of Profit: *Rethinking Corporate Social Responsibility.* Amazon Kindle Publishing.

- Willard, B. (2012). *The New Sustainability Advantage*: Seven Business Case Benefits of a Triple Bottom Line. 10th anniversary ed. Gabriola Island, BC: New Society Publishers.
- Zwetsloot, G. (2003). *From Management Systems to Corporate Social Responsibility*. Journal of Business Ethics, 44(2-3): 201-208.

Journals
- Corporate Social Responsibility and Environmental Management (Wiley Online)
- Social Responsibility Journal (Emerald Insight)
- International Journal of Corporate Social Responsibility (Springer)

Useful External Weblinks
JIGSAW https://www.cranfield.ac.uk/som/research-centres/doughty-centre-for-corporate-responsibility
International Organisational for Standardisation, ISO

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	M/617/4465
RQF level	6
Guided learning hours	25
Total unit time	70
Credits	7
Aims of unit	Effective quality management is critical to meeting stakeholder needs and expectations, developing trust and reputation. It impacts on profitability, processes and procedures and the achievement of strategic objectives. Quality is not something that occurs by chance. It is reliant on strategic and operational planning and the commitment and drive by professional managers, leaders, teams and individuals to make it a success.
	The aim of this unit is to enable professional managers and leaders to understand the rationale and approaches to quality management. Critically, the unit focuses on how quality and continuous improvement can be instilled into all aspects of working practice.
Keywords	Quality management, stakeholders, structures, principles, continuous improvement, purpose, procedures, strategic objectives.

Learning outcome 1
Understand the factors which influence organisational approaches to quality management
Assessment criteria
1.1 Critically assess organisational approaches to quality management in relation to different perspectives and schools of thought 1.2 Appraise the impact of multi-dimensional issues on quality management within organisational contexts
Indicative content
1.1 Approaches to quality management (people centred or mechanistic): Continuous improvement. Six Sigma (Motorola, 1986). Statistical Process Control 'SPC' (Shewhart, 1920), Deming/PDCA Cycle (Deming, 1950s). LEAN methods (Krafcik, 1988; FW Taylor, 1911; Lillian Gilbreth, 1920; Tsuneo Ono, 1929). Total Quality Management 'TQM' (Feigenbaum et al., circa 1980). Public/Third Sector approaches (e.g. PQASSO, Investing in Volunteers 'ViM'). *Different perspectives and schools of thought:* Short term improvements to quality management: Reactive, dramatic improvement, involving a select few (Kaizen Blitz). Long term improvements to quality

management: Long lasting, slow small steps, incremental, applied to everybody (Kairyo, Kaizen/Ba, circa 1960). Continuous self-development to achieve leadership potential.

1.2 Multi-dimensional issues: barriers, enablers, constraints, cultural issues.

Organisational contexts: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Organisational culture. Type (operational, local, international, global, project/programme based, departmental and strategic business unit). Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

Internal and external factors such as current business environment, customer needs. Organisational requirements for quality management (e.g. industry norms, regulations, requirements for governance). Organisational requirements for new quantitative and qualitative outcomes. Management and leadership styles.

Learning outcome 2

Know how to lead quality management to achieve strategic objectives

Assessment criteria

2.1 Discuss how quality management can be developed to achieve strategic objectives in an organisational context

2.2 Develop a proposal to lead quality management at an operational level

2.3 Consider how individuals and teams can be supported to instil the principles of quality and continuous improvement into all aspects of working practice

Indicative content

2.1 The development of quality management may include but is not limited to: Establishing aims and objectives (e.g. strategic, operational, departmental, functional). Critical Success Factors (Daniel / McKinsey & Co., 1961). Critical Decisions, Critical Assumptions, Assumption Based Planning (ABP) (Rand Corporation, circa 1960). Key Performance Indicators 'KPIs'. Gain stakeholder buy-in (e.g. individuals, teams, managers, leaders, senior managers, board members; external: customers, pressure groups, government agencies; connected: suppliers, partners, contractors). Balance of power, value, impact, power/interest, stakeholder analysis (Freeman, 1984; Eden and Ackerman, 1998).

2.2 Proposal in relation to either a new or existing operational activity to include:

- *Business planning – overarching business plan for quality management:* Identify opportunities for short and long-term improvements (e.g. build on success, respond to a problem, support customer need). Identify long-term goals and objectives. Manage stakeholder involvement. Seek perspectives on priorities and strategies. Identify and manage risk. Set measurable objectives (e.g. KPIs). Develop high-level improvement implementation plan (key milestones and dates) and strategy (e.g. prototyping, parallel operations, big bang or pilot project). Plan to manage, lead, monitor and evaluate outcomes of improvements.

- *Operational planning (including an evaluation of options):* To introduce or improve quality management.

- *Selection of approaches to training, learning and development (e.g. formal, informal):* Online learning, secondments and temporary promotion/role change, job shadowing, benchmarking against other industry sectors, quality circles.

- *Selection of tools and techniques for quality management (quality controls and assurance): Assurance:* International Organization for Standardization: ISO 9001: 2015.

- *Diagnostic techniques* (e.g. influence diagrams). Rational Decision Making (Kepner and Tregoe, 1965). Soft Systems Methodology 'SSM' (Checkland, circa 1970). Appreciative Enquiry (Cooperrider and Srivastva, circa 1980). Multi Voting/ Delphi Technique (Rand Corporation, Helmer et al., c.1960). Mind mapping (Buzan et al., c.1950).

- *Analytical techniques:* Failure Mode and Criticality Analysis (FMECA). SWOT analysis. Six Thinking Hats (De Bono, 1986). Root Cause Analysis. 5 Whys. Fishbone Analysis (Ishikawa, 1968). Design of Experiments 'DoE'. The Seven Wastes (7 Mudas, Toyota, circa 1950). Pareto analysis. Quality Functional Deployment 'QFD' (1966, Japan). Deming/PDCA Cycle (Deming, 1950s). Kano Model (Kano, 1980). Six Sigma (Motorola, c. 1986). Rapid Improvement Workshop. Voice of the Customer.

- *Analysis and presentation of results:* Histograms, bar charts, variance analysis, data analysis and visualisation. Statistical methods (e.g. Statistical Process Control 'SPC'), Cost of Poor Quality 'CoPQ' (IBM et al., 1987).

- *Manufacturing techniques:* Fit, finish, tolerances, parts and assemblies, tool room metrology, mistake proofing. Value engineering. Overall Equipment Effectiveness 'OEE'. Design for Manufacturing and Assembly Techniques 'DFMA'. Visual management. KANBAN boards.

- *Plan for implementation:* Scope, objectives, actions, stages, milestones, resources, timescales, responsibilities, key performance indicators, communications, risk, quality, human resources, and team development. Standard project management approaches such as PRINCE2. PMI (Project Management Institute). APM (Association of Project Managers). PMBOK (Project Management Body of Knowledge). Use of Gantt Charts and Critical Path Analysis. Plan for use of national and international standards (e.g. ISO 9001: 2015, API, DIN, AFNOR).

- *Select implementation strategy for quality management:* Big bang strategy (out with the old and in with the new). Prototyping. Development of a pilot. Parallel operations (running new and existing operations for a time period).

- *Plan for monitoring and review:* Identify qualitative and quantitative methods (e.g. Periodic reporting, surveys and questionnaires, interviews, benchmarking activities, scorecards, data and metrics, audits, targets, observation, conversations. Performance Improvement Reviews 'PIR').

2.3 Strategies to instil the principles of quality and continuous improvement: Communities of practice, subject matter experts, self and directed learning, technical training, motivational techniques, reward and recognition, expectations of role and requirements. Recognise enablers and blockers. Force Field Analysis (Lewin, c. 1940). Collaborative working, coaching and mentoring, role modelling. Winning hearts and minds (challenging assumptions and beliefs, influencing, overcoming barriers and conflict). Adapt management and leadership styles to individual and team needs.

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** or **reflective account** on the factors which influence organisational approaches to quality management.
2. The learner may be asked to write a **report** or proposal on how to lead quality management to achieve strategic objectives.
3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 4 Chartered Manager

This unit is mapped to:

Personal Effectiveness	● Managing yourself

	● Making decisions
Interpersonal Excellence	● Providing purpose and direction ● Developing people and capabilities ● Building relationships and networks
Organisational Performance	● Managing resource and risk ● Achieving results

Suggested reading/web resource materials

Suggested Reading

- Cowley, M. and Domb, E. (1997). *Beyond Strategic Vision: Effective Corporate Action with Hoshin Planning.* Abingdon: Routledge.

- Deming, W.E. (2012). *The Essential Deming: Leadership Principles from the Father of Quality.* New York, NY: McGraw-Hill.

- Eaton, M. *The Lean Practitioner's Handbook*. London: Kogan Page.

- Gladwell, M. (2002). *The Tipping Point: How Little Things Can Make a Big Difference*. New ed. London: Abacus/Little, Brown Book Group.

- Gladwell, M. (2009). *Outliers: The Story of Success.* London: Penguin Books.

- Goldratt, E.M. (2004). *The Goal: A Process of Ongoing Improvement* 3rd ed. Abingdon: Routledge.

- Greasley, A. (2013). *Operations Management*. 3rd ed. Chichester: John Wiley.

- Hamilton, B. and Wardwell, P. (2013). *The e2 Continuous Improvement System: Managing & Sustaining your Lean Transformation through the "e2 everybody, everyday" Approach to Lean.* Amazon Media.

- Hewitt, D., and Ainslie, V. (2018). *Quality Management Systems A guide to ISO 9001: 2015 Implementation and Problem Solving*. 2nd ed. Sydney, NSW: Phoenix Proofreading.

- Hoyle, D. (2017). *ISO 9000 Quality Systems Handbook-updated for the ISO 9001: 2015 standard: Increasing the Quality of an Organization's Outputs*. Abingdon, Oxon: Routledge.

- Imai, M. (2012). *Gemba Kaizen: A Commonsense Approach to a Continuous Improvement Strategy* 2nd ed. New York, NY: McGraw-Hill.

- Kato, I. and Smalley, A. (2011). *Toyota Kaizen Methods: Six Steps to Improvement.* New York, NY: Taylor and Francis.

- Liker, J.K. (2004). *The Toyota Way: 14 Management Principles from the World's Greatest Manufacturer*. New York, NY: McGraw-Hill.

- Miller, J., Wroblewski, M. and Villafuerte, J. (2013). *Creating a Kaizen Culture*. New York, NY: McGraw-Hill.

- Narusawa, T. and Shook. J. (2009). *Kaizen Express: Fundamentals for Your Lean Journey.* Boston, MA: Lean Enterprise Institute.

- Ohno, T. (2013). *Taiichi Ohno's Workplace Management.* New York, NY: McGraw Hill.

- Rother, M. (2009). *Toyota Kata: Managing People for Improvement, Adaptiveness and Superior Results.* New York, NY: McGraw Hill.

- Slack, N., Brandon-Jones, A., and Johnston, R. (2016). *Operations management* 8th ed. Harlow: Pearson.

- Wheeler, D. J. (2000). *Understanding Variation: The Key to Managing Chaos*. 2nd ed. Knoxville, TN: SPC Press.

- Womack, J. and Jones, D. (2015). *Lean Solutions*: *How Companies and Customers Can Create Value and Wealth Together*. New York, NY: Simon and Schuster.

Journals

- Total Quality Management & Business Excellence

- Total Quality Management and Organizational Performance

- Total Quality Management and Business Excellence

- The TQM Journal

- Quality Management Journal (ASQ)

- Quality management in health care

- International Journal of Productivity and Quality Management

- Quality & Quantity

- International Journal of Applied Quality Management

Supplementary Journals

- Quality progress

- Journal for quality and participation

- Journal of quality technology

- Quality engineering

- Software quality professional

- Quality approaches in higher engineering

- Quality management forum

Useful papers

- Fisher, N. (2009). Homer Sarasohn and American Involvement in the Evolution of Quality Management in Japan, 1945-1950. *International Statistical Review,* 77: 276-299.

- Price, B. (1989). Frank and Lillian Gilbreth and the Manufacture and Marketing of Motion Study, 1908-1924. *Business and economic history* Second series, volume eighteen.

- Phelps, L.D., Parayitam, S. and Olson, B.J. (2007). Edwards Deming, Mary P. Follett and Frederick W. Taylor: Reconciliation of differences in Organizational and Strategic Leadership. *Academy of Strategic Management Journal*, 6:1-14.

- Dalrymple, J.F. (2018). *From F Winslow Taylor to W Edwards Deming, - Over a Century of Progress?* Melbourne, Victoria, Australia: Centre for Management Quality Research, RMIT University. http://mams.rmit.edu.au/35zkk9ztt0qn.pdf

- Kolesar, P. (1994). What Deming Told the Japanese in 1950. *Quality Management Journal*, 2: 9-24.

Useful External Weblinks

CQI

EFQM Leading Excellence

European Organisation for Quality

International Organisational for Standardisation, ISO

Investors in People

Kaizen Institute

Report: Chartered Management Institute and Chartered Quality Institute: The contribution of quality management to the UK economy (June 2012)

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	T/617/4466
RQF level	6
Guided learning hours	20
Total unit time	60
Credits	6
Aims of unit	The principles laid down in organisational, corporate, functional and departmental policies have a direct bearing on the daily activities of an organisation's workforce. Policy focuses on the activities which are of critical importance to an organisation. Policies can be used to set strategic direction. Policies also set expectations about the behaviours and values required by staff to work ethically and professionally within their roles and when representing the organisation.
	Policy writing is an art form which requires great skill. An in-depth understanding of the context in which policy is developed, the factors which drive the need for policy, and crucially, the influence of stakeholders in policy development is required to write effective policies.
	The aim of the unit is to enable professional managers and leaders to take a fresh look at the role policy plays within an organisation, know how policy can be developed and ultimately, cascaded successfully to its intended audience.
Keywords	Policy drivers, rationale, purpose, limitations, inter-relationships, procedures, instructions, flexibility, formulation, implementation, policy cascade, review, ethics, diversity.

Learning outcome 1
Understand the context in which a policy is developed
Assessment criteria
1.1 Discuss the context in which policy is developed
Indicative content
1.1 Context: ● *Policy drivers:* internal and external, global, international, national, regional, local influences. Level of commitment to and acceptability of policy change (long and short term). Roles of corporate and functional policy (i.e. human resources, finance, production, operations, marketing, sales, customer

services, purchasing, procurement, warehousing, supply chain). Size and structure of organisation. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990).

- *Relationship between policy and strategy*: Achievement of objectives, such as compliance, safety and security, values, long and short-term commitment. Relationship to procedures, activities, work instructions and standards (local and international standards e.g. ISO9001:2015, ISO 14001). Role of autonomy within organisations, departments/divisions with respect to policy development (e.g. Head Office sets policy - business units across the country interpret the policy to reflect local conditions). Limitations of policy (scope and coverage).

- *Issues of policy development:* Tensions in policy making (e.g. competing perspectives, different schools of thought in policy making, operational and delivery constraints, challenging and improving policy, individual ambitions versus grand visions, short-termism, resource allocation). Consideration of issues in regard to policy cascade and implementation (e.g. inability to cover all eventualities at an operational level). Policy dependence on individuals to use judgements, make decisions in the context of organisational governance and operational procedures. Individual and team insensitivity to policy change.

Learning outcome 2
Know how to develop, implement and evaluate policy
Assessment criteria
2.1 Develop a policy to achieve a specific organisational aim
2.2 Develop an implementation strategy and plan to support the introduction of a policy to an operational level
2.3 Recommend approaches to evaluate the effectiveness of policy at an operational level
Indicative content

2.1 Policy: Related to an aspect of an organisation (e.g. products, services, function, department, division, Strategic Business Unit 'SBU') or creation of Policy Zero (a policy to write policies).

- *Justification for policy development:* Rationale for policy development, constraints, limitations, alternatives to development of policy. Intelligence gathered, impact of stakeholder involvement. Benchmarking. Decision making process used.

- *Stages of developing a policy:* Identify the corporate policy area and/or business function for which policy needs to be written, identify the owner/sponsor. Scope the policy (e.g. policy content against a policy brief and/or Policy Zero). Identify inter-relationship (cross reference related policies including policy alternatives). Agree requisite level of approval and authorisation. Identify stages to maintain and review policy.

- *Stakeholder consultation:* Identify consultation groups (i.e. managers, operational staff, customers, expert groups, subject matter experts). Conduct stakeholder analysis (Cameron, Crawley et al., 2010; Turner, Kristoffer and Thurloway, 2002). Power/interest (Freeman, 1984; Eden and Ackerman, 2000). Review of policy content (e.g. interpretation of policy, understanding of key aims, removing ambiguity, relationship to functional and departmental policies and procedures, national and international standards).

- *Intelligence gathering:* Evidence based research and evaluation on current and future environment. Application of qualitative and quantitative methods. Sense making and creative thinking techniques. Use of decision-making tools and techniques.

- *Models of decision making:* The rational model and the model of bounded rationality (Simon, 1979). The Incrementalist view (Lindblom, 1959). The organisational procedures view (March, 1988). The

political view. The individual differences perspective (Keen and Morton, 1978). Naturalistic decision-making (Klein, 1998). The multiple perspectives approach (Mitroff and Linstone, 1993).

- *Tools, techniques:* The estimate process 'The 7 Questions' (Ministry of Defence). Attribute trade off models (MRD/ARM Analysis). The Pugh Matrix (Pugh, 1980). Quality Functional Deployment 'QFD' (1966). Pareto analysis. Decision trees. Sensitivity and what if analysis. OODA loops (Boyd J, 1985). Monte Carlo Simulation Method (Stanislaw, U c.1940). Six Thinking Hats (De Bono, 1986). Multi Voting/Delphi Technique (Rand Corporation, Helmer et al., c1960).

- *Creation of the policy document:* Use of 'Policy zero' or 'Policy brief' (Guidelines on format, structure and content and stages to follow to develop policy in an organisational context). Structure and format of written policy document. Use of house style/language. Confidentiality, access (restricted, unrestricted, public, private domains). Levels of authorisation and approval.

2.2 Implementation strategy and plan: Pilot implementation, soft launch, 'Big Bang', phasing in, prototyping, parallel operation, establish measurable and qualitative measures of success (KPIs). Organisational Maturity (CMMI maturity model). Methods of policy cascade to operational business units. Design of communication channels to aid policy cascade across an organisation, design of feedback loops. Communications theory (Shannon and Weaver, 1947). Ashby's Law of Requisite Variety (Ashby, c.1960). Transduction Theory (Stafford Beers circa c.1960). Mechanisms to amplify key message and attenuation of noise (filtering out superfluous communications). Strategies for stakeholder engagement (individuals impacted by policy at different levels). RAEW-RACI Analysis (Crane, Fiat et al., c.1970). Methods to present the policy (e.g. marketing and communications). Response to organisational barriers, constraints, risks (e.g. change management). Resource requirements for policy implementation.

2.3 Approaches to evaluate the effectiveness of policy: Formulate measures that constitute success (i.e. KPIs, Objectives, Goals, Critical Success Factors 'CSFs', timescales). Review of data and information, qualitative and quantitative outcomes, short and long consequences of policy change/implementation. Individual, group and peer scrutiny. Lessons learned. Levels of organisational maturity (Carnegie Mellon Maturity Index 'CMMI', 1990). Receptiveness to policy. Cross impact analysis/ models (Theodore Gordon and Olaf Helmer, 1966).

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** on the context in which a policy is developed.
2. The learner may be asked to develop, implement and evaluate a **policy** of own design.
3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 4 Chartered Manager

This unit is mapped to:

Personal Effectiveness	- Making decisions - Communicating and influencing
Interpersonal Excellence	Providing purpose and direction

Organisational Performance	● Leading change and innovation	
	● Managing resource and risk	
	● Achieving results	

Suggested reading/web resource materials

Recommended Reading

- Gerston, N. (2010). *Public Policy Making. Process and Principles.* 3rd ed. Abingdon, Oxon: Routledge.
- Howlett, N. (2019). *Designing Public Policies: Principles and Instruments.* Abingdon, Oxon: Routledge.
- Howlett, M., Ramesh, M. and Perl, A. (2009). *Studying Public Policy: Policy Cycles and Policy Subsystems*. Don Mills, ON: OUP Canada.
- Jordan, A.J. and Turnpenny, J.R. eds. (2015). *The Tools of Policy Formulation*: *Actors, Capacities, Venues and Effects.* Cheltenham: Edward Elgar Publishing.
- P.G. Keen, and M.S. Scott-Morton, Decision Support Systems: *An Organisational Perspective, Reading, Addison-Wesly,* Massachusetts, 1978.
- Mishkin, F. (2009). *Monetary Policy and Strategy*. Cambridge, MA: MIT Press.
- Padgett, C. (2011). *Corporate Governance: Theory and Practice.* London: Palgrave Macmillan.
- Porter, E. and Coles, L. (2011). *Policy and Strategy for Improving Health and Wellbeing.* Exeter: Learning Matters Ltd.
- Tricker, B. (2015). *Corporate Governance: Principles, Policies, and Practices* 3rd ed. Oxford: Oxford University Press.
- Van Deusen, C., Williamson, S., and Babson, H.C. eds. (2007). *Business Policy and Strategy. The Art of Competition* 7th ed. Boca Raton, FL: CRC Press.

Recommended Journals

- Strategic Entrepreneurship Journal
- Journal of Public Policy
- Journal of Environmental Assessment Policy and Management,
- International Journal of Entrepreneurial Behaviour and Research
- Journal of International Business Studies
- Management Review
- Management Today
- People Management

Supplementary Journals

- International Journal of Entrepreneurship and Innovation
- Academy of Management Review
- Journal of Management
- California Management Review
- MIT Sloan Management Review
- Harvard Business Review
- HR Magazine

Useful External Weblinks

- NESTA
- The European Commission
- UK Research and Innovation
- OFGEM
- brainmates.com.au/brainrants/some-practical-tools-for-stakeholder-management/
- Innovation Union
- Department for Business Innovation and Skills

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements.
Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	J/617/4469
RQF level	6
Guided learning hours	15
Total unit time	70
Credits	7
Aims of unit	Coaching is a powerful learning and development tool. Used effectively, it is able to optimise individual and team performance and the achievement of organisational goals. Coaching has rapidly become an essential leadership tool. It enables the professional manager and leader to support, motivate and empower individuals and teams in a conversational and insightful way. This contrasts with and complements the use of traditional directive leadership approaches.
	This unit focuses on these specific coaching skills, techniques and approaches that are required by leaders to develop the knowledge, skills and resourcefulness of individuals. It focuses on the benefits and types of coaching used by leaders in different contexts and how the application of coaching impacts in the organisational environment.
	A key part of this unit is for leaders to critically reflect on their own ability to coach individuals and identify opportunities for improvement. In order to achieve this, learners will need to use coaching skills in their leadership practice.
Keywords	Types, forms, individual, team, culture, benefits, coaching models, application, leadership styles, approaches, challenges, improvements.

Learning outcome 1
Understand the benefits, types and application of coaching used by leaders
Assessment criteria
1.1 Critique the types and forms of coaching used to empower individuals and teams to achieve success 1.2 Research the benefits of coaching for individuals, teams and organisations 1.3 Critically assess how coaching can be applied by leaders in different contexts
Indicative content

1.1 Types and forms: Performance coaching, leadership/executive coaching, career and developmental coaching. Formal (e.g. setting up a coaching engagement over a time-period) versus informal approaches (e.g. via a short conversation or delivered in response to a spontaneous need). Employing coaching models for a coaching conversation (e.g. GROW, OSCAR, CREATE). Virtual coaching, coaching as a development tool, coaching as a leadership skill. Coaching via mobile apps, microlearning. External coaches, coaching industry v internal coaches.

Coaching definitions: 'Unlocking a person's potential to maximise their own performance, helping them to learn rather than teaching them' (Whitmore, 2009). The 'art of facilitating the development, learning and enhanced performance of another' (Hill, 2004).

1.2 Benefits of coaching: Potential improvements to business performance, competitiveness, improving knowledge capital, staff retention, creativity, development and dissemination of good practice, quality, efficiency, innovation, improved service delivery, enhanced relationships, productive and reflective conversations, individual and team development, succession planning, empowerment, resourceful staff, improved team and individual flexibility, adaptability, participation and responsiveness to change. Coaching versus mentoring and other development approaches, flexibility, and financial costs/savings. Responding to individual learning styles. Improvement of self-confidence, team engagement encourages reflective practice.

1.3 Application of coaching: empower individuals to become more resourceful, improve performance, resolve conflict (Thomas and Kilmann). Build relationships, share knowledge, communication. Motivation. Skills and knowledge development, career development, enhanced thinking, problem solving, emotional regulation. Formal and informal use of coaching. Ability of the leader to use coaching approach (Rogers et al. 2012). Readiness of the followers to be coached (Haden, 2013). The Coaching Spectrum (Downey, 2003).

Inter-relationship between coaching and leadership styles: Values-driven leadership (Gentile, 2014). Leading with integrity (Blanchard, 2011). Responsible leadership (Maak and Pless, 2006). Five Practices of Exemplary Leadership (Kouzes and Posner, 1987). Situational Leadership (Hersey and Blanchard, 1969). Ethical Leadership (Mendonca & Kanungo, 2007). Emotional intelligence (Goleman, 1995). Authentic Leadership (Goffee and Jones, 2011). Servant Leadership (Greenleaf, 1977). Distributed leadership (Gronn, 2000). Cross Cultural leadership (Hofstede, 1991). Transformational Leadership (Bass & Riggio, 2006).

Coaching contexts: individual coaching. Group and team coaching (Britton, 2013). Virtual, face-face, telephone, blended. Coaching Across Cultures (Rosinski, 2003). Organisational culture. (Handy, 1993).

Learning outcome 2
Know the skills, techniques and approaches required by leaders to coach
Assessment criteria
2.1 Discuss how leaders can coach individuals using a structured approach 2.2 Critically reflect on how coaching may be adapted to respond to individual need 2.3 Recommend strategies to overcome challenges and barriers which impact on coaching 2.4 Critically reflect on own ability to coach individuals and identify opportunities for improvement
Indicative content
2.1 Structured approach (leader's planning and preparation for coaching): ● Appraise the need for coaching (as opposed to training, counselling, mentoring, more direction). Identify needs and expectations of coachee. Establish confidentiality and trust, empathy and rapport (agreement and boundaries). Identify themes to cover within coaching, goals and objectives. ● Create a conducive environment for coaching ● Select and review coaching model/models to meet the needs of the coachee

- Application of skills and techniques for coaching: communication skills, active listening. Questioning skills (open, closed, probing, facilitative, incisive questions, reflective, clarifying, solutions-based). Use of positive body language (interpret/ infer from the body language of others). Effective feedback. Use of acknowledgements. Use of silence to create space for coachee to think and determine own solutions. Non-judgmental. Reflection by coachee and coach.

*2.2 Respond: A*dapt style of coaching (proactively or reactively).

Individual need: Unique situation such as a crisis, problem solving, dilemmas, lack of knowledge, confidence. Identified by the leader or coachee.

2.3 Strategies: leadership styles, communication strategy (celebration of success/key message), role modelling, coaching champions, engagement, planning, skills development (leader and coachee), evidence of results. Winning hearts and minds, challenging assumptions and beliefs, supporting team leadership, team work and development. Coaching culture.

Challenges and barriers:

- *Organisational:* Organisational top-level support. Culture and governance. Provision of time and space to allow the coaching to take place, value of activity.
- *Operational:* lack of resources (e.g. money availability, difficulty in proving ROI/ making a business case). Time constraints (e.g. parameters, workload, time allocation, protecting time and space). Coaching supervision.
- *Individual (leader and coachee):* Perceived or actual skill deficit - confidence to coach. Willingness of the coachee. Lack of understanding and/or commitment to the process (coach and coachee). Lack of clarity of coaching role. Mis-matched expectations. Ineffective match between coach and coachee. Levels of openness, trust and honesty. Breach of confidentiality. Lack of progress. Appropriateness of coaching (e.g. would training, mentoring, counselling, therapy and/or formal/informal disciplinary measures be more relevant?).

2.4 Reflect on own ability to coach: Ability to apply a selected coaching model (reference to A.C. 1.1). Achievement of aims and objectives. Adjustments and improvements to practice, learning and development (formal and informal). Engagement with coaching supervision (e.g. peer, group, one-to-one). Skills (e.g. ability to communicate, actively listen, question, build rapport and trust). Competencies (e.g. preparation, techniques and approaches). Behaviours, values, beliefs, motivation. Mental toughness (Lyons, 2015). Emotional Intelligence (Goleman, 1995). Deep and surface learning. Use of feedback from coachee. Application of reflective learning tools. Reflective Cycle (Gibbs, 1995), Learning Cycle (Kolb, 1984).

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may be asked to write a **report** or develop a presentation on the benefits, types and application of coaching used by leaders.
2. The learner may be asked to write an **account** on the skills, techniques and approaches required by leaders to coach
3. The learner may write a **reflective account** based on their own ability to coach individuals and identify opportunities for improvement.
4. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standards – Stage 4 Chartered Manager

This unit is mapped to:

Personal Effectiveness	● Communicating and influencing
Interpersonal Excellence	● Providing purpose and direction ● Developing people and capabilities ● Building relationships and networks
Organisational Performance	● Leading change and innovation ● Achieving results

Suggested reading/web resource materials

Recommended Reading

Textbooks/eBooks

- Arnold, J. (2016). *Coaching skills for leaders in the workplace*. 2nd ed. London: Robinson.

- Clutterbuck, D. (2016). *Coaching Supervision.* A Practical Guide for Supervisees. Abingdon, Oxon: Routledge.

- Clutterbuck, D., Megginson, D. and Bajer, A. (2016). *Building and Sustaining a Coaching Culture.* London: CIPD-Kogan Page.

- Cox, E., Bachkirova, T. and Clutterbuck, D. (2018). *The Complete Handbook of Coaching*. London: SAGE Publications.

- Downey, M. (2003) *Effective Coaching, Lessons from the Coaches Coach*, Orion Business, London, UK.

- Einzig, H. (2017). *The Future of Coaching – Vision, leadership and responsibility in a transforming world*. Abingdon, Oxon: Routledge.

- Gilbert, A. and Whittleworth, K.J. (2009). The OSCAR Coaching Model. Simplifying Workplace Coaching. Redbrook, Monmouthshire: Worth Consulting.

- Goleman, D. (1996). Emotional Intelligence: Why it Can Matter More Than IQ. London: Bloomsbury Publishing.

- Goleman, D. (2004). Emotional Intelligence and Working with Emotional Intelligence. London: Bloomsbury Publishing.

- Hill, P. (2004). Concepts of Coaching - A Guide for Managers. Oxford, UK: Chandos Publishing Institute of Leadership & Management.

- Keddy, J. and Johnson, C. (2011). Managing Coaching at Work. Developing, Evaluating and Sustaining Coaching in Organizations. London: Kogan Page.

- Landsberg, M. (2015). The Tao of Coaching: Boost Your Effectiveness at Work by Inspiring and Developing Those Around You. London: Profile Books Ltd.

- Neale, S., Spencer-Arnell, L. and Wilson, L. (2011). Emotional Intelligence Coaching – Improving Performance for Leaders, Coaches and the Individual. London: Kogan Page.

- Rock, D. (2008). Quiet Leadership: Six Steps to Transforming Performance at Work. New York, NY: Harper Collins.

- Rogers, J. with Whittleworth, K. and Gilbert, A. (2012). Manager as a Coach: The New Way to Get Results. Maidenhead: McGraw-Hill.

- Stanier, M.B. (2016). The Coaching Habit: Say Less, Ask More and Change the Way You Lead Forever. Toronto, ON: Crayons Press.

- Starr, J. (2016). The Coaching Manual: The Definitive Guide to the Process, Principles and Skills of Personal Coaching. 4th ed. Harlow: Pearson Education.

- Whitmore, J. (2009). Coaching for Performance: Growing Human Potential & Purpose (4th Edition). London, UK: Nicholas Brealey Publishing Limited.

- Wildflower, L. (2013). The Hidden History of Coaching. (Coaching in Practice). Maidenhead: Open University Press/McGraw-Hill Education.

ManagementDirect resources require CMI membership and a username and password.

Please note: This list is provided to guide the learner to potential sources of information and is by no means exhaustive. The websites, books and journals cited were correct at the date of publication. All references to legislation stated within the unit may be subject to subsequent changes, deletions and replacements. Learners may also make reference to other local or national legislation as relevant.

Ofqual unit number	J/617/4472
RQF level	6
Guided learning hours	18
Total unit time	60
Credits	6
Aims of unit	The ability to make ethical decisions under pressure is a fundamental requirement of a professional manager and leader. Ethical decision making is not easy, especially when decisions are under the spotlight of stakeholder opinion, constrained by organisational, legal and regulatory requirements, where ambiguity exists, where risks are high or where the outcome of decisions will be unpopular. All decisions involve some form of value-based judgement and could involve ethical considerations. Whilst mechanistic decision making is the ability to select an action from different alternatives, ethical decision making focuses on value-based judgements and a wider range of issues that are typically more complicated in nature. The aim of this unit is to equip professional managers and leaders with the understanding of how to make ethical decisions in different organisational contexts.
Keywords	Decisions, ethics, skills, values, behaviours, tools, techniques, models, integrity, fairness, consistency, impartiality, objective, moral courage, understanding.

Learning outcome 1
Understand ethical decision making within organisational contexts
Assessment criteria
1.1 Critically assess the influence of organisational context on decision making 1.2 Critically appraise personal values and behaviours required to make ethical decisions 1.3 Evaluate the challenges of ethical decision making
Indicative content
1.1 *Organisational context*: Purpose, governance (e.g. public, private, third sector). Legal status of the organisation. Organisational structure. Type (operational, local, international, global, project/programme

based, departmental and strategic business unit). Levels of organisational maturity (e.g. Carnegie Mellon Maturity Index 'CMMI', 1990). Internal and external organisational drivers. Role and influence of customers, suppliers, partners, competitors and buyers. Approach to organisational strategies such as: Deliberate and Emergent Strategies (Mintzberg, 1985), Resource Based View of the Firm (Penrose et al., 1959; Spender et al., 2009), Scenario Planning (Ringland J, 1998). Data and information access (e.g. public or private domains) and/or classifications (e.g. restricted or unrestricted).

1.2 *Personal values and behaviours*: Emotional intelligence. Cognitive skills. Clear thinking. Mental agility. Data recall. Information management. Reflective practice. Dealing with uncertainty and ambiguity. Risk appetite. Ability to make and manage difficult or unpopular decisions. Accommodating. Collaborating. Avoiding. Competing. Compromising. Conflict Handling (Thomas and Kilmann, 1974; Borisoff and Victor, 1989). Dealing with Complexity (Kaufman et al., 2000).

Ethical Decisions: Moral, right, true. Integrity, fairness, consistency, impartiality, objective, moral courage, understanding, empathy, ethics, resilience, dealing with diversity, recognises corporate social responsibility (CSR). Risks, rewards, fracture lines/market break points (Morgan G, 1985). Insightful/understands the impact of decisions made. Ability to determine/apply conflict management, negotiation and conflict resolution, communicate decisions to others (i.e. design and use of communication channels). Dealing with communications noise, feedback (Shannon and Weaver, 1947). Social amplification and attenuation mechanisms (Ashby R, c1950).

1.3 *Challenges:* Decision making under pressure. Internal and external constraints (e.g. Resources, politics and stakeholders, legal and regulatory frameworks, availability of relevant data and information, finance and budgets, reputation, risk). Understanding different perspectives and courses of action (Linstone and Mitroff, 2000). An understanding of the strategic context/bigger picture, recognising fracture lines and market breakpoints and taking a holistic 'helicopter view' (Morgan G, 1985). Multi-dimensional issues such as but are not limited to the influence and power of stakeholders, different perspectives, Cognitive Limits and Bias (Kahneman, 2016), Bounded Rationality (Simon, 1982), the challenge of impartiality (e.g. The observer and the observed phenomena (Mahoney, 1998). Situations when data or information may be incomplete, corrupted or lacks currency.

Learning outcome 2
Know how to make an ethical decision
Assessment criteria
2.1 Critically appraise the types and sources of data and information available to inform ethical decision making 2.2 Recommend tools and techniques for ethical decision making 2.3 Present the justification for the ethical decision made
Indicative content
2.1 *Types of data and information*: Qualitative, quantitative, structured, unstructured, spatial and non-spatial, meta data. Classes, groups, segments and domains. *Sources of data and information:* Internal and external sources of data and information. Current and/or future sources of primary or secondary data and information (e.g. quantitative and qualitative methods). 2.2 *Tools and techniques (Strategic):* ● Management Information Systems. The estimate process 'The 7 Questions' (Ministry of Defence). Game theory (The prisoners' dilemma: The Rand Corporation). Cross impact analysis/ models (Gordon and Helmer, 1966). The Pugh Matrix (1980). Attribute trade off models Availability, Reliability, Maintainability (ARM Analysis) and Maintainability, Reliability, Dependability (MRD/ARM Analysis). *Tools and techniques (Operational):*

- *Decision trees:* Sensitivity and what if analysis. National Decision Model (College of Policing, 2013). OODA loops (Boyd J, 1985). Decision action cycles. Ishikawa diagrams (before and after, Ishikawa, 1960). Monte Carlo Simulation (Stanislaw U, c.1940). 5 Whys (Taiichi Ohno, 1960s). Blue Sky Thinking. Weighted pros and cons. 6 Hat Thinking (De Bono, 1970). Root Cause Analysis. Critical Examination (BS 3138: 34004). Multi Voting/ Delphi Technique (Rand Corporation, Helmer et al., c1960). Pareto analysis.

- *Models of decision making:* The rational model and the model of bounded rationality (Simon, 1982). The Incrementalist view (Lindblom, 1959). The organisational procedures view (March, 1988). The political view. The Garbage Can Model (Cohen et al., 1972). The individual differences perspective (Keen and Morton, 1978). Naturalistic decision making (Klein, 1998). The multiple perspectives approach (Mitroff and Linstone, 1993).

2.3 *Justification:* Rationale for selecting approach. Criteria for selecting data and information for decision making (e.g. relevance, currency, adequacy, reliably, timeliness, cost-effective, maintainability and robustness required to support different decision action cycles required by the organisation). Alternative approaches considered. Response to challenges faced (e.g. dilemma's, constraints, risk, impact likely or intended impact of decision made). Reflection in respects to lessons identified/learned.

Presentation of justification: Traditional/classical methods (i.e. narrative, thematic analysis, pie charts, histograms, trends and averages, regression analysis – single/multiple).

Emerging methods. Use of informatics and information science to present data and information. Presenting spatial data and information, tele-visual, animated (data and information is presented in terms of patterns). Other forms include structured, unstructured and self-organising maps (SOMs).

Recommendations for assessment

Learners may approach the assessment in a number of ways. All assessment criteria must be met. The following opportunities are recommendations for guidance purposes only.

1. The learner may produce a **report** or **reflective account** on ethical decision making in organisational contexts
2. The learner may write a **report** or **reflective account** entitled 'ethical decision making'
3. The learner may present **work-based evidence** accompanied by reports/reflective accounts to meet each of the assessment criteria.

Further guidance
It is not a requirement for the learner to cover all aspects of the indicative content when completing the assessment. The learner is encouraged to select and present well-chosen information and examples to evidence they sufficiently understand the assessment criteria.

Relationship with CMI Professional Standard – Stage 4 Chartered Manager

This unit is mapped to:

Personal Effectiveness	- Making decisions - Communicating and influencing
Interpersonal Excellence	Providing purpose and direction
Organisational Performance	- Leading change and innovation - Managing resource and risk

APPENDIX 1

Definitions

Analyse
Break the subject or complex situation(s) into separate parts and examine each part in detail; identify the main issues and show how the main ideas are related to practice and why they are important. Reference to current research or theory may support the analysis

Appraise
Assess, estimate the worth, value, quality, performance. Consider carefully to form an opinion.

Assess
Provide a reasoned judgement or rationale of the standard, quality, value or importance of something, informed by relevant facts/rationale

Case
An instance of a particular situation; an example of something occurring. To provide a 'case for' includes presenting a set of facts or arguments drawn up for review, discussion, decision making.

Case Study
A description of an event, activity or problem outlining a real or hypothetical situation.

Comment
Identify and write about the main issues, express an opinion, giving reaction to what has been read/observed.

Conduct
Organise and perform a particular activity

Consider
Take (something) into account (i.e. different ideas, perspectives, theories, evidence) when making a judgement

Create
To create something new, build, assemble, bring into existence, originate, innovate, create ideas, solutions.

Credits (CRD)
Credits are calculated as one credit is equal to 10 hours of TUT.

Critically
Typically used to qualify verbs such as evaluate, assess, appraise, analyse and reflect. Give in-depth insight, opinion, debate, verdict based on a wide variety of sources, theory, research which may agree and contradict an argument

Critique	A detailed analysis and assessment of something, especially a literary, philosophical, or political theory
Define	To give a formal meaning
Develop	Elaborate, expand or progress an idea from a starting point building upon given information. Create something tangible or intangible.
Differentiate	Recognise or ascertain a difference to identify what makes something different.
Discuss	Give a detailed account of a topic or issue using a range of views, opinions, and perspectives of a contrasting nature.
Draw	Present a conclusion or decision about what is likely to happen based on facts.
Establish	Discover, prove or show something to be true or valid by determining the facts.
Evaluate	Consideration of strengths and weaknesses, arguments for and against and/or similarities and differences. Review of evidence from different perspectives to make valid conclusions or reasoned judgements. Application of research or theories to support the evaluation when applicable.
Explain	To make something clear and understandable. Presentation of facts or ideas.
Examine	Inspect (something) thoroughly in order to determine its nature of condition.
Explore	Inquire into or discuss (a subject) in detail.
Formulate	To draw up, put together, detail, work out map out, such as a policy, plan, strategy, idea. Formulae as a method of solving a problem (i.e. mathematics, ways of working).
Guided Learning Hours (GLH)	The activity if a Learner is being taught or instructed by – or otherwise participating in education or training under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.
Identify	Ascertain the origin, nature or characteristics of something.
Immediate Guidance or Supervision	The guidance or supervision provided to a Learner by a lecturer, supervisor, tutor or other appropriate provider of education or training – a) with the simultaneous physical present of the Learner and that person, or b) remotely by means of simultaneous electronic communication
Implementation	The process of putting a decision or plan into effect, execution.

Investigate	Carry out a systematic or formal inquiry to discover and examine the facts of (problem, options, incident, allegation etc.) so as to establish the truth.
Justify	Provide a rationale for actions and/or decisions. Your rationale should be underpinned by research, academic theory, data analysis or experience.
Plan	A detailed outline providing an insight into a range of activities required to complete a task.
Presentation	Learners may present to an audience of stakeholders the outcomes of their studies. A recording of the presentation, speaker notes and/or slides may be used to provide evidence that a learner has the requirements some of the unit assessment criteria.
Prepare	To make or develop something ready which will happen in the future
Produce	To make, create or form something. Put together, assemble, leads to an outcome/result.
Proposal	A formal document, presented in an oral or written format, which puts forward ideas or suggestions for considerations by others,
Rationale	Presentation of key reasons or a logical basis for a course of action or belief.
Recommend	Put forward proposals, an alternative or suggestion(s) supported by a clear rationale appropriate to the situation/context.
Reflective Statement	Learners describe their actions in particular situations and reflect on the reasons for practicing in that way. This is particularly useful to provide evidence that they can evaluate their knowledge and practice.
Report	A structured document communicated or presented in an oral or written form and organised in a narrative, graphic or tabular form referring to a specific period, event or topic area.
Research	A detailed study or investigation of a subject in order to establish facts and reach new conclusions.
Review	To examine, survey, reconsider a subject, theory or item.
Rules of Combination	A rule specifying the combination of unit which may be taken to form a particular qualification, any units which must be taken and any related requirements.
Scenario	A written outline or a situation or setting, providing insight into a sequence of events or actions.
Specify	Identify or state a fact or requirement clearly and precisely in detail.
Total Qualification Time (TQT)	The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification. Total Qualification Time is comprised of the following two elements –

a)   the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and

b)   an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the immediate supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

Total Unit Time (TUT)   The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a unit.

Use   The action of using something for a particular purpose.

Written Account   A written document presenting knowledge of facts or events.

APPENDIX 2

Assessment Activity Definitions

Activity	Definition
Briefing paper	A summary of facts pertaining to a particular issue or problem. Often includes a suggested course of action.
Business case	A formal document, presented in an oral or written format, which provides justification for an idea or project to address an identified business need or challenge.
Case Study	A description of an event, activity or problem outlining a real or hypothetical situation.
Good practice guide	A structured document produced with the purpose of supporting individuals to develop their practice in a particular area.
Plan	A detailed outline providing an insight into a range of activities required to complete a task.
Presentation	Learners may present to an audience of stakeholders the outcomes of their studies. A recording of the presentation, speaker notes and/or slides may be used to provide evidence that a learner has the requirements of some of the unit assessment criteria.
Profile	An outline giving a description of a role or organisation.
Proposal	A formal document, presented in an oral or written format, which puts forward ideas or suggestions for consideration by others.
Reflective Statement	Learners describe their actions in particular situations and reflect on the reasons for practicing in that way. This is particularly useful to provide evidence that they can evaluate their knowledge and practice.
Report	A structured document communicated or presented in an oral or written form and organised in a narrative, graphic or tabular form referring to a specific period, event or topic area.
Research project report	A formal, written document, organised in a narrative, graphic or tabular form presenting findings and recommendations.

Scenario	A written outline or a situation or setting, providing insight into a sequence of events or actions.
Written account	A written document presenting knowledge of facts or events.

CMI SYLLABUS | LEVEL 7 STRATEGIC MANAGEMENT AND LEADERSHIP PRACTICE V4

APPENDIX 3

Revisions to Document

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

Revisions to Document	Rationale for Revision	Document Version	Date Revisions Made
Introduction of the Extended Diploma	New Qualification	Version 4	June 2021
Amendments to: - Apprenticeship Pathway to include units 705 & 708 - Indicative Content for some Apprenticeship Pathway units - Mapping to Apprenticeship Standard for all units	Updates to Senior Leader Apprenticeship Standard (formally, Senior Leader Master's Apprenticeship Standard) by IFATE		
Amended text relating to the Apprenticeship Pathway	Explain there is no mandated qualification required within the Senior Leader Master's Standard	Version 3	March 2021
Unit 612 - TUT and Credit numbers increased, TUT from 50 to 70 & Credits from 5 to 7	Review inline with Level 7 qualification review		
Included Assessment Activity Definitions	To help Centres and Learners complete the assessments		
Amendment to rules of combination for the Certificate, removed the word recommendation.	To make it clearer, no changes to the TQT.	Version 2	24th September 2019
First Publication		Version 1	July 2019