



AMSPAR

# **Level 5 Certificate/Diploma in Primary Care and Health Management (4419-06)**

## **Qualification handbook for centres**

Certificate 600/2503/7

Diploma 600/2502/5

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As the UK's leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

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# Level 5 Certificate/Diploma in Primary Care and Health Management (4419-06)

## Qualification handbook for centres

Level 5 Certificate in Primary Care and Health Management

QAN 600/2503/7

Level 5 Diploma in Primary Care and Health Management

QAN 600/2502/5

<b>Version and date</b>	<b>Change detail</b>	<b>Section</b>
1.3 Dec 2013	New unit added – Unit 607 replaced with 615	Structure Units
1.3 Apr 2013	New dedicated e-mail address added to sources of information and assistance	Introduction to the qualifications

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# 1 Introduction to the qualifications

This document contains the information that centres need to offer the following qualifications:

<b>Qualification title and level</b>	<b>City &amp; Guilds qualification number</b>	<b>Qualification accreditation number</b>	<b>Registration and certification</b>
Level 5 Certificate in Primary Care and Health Management	4419-06	600/2503/7	Consult the Walled Garden/Online
Level 5 Diploma in Primary Care and Health Management	4419-06	600/2502/5	Catalogue for last dates

The City & Guilds/AMSPAR Level 5 Certificate and Diploma in Primary Care and Health Management are designed specifically for existing and aspiring managers working or who wish to work in a primary care or in a health / social care environment. These qualifications allow candidates to learn and develop the skills required for employment and/or career progression in general practice and related organisations. With the Certificate they will gain the essential knowledge and understanding required to ensure the efficient delivery of patient and community services as well as develop key transferable skills in communication, resource and financial management. The Diploma offers candidates the opportunity to broaden their understanding of management theory and techniques and apply these to meet the challenges of initiating and implementing change and quality improvement.

These specialist qualifications contribute knowledge and understanding towards the related Level 5 NVQs in Management whilst containing additional skills and knowledge which go beyond the scope of the NOS. They provide valuable accreditation of skills and knowledge for candidates, without requiring or proving occupational competence. They have also been mapped to the NHS Knowledge and Skills Framework, see Appendix 1.

## 1.1 Qualification structure

To attain the **Level 5 Certificate in Primary Care and Health Management**, learners must achieve:

- 22 credits from the mandatory units 601-604.

To attain the **Level 5 Diploma in Primary Care and Health Management**, learners must achieve:

- a minimum of 38 credits overall
- 30 credits from the mandatory units 601-605
- plus a minimum of 8 credits from optional units 606, 608-609, 615.

The table below shows the unit titles, the credit value of each unit and the title of the qualifications which will be awarded to candidates successfully completing the required combination of units and/or credits.

<b>Unit accreditation number</b>	<b>City &amp; Guilds unit</b>	<b>Unit title</b>	<b>Mandatory/ optional for full qualification</b>	<b>Credit value</b>	<b>GLH</b>
M/602/1214	601	Managing medical ethics and legal requirements in a primary care and health environment	Mandatory	6	35
F/602/1217	602	Financial management and budgeting in a primary care and health environment	Mandatory	7	25
J/602/1221	603	Managing information and communication in a primary care and health environment	Mandatory	5	25
J/501/3321	604	Developing and leading teams to achieve organisational goals and objectives	Mandatory	4	18
L/602/1222	605	Developing or improving services in a primary care or health environment	Mandatory (Diploma)	8	37
R/501/3290	606	Developing critical thinking	Optional	4	18
M/501/3300	608	Managing for efficiency and effectiveness	Optional	4	18
Y/501/3310	609	Managing recruitment	Optional	5	24
J/503/9661	615	Becoming an effective leader	Optional	5	9

## 1.2 Opportunities for progression

On completion of these qualifications candidates may progress into employment as a practice manager within primary care or a health related environment. They can go on to qualifications offered by our sister organisation the Institute of Leadership and Management (ILM) or undertake further professional training.

## 1.3 Qualification support materials

City & Guilds also provides the following publications and resources specifically for these qualifications:

<b>Description</b>	<b>How to access</b>
Assessment guide for centres and candidates	<a href="http://www.cityandguilds.com">www.cityandguilds.com</a>
Promotional materials	<a href="http://www.cityandguilds.com">www.cityandguilds.com</a>

## 1.4 Sources of information and assistance

Website	Address	Purpose and content
City & Guilds main website	<a href="http://www.cityandguilds.com">www.cityandguilds.com</a>	This is the main website for finding out about the City & Guilds group, accessing qualification information and publications.
SmartScreen	<a href="http://www.smartscreen.co.uk">www.smartscreen.co.uk</a>	SmartScreen is the City & Guilds online learning support website. It gives registered subscribers access to qualification-specific support materials.
Walled Garden	<a href="http://www.walled-garden.com">www.walled-garden.com</a>	The Walled Garden is a qualification administration portal for approved centres, enabling them to register candidates and claim certification online.

The following e-mail addresses give direct access to the City & Guilds Customer Relations team.

e-mail	Query types
<a href="mailto:learnersupport@cityandguilds.com">learnersupport@cityandguilds.com</a>	All learner enquiries, including <ul style="list-style-type: none"><li>• requesting a replacement certificate</li><li>• information about our qualification</li><li>• finding a centre.</li></ul>
<a href="mailto:centresupport@cityandguilds.com">centresupport@cityandguilds.com</a>	All centre enquiries
<a href="mailto:walledgarden@cityandguilds.com">walledgarden@cityandguilds.com</a>	All enquiries relating to the Walled Garden, including <ul style="list-style-type: none"><li>• setting up an account</li><li>• resetting passwords.</li></ul>

Centres can e-mail qualification specific queries to the dedicated e-mail address:  
**[DPCHM@cityandguilds.com](mailto:DPCHM@cityandguilds.com)**

### AMSPAR website

Website	Address	Purpose and content
AMSPAR main website	<a href="http://www.amspar.com">www.amspar.com</a>	This is the main website for finding out about qualifications offered by AMSPAR, accessing membership information and the discussion forum.

### Contacting AMSPAR by e-mail

Please do not send urgent or confidential information to AMSPAR by e-mail.

e-mail	Query types
<a href="mailto:info@amspar.com">info@amspar.com</a>	For general enquiries

## 2 Centre requirements

This section outlines the approval processes for Centres to offer these qualifications and any resources that Centres will need in place to offer the qualifications including qualification-specific requirements for Centre staff.

### **Centres already offering City & Guilds qualifications in this subject area**

Centres already approved to offer the Level 5 Certificate/Diploma in Primary Care Management (4415-05) are automatically approved to offer the new 4419-06 Certificate/Diploma in Primary Care and Health Management, registrations only. Direct Claims Status will be given after successful first EV visit.

### **Centres not already offering City & Guilds qualifications in this subject area**

To offer these qualifications, centres already approved to deliver City & Guilds qualifications will need to gain **qualification approval**. Please refer to Appendix 2 for further information.

### **Centres not yet approved by City & Guilds**

To offer these qualifications, new centres will need to gain both **centre and qualification approval**. Please refer to Appendix 2 for further information.

## 2.1 Resource requirements

### **Human resources**

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

- be technically competent in the area(s) for which they are delivering training and/or have experience of providing training. This knowledge must be at least to the same level as the training being delivered
- have recent relevant experience in the specific area they will be assessing
- have credible experience of providing training.

Centre staff may undertake more than one role, eg tutor and assessor or internal verifier, but must never internally verify their own assessments.

### **Assessors and internal verifiers**

While the Assessor/Verifier (A/V) units are valued as qualifications for centre staff, they are not currently a requirement for the qualifications.

### **Continuing professional development (CPD)**

Centres are expected to support their staff in ensuring that their knowledge remains current of the occupational area and of best practice in delivery, mentoring, training, assessment and verification, and that it takes account of any national or legislative developments.

## **2.2 Candidate entry requirements**

Candidates should not be entered for a qualification of the same type, content and level as that of a qualification they already hold.

### **Interview**

Centres must interview all candidates before accepting them onto the programme to ensure that they can meet all the entry criteria described below.

### **Who are the qualifications designed for?**

It is expected that candidates should already be employed within a general practice or health/social care organisation eg medical/dental practice manager, health service manager, assistant practice manager, medical secretary/receptionist/administrator in order to complete the qualification(s) successfully.

### **Prior qualifications**

Candidates should be educated to a minimum of a level 3 standard of education and have a standard of written and verbal English broadly equivalent to the Cambridge Certificate in Advanced English – CAE.

### **Formal learning agreement**

All candidates must be in receipt of a letter of support and commitment signed by a senior partner in their practice or line manager in their organisation stating that the candidate will be given access to all information required to successfully complete work based assignments and projects. Centres must be in receipt of a copy of the letter of support before a candidate is accepted onto the programme.

### **Secondment/attachment**

Potential candidates who do not fit into one of the entry criteria described above must explore the possibility of secondment/attachment to a GP practice/appropriate health/social care organisation. Centres must advise candidates to contact the Training/Development Officer at their local Primary Care organisation. Where secondment/attachment has been secured it is essential that a written agreement/contract be drawn up between the candidate and the practice. The contract must state that the candidate will be allowed access to appropriate resources and support in order to be able to successfully complete assignments and the assessments for unit 605.

It is essential that candidates make these arrangements before commencing the programme. Centres must be in receipt of a copy of the written agreement/contract before a candidate is accepted onto the programme.

### **Age restrictions**

These qualifications are not approved for use by candidates under the age of 19, and City & Guilds cannot accept any registrations for candidates in this age group.

## 3 Course design and delivery

### 3.1 Initial assessment and induction

Centres will need to make an initial assessment of each candidate prior to the start of their programme to ensure they are entered for an appropriate type and level of qualification.

The initial assessment should identify:

- any specific training needs the candidate has, and the support and guidance they may require when working towards their qualification(s). This is sometimes referred to as diagnostic testing.
- any units the candidate has already completed, or credit they have accumulated which is relevant to the qualification(s) they are about to begin.

City & Guilds recommends that centres provide an induction programme to ensure the candidate fully understands the requirements of the qualifications they will work towards, their responsibilities as a candidate, and the responsibilities of the centre. It may be helpful to record the information on a learning contract.

### 3.2 Recommended delivery strategies

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

Centres may design course programmes of study in any way which:

- best meets the needs and capabilities of their candidates
- satisfies the requirements of the qualifications.

When designing and delivering the course programme, centres might wish to incorporate other teaching and learning that is not assessed as part of the qualifications. This might include the following:

- literacy, language and/or numeracy
- personal learning and thinking
- personal and social development
- employability

Where applicable, this could involve enabling the candidate to access relevant qualifications covering these skills.

For further information to assist with the planning and development of the programme, please refer to the following:

- Additional guidance notes are included in each unit.
- Unit 605 is assessed through the development of a business case and plan, which is externally marked by City & Guilds examiners. In order for candidates to complete the business plan, they will need to have their business case internally approved and would benefit from having achieved the learning outcomes for Units 601-604.

## 4 Assessment

### 4.1 Summary of assessment methods

For these qualifications, candidates will be required to complete the following assessments:

- **one** assignment for **each** mandatory unit 601-604
- **one** assignment for **each chosen** optional unit 606, 608-609, 615
- a business case, oral presentation and a business plan for unit 605.

City & Guilds provides the following assessments:

- Assignments Version A are available to download from the City & Guilds website. Approved 4419-06 centres can access the password via the Walled Garden.

### Time constraints

The following time constraints must be applied to the assessment of these qualifications:

- Recommended time allowances are indicated in each assignment. Centre staff should guide candidates to ensure excessive evidence gathering is avoided. Centres finding that assignments are taking longer, should contact the external verifier for guidance.
- All assignments must be completed and assessed within the candidate's period of registration. Centres should advise candidates of any internal timescales for the completion and marking of individual assignments.

# Units

## Availability of units

The units for these qualifications follow. The learning outcomes and assessment criteria are also viewable on the Register of Regulated Qualifications [www.register.ofqual.gov.uk](http://www.register.ofqual.gov.uk)

## Structure of units

The units in these qualifications are written in a standard format and comprise the following:

- City & Guilds reference number
- unit accreditation number (UAN)
- title
- level
- credit value
- unit aim
- relationship to NOS
- endorsement by a sector or other appropriate body
- information on assessment
- learning outcomes which are comprised of a number of assessment criteria
- notes for guidance.

## Unit 601

# Managing medical ethics and legal requirements in a primary care and health environment

**Level:** 5  
**Credit value:** 6  
**UAN:** M/602/1214

### Unit aim

The aim of this unit is to provide the learner with an understanding of the medical, ethical and legal requirements of working within a primary care or health environment. It will enable them to develop knowledge of the principles of medical ethics, patients' rights and how to manage health and safety and apply employment legislation in a primary care or health environment.

### Learning outcomes

There are **five** learning outcomes to this unit. The learner will:

1. Know how to evaluate the principles and importance of medical ethics as they apply to the primary care and health environment
2. Know how to evaluate the medico-legal requirements which apply to the primary care and health environment
3. Know how to evaluate the rights and responsibilities of patients within the NHS
4. Understand how to manage health and safety within an organisation
5. Understand how to apply the requirements of current employment law, legislation and regulation within the workplace

### Guided learning hours

It is recommended that **35** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management and Leadership 2008:

- B8 Ensure compliance with legal, regulatory, ethical and social requirements  
B10 Manage risk  
D3 Recruit, select and keep colleagues  
E10 Take effective decisions.

### Support of the unit by a sector or other appropriate body

This unit is endorsed by the Council for Administration.

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## **Unit 601                    Managing medical ethics and legal requirements in a primary care and health environment**

Outcome 1                    Know how to evaluate the principles and importance of medical ethics as they apply to the primary care and health environment

### **Assessment criteria**

The learner can:

1. interpret the main principles associated with medical ethics
2. examine the legal and ethical requirements of holding, using and accessing data
3. evaluate the role of the manager in ensuring compliance with the principles of medical ethics
4. identify the action to be taken if evidence of potential fraud and malpractice is identified.

### **Assessment criteria explained**

1. Principles are values associated with the application of regulation and legislation. Principles will include origins of medical ethics in relation to the:
  - the Hippocratic oath
  - declaration of Geneva including updates
  - international code of medical ethics
  - role of the General Medical Council (GMC), Local Medical Committees (LMC), British Medical Association (BMA) and Royal College of General Practitioners (RCGP)
  - Registration and GMC requirements, medical insurance, indemnity, partnership requirements and liability.
2. The examination may include:
  - the purpose, responsibilities and obligations of the 'Caldicott Guidelines'
  - patient confidentiality
  - safeguarding patients' personal information
  - Data Protection Act.
3. The meaning of ethics within the medical profession. Requirements concerning ethical behaviour include:
  - professional conduct
  - duty of care
  - advertising
  - defamation
  - enticement
  - research
  - other health professionals
  - emergency treatment
  - profit and fees
  - certification
  - preservation of life
  - paternalism/informed consent

- current ethical dilemmas eg euthanasia, abortion
  - confidentiality
  - confidentiality and under 16s
  - consent
  - disclosure.
4. The action to be taken if potential fraud and malpractice is identified, routes to be followed may include the Police, GMC, RCN, Medical Defence Union, NHS whistle blowing.

## **Unit 601                    Managing medical ethics and legal requirements in a primary care and health environment**

Outcome 2                    Know how to evaluate the medico-legal requirements which apply to the primary care and health environment

### **Assessment criteria**

The learner can:

1. review areas of law relevant to primary care or health environment
2. evaluate the impact of legal obligations, negligence and vicarious liability for the organisation
3. evaluate the manager's role in ensuring staff comply with their legal obligations

### **Assessment criteria explained**

1. Medico-legal requirements in respect of:
  - drugs, prescriptions and liability
  - termination of pregnancy
  - communicable disease
  - consent and capacity
  - mental health.
2. Evaluation of the impact of:
  - legal obligations - the meaning of a legal duty of care including a 'breach of duty of care' in relation to health professionals and the organisation.
  - negligence - the legal definition of negligence as civil law including the implications for the patient, the medical profession and administrative employees within the practice
  - vicarious liability and its effects on health professionals and the organisation
3. Current measures in place for ensuring legal compliance of staff through training, supervision, induction, policies and procedures.

## Unit 601

# Managing medical ethics and legal requirements in a primary care and health environment

## Outcome 3

Know how to evaluate the rights and responsibilities of patients within the NHS

### Assessment criteria

The learner can:

1. examine patients' rights and their responsibilities
2. evaluate measures that can be taken to improve the observance of patients' rights.

### Assessment criteria explained

1. The meaning of patients' rights with emphasis on the primary care or health environment (as applicable to the NHS Constitution or alternative national guidelines):
  - rights to choose a GP
  - rights to hospital treatment
  - rights to refuse treatment
  - rights to die – advanced medical directives
  - right to opt out of summary care records
  - access to personal medical records
  - consent – informed/voluntary
  - consent and capacity (mental health)
  - right to privacy and confidentiality
  - NHS Complaints procedures.
2. Measures may include methods to inform patients of their rights.

## Unit 601

# Managing medical ethics and legal requirements in a primary care and health environment

## Outcome 4

Understand how to manage health and safety within an organisation

### Assessment criteria

The learner can:

1. evaluate the organisation's health and safety policy and procedures in line with legislative requirements
2. propose how health and safety should be managed within the organisation.

### Assessment criteria explained

1. Evaluation in respect of:
  - current health and safety law, the role and powers of the HSE, COSHH and RIDDOR
  - health and safety requirements within the workplace.
2. Management of health and safety to include:
  - management of risk assessment procedures
  - Identify prevention and control measures
  - monitoring performance related to health and safety at work to ensure compliance eg:
    - inspection
    - audits
    - use of accident statistics.

## **Unit 601                    Managing medical ethics and legal requirements in a primary care and health environment**

Outcome 5                    Understand how to apply the requirements of current employment law, legislation and regulation within the workplace

### **Assessment criteria**

The learner can:

1. review the legal nature of creating the employment relationship
2. evaluate an organisation's employment practices, procedures and policies including the legal principles regarding discrimination and the law

### **Assessment criteria explained**

1. The legal nature refers to the key legal requirements of employing staff within the organisation such as:
  - the recruitment process (job offer letters, references, probationary periods)
  - CRB checks
  - avoiding discrimination in the recruitment process
  - work permits and visas.
2. The legal requirement of the employment contract:
  - express and implied terms, custom and practice
  - changing the terms and conditions of employment
  - define employee status (workers, employers, employee employees, part-time, fixed-term contracts)
  - the use of agency staff and 'casuals'
  - the minimum wage and employment of 'young people'.

Maintenance of the employment relationship:

- working time directive and its implications
- flexible working to include maternity, paternity, adoption and parental leave
- data protection issues – access to personnel files and human rights issues.

Ways in which discrimination can be avoided and the legal and other implications for the organisation in failing to comply with all current anti-discrimination legislation and value diversity in the workplace.

Best practice and case law in respect of grievance and disciplinary processes:

- conducting grievance and disciplinary hearings
- the importance of the appeals process and how this should be conducted.

The legal process for terminating the employment relationship in relation to current legislation:

- dismissal – wrongful, unfair and constructive
- potentially fair reasons for dismissal
- redundancy
- practice and procedure at employment tribunals
- compensation, re-engagement or re-instatement.

# **Unit 601                    Managing medical ethics and legal requirements in a primary care and health environment**

## Suggested resources

- The Data Protection Act 1998 and subsequent amendments
- The Freedom of Information Act 2000 and subsequent amendments
- Access to Health Records Act 1990 and subsequent amendments
- Access to Medical Reports Act 1988 and subsequent amendments
- Mental Capacity Act 2005 and subsequent amendments
- Medical Act 1983 and subsequent amendments
- Health and Social Care Act 2008 and subsequent amendments
- Caldicott Guardians (HSC/1990/012) and subsequent amendments
- The NHS Code of Practice and subsequent amendments
- Mental Health Act 1983/2007 and subsequent amendments
- Good Medical Practice (GMC 2006) and subsequent amendments
- NHS Constitution ([www.dh.gov](http://www.dh.gov))
- NICE [www.nice.org.uk](http://www.nice.org.uk)
- GMC [www.gmc-uk.co](http://www.gmc-uk.co)
- NHS Act (2006) and subsequent amendments
- BMA ([www.bma.org.uk](http://www.bma.org.uk) )
- Gillick Competency
- Fraser Competency
- Human Rights Act 1998 and subsequent amendments
- Hippocratic Oath
- Declaration of Geneva
- Declaration of Helsinki (1964)
- Freedom of Information Act 2000 and subsequent amendments
- Health and Safety at Work Act 1994 and subsequent amendments
- The Employment Act 2008 and subsequent amendments
- Health and Safety at Work Regulations 1996 and subsequent amendments
- Health and safety at Work Act 1974 Section 2(3) and subsequent amendments
- Display Screen Regulations 1992 and subsequent amendments
- RIDDOR
- COSHH
- ACAS
- The Equality Act 2010 and subsequent amendments
- Fair Employment Acts 1976 and 1989.
- National Minimum Wage Act 1998
- The Equal Pay (Amendment) Act Regulations 2003 (SI 2003/1656) and subsequent amendments
- The Occupational Pension Schemes (Equal Treatment) (Amendment) Regulations 2005 (SI 2005/1923) and subsequent amendments
- Working Time Regulations 1998 and subsequent amendments
- The Working Time (Amendment) Regulations 2009 (SI 2009/1567) and subsequent amendments.

## Unit 602

# Financial management and budgeting in a primary care and health environment

**Level:** 5  
**Credit value:** 7  
**UAN:** F/602/1217

### Unit aim

The aim of this unit is to provide the learner with the knowledge and understanding to contribute appropriately to the financial governance of a primary care or health organisation.

### Learning outcomes

There are **three** learning outcomes to this unit. The learner will:

1. Know how to prepare a budget which supports an organisation's business goals
2. Know how to use management accounts to enable decision-making, monitor performance, evaluate findings and make recommendations
3. Know how to evaluate an organisation's budget process and make recommendations for improvement

### Guided learning hours

It is recommended that **25** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management and Leadership 2008:

- A1 Manage your own resources
- E1 Manage a budget
- E2 Manage finance for your area of responsibility
- E10 Take effective decisions

### Support of the unit by a sector or other appropriate body

This unit is endorsed by the Council for Administration.

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 602

# Financial management and budgeting in a primary care and health environment

## Outcome 1

Know how to prepare a budget which supports an organisation's business goals

### Assessment criteria

The learner can:

1. evaluate information necessary to formulate a budget in support of the organisation's business goals
2. analyse the organisation's major sources of income and items of expenditure.
3. evaluate external factors which may influence budget preparation
4. prepare a budget.

### Assessment criteria explained

1. To formulate a budget effectively requires:

- planning
- communication
- co-ordination
- motivation
- controlling
- an assessment of performance.

The candidate should have an understanding of:

- the value of financial planning to the organisation and to the individual manager, identifying variances and poor performance
- the purposes of budgetary systems and how to use the business plan to guide budgeting.

They should know where to obtain, and how to evaluate, the available financial information needed to prepare a realistic budget, including cost-benefit analysis and ideas for calculating the return on investment for capital expenditure.

They should be aware of the importance of consultation, communication and agreement and consider who should be involved, why, and how.

2. Analysis may include:

- the use of appropriate sources of relevant financial data for income sources such as GMS, PMS, Quality and Outcome Framework (QOF), enhanced services, premises reimbursement, private sources
- the use of appropriate sources of relevant financial data for expenditure such as previous expenditure history, trends, quotations
- the relationship between activity and income or expenditure
- the allocation of expenditure to the appropriate cost centre.

3. The evaluation of external factors may include:

- the use of appropriate tools to identify demand trends, eg historical growth rates, business drivers, changes in external factors (PESTLE), improvements in service delivery capability (SWOT), availability of new funding / resources (eg new commissioning arrangements, new income-related goals and targets, etc)
- a consideration of the ethical dichotomy inherent in the requirement to provide health care within budgetary constraints;
- the possible opportunities and potential threats to demand and (perhaps separately) to income streams.

4. The budget to include:

- an estimate of service demand
- the resources necessary to deliver these services
- costs under appropriate headings
- expected and potential revenues, if applicable
- any relevant capital purchases.

The preparation and approval of budgets should:

- reflect the application of organisational guidelines and procedures where applicable
- where possible, encourage staff and colleagues to think about ways to improve service delivery, reduce expenditure or increase income.

## Unit 602

## Financial management and budgeting in a primary care and health environment

### Outcome 2

Know how to use management accounts to enable decision-making, monitor performance, evaluate findings and make recommendations

#### Assessment criteria

The learner can:

1. identify possible cause(s) of significant variances between actual costs and budget plans
2. interpret a set of accounts including an actual versus planned budget report, profit and loss accounts and cash-flow forecast
3. propose corrective actions in response to variances in performance.

#### Assessment criteria explained

1. Cause(s) of variances against budget may include:
  - reduced practice list size
  - higher cost of utilities.
2. Interpret a set of accounts may involve:
  - the preparation and use of budget reports and management accounts
  - the standard financial statements – profit & loss accounts, balance sheet, partners' capital accounts, cash-flow forecasts.
3. Establish systems to monitor and evaluate performance against budget; informing and take corrective action where needed, planning for contingencies.

The candidate needs to know about types of fraudulent behaviour and own responsibilities in detecting them.

## **Unit 602**

## **Financial management and budgeting in a primary care and health environment**

### **Outcome 3**

Know how to evaluate an organisation's budget process and make recommendations for improvement

#### **Assessment criteria**

The learner can:

1. evaluate the organisation's budget process (including how budgets are developed, monitored and reviewed)
2. recommend possible improvements to the budget process.

#### **Assessment criteria explained**

1. Review the organisation's accounting procedures and processes, especially for recording income and expenditure; bank reconciliation and capital acquisition.
2. Review and understand organisational procedures for monitoring and reporting of performance against budgets and for revising budgets for example software systems, people involved.

## Unit 603

# Managing information and communication in a primary care and health environment

**Level:** 5  
**Credit value:** 5  
**UAN:** J/602/1221

### Unit aim

The aim of this unit is to provide candidates with the knowledge, understanding and skills necessary to source and interpret information to solve complex issues, develop a communications strategy and to evaluate the use of negotiation in responding to different perspectives within a primary care and health environment.

### Learning outcomes

There are **three** learning outcomes to this unit. The learner will:

1. Know how to source and interpret information to solve complex issues and present recommendations
2. Know how to develop a communications strategy to engage with stakeholders
3. Be able to evaluate the use of negotiation in responding to different perspectives

### Guided learning hours

It is recommended that **25** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management and Leadership 2008:

- A3 Develop your personal networks
- B6 Provide leadership in your area of responsibility
- D1 Develop productive working relationships with colleagues
- D2 Develop productive working relationships with colleagues and stakeholders
- E10 Take effective decisions
- E11 Communicate information and knowledge
- F3 Manage business processes
- F6 Monitor and solve customer service problems
- F8 Work with others to improve customer service
- F12 Improve organisational performance

### Support of the unit by a sector or other appropriate body

This unit is endorsed by the Council for Administration.

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 603

# Managing information and communication in a primary care and health environment

### Outcome 1

Know how to source and interpret information to solve complex issues and present recommendations

#### Assessment criteria

The learner can:

1. source, interpret and evaluate information to inform decision making in relation to a complex issue
2. draw conclusions and present recommendations to solve a complex issue using a structured management report.

#### Assessment criteria explained

1. A complex issue which may be defined as having multiple aspects that are interwoven and the solution(s), requiring detailed investigation and analysis (such as size, impact and frequency). The investigation may result in a range of corrective options.

Information should be identified, gathered from a variety of sources, validated, interpreted and evaluated to inform decision making.

The candidate should be able to

- identify types of qualitative and quantitative information, which are essential for fulfilling roles and responsibilities eg financial, statistical, clinical, patient feedback.
  - use different methods of collecting data including:
    - questioning.
    - observation
    - surveys
    - sampling
    - audit
  - identify information, which may be contradictory, ambiguous or inadequate
  - utilise SWOT and PESLE findings
  - assess the validity, accuracy and reliability of information.
  - use different techniques to analyse problems such as:
    - graphing / charting data.
    - cause and effect diagrams
    - mind mapping
    - brain storming
2. Conclusions may be drawn by using decision-making tools such as:
    - cost benefit analysis
    - Ishikawa/fishbone diagrams
    - sorting and evaluating techniques
    - group decision making.

A structured management report will:

- be presented in a recognised reporting structure, including Executive Summaries and Terms of Reference
- be clearly written and well-structured that contains sufficient information, evidence and conclusions that will facilitate the reader in making considered decisions or solve problems
- use appropriate conventions for quotations, references and bibliographies
- where appropriate contain appropriate charts or graphs, selected to best illustrate the chosen data
- may include diagrams to illustrate issues, statistical, information flows and theories
- tabulate findings for clarity where appropriate
- substantiate conclusions made using written, verbal or numeric evidence and can justify recommendations.

## Unit 603

# Managing information and communication in a primary care and health environment

## Outcome 2

Know how to develop a communications strategy to engage with stakeholders

### Assessment criteria

The learner can:

1. evaluate communication methods and strategies employed to engage with stakeholders
2. analyse barriers to communication within their own organisation
3. propose a strategy to overcome communication barriers and engage with stakeholders justifying reasons for selection.

### Assessment criteria explained

1. Stakeholders may be defined as:
  - individuals, groups or organisations who can affect or be affected by an organisation's actions such as: patients, staff, partners, suppliers, primary care trusts, patient participation groups, banks (this list is not exhaustive).

Communication methods and strategies:

- oral, written, visual and electronic communication
  - letters, memos, reports, e-mail, telephone, formal and informal meetings, SMS, website, newsletters, and posters
  - non-verbal communication – body language and facial expression
  - appropriate business language including tone, style and vocabulary and house style
  - legal, ethical and regulatory requirements when communicating information
  - the need for feedback, and implications of no feedback
  - advantages and disadvantages of communication methodology may include cost, resource, time.
2. Barriers to communication may include the environment, language, psychological and physical barriers.
  3. Communication strategy - a planned approach to communicating with stakeholders in a coherent way which ensures they receive the intended communication in a way that is understandable, professional and fit for purpose and systematic.

## Unit 603

## Managing information and communication in a primary care and health environment

### Outcome 3

Be able to evaluate the use of negotiation in responding to different perspectives

#### Assessment criteria

The learner can:

1. identify situations when negotiation would be appropriate
2. analyse the characteristics of a successful negotiator
3. evaluate the use of conflict resolution models in negotiating
4. recommend strategies for making negotiations successful.

#### Assessment criteria explained

1. Negotiation:
  - may be used to achieve objectives which require negotiation, or the need to influence others to take action
  - should only be used when it is ethical to do. This is in respect of contractual agreements and the legislative framework.
2. No additional guidance.
3. Conflict and resolution models may include those developed by Kenneth Thomas and Ralph Kilmann.
4. Strategies for making negotiation successful may include:
  - the importance of achieving 'win-win' outcomes to maintain relationships
  - differentiation between formal and informal negotiation skills
  - identification of acceptable outcomes from ideal to least acceptable and understanding their consequences
  - techniques for influencing others including non-verbal techniques.

## Unit 604

# Developing and leading teams to achieve organisational goals and objectives

**Level:** 18  
**Credit value:** 4  
**UAN:** Y/503/2701

### Unit aim

The aim of this unit is to develop understanding and ability in developing and leading teams, as required by a practising or potential middle manager.

### Learning outcomes

There are **two** learning outcomes to this unit. The learner will:

1. Understand the importance of leading teams to achieve organisational goals and objectives
2. Be able to develop and lead teams

### Guided learning hours

It is recommended that **18** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management Standards Centre (MSC) 2004:

B1 Develop and implement operational plans for your area of responsibility

B6 Provide leadership in your area of responsibility

C2 Encourage innovation in your area of responsibility

C4 Lead change

C5 Plan change

C6 Implement change

### Support of the unit by a sector or other appropriate body

This unit is endorsed by Management Standards Centre (MSC).

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 604

# Developing and leading teams to achieve organisational goals and objectives

### Outcome 1

Understand the importance of leading teams to achieve organisational goals and objectives

#### Assessment criteria

The learner can:

1. assess the effectiveness of own organisation in measuring team performance against organisational goals and objectives
2. evaluate the role of leadership in helping teams to achieve organisational goals and objectives.

#### Assessment criteria explained

- Concepts of authority and power, responsibility and accountability
- Differences between managing in public, private and voluntary sectors
- Processes of delegation and empowerment
- Factors influencing behaviour at work; theories of motivation and their application to individuals, including incentives and rewards
- Strategies to encourage managed risk-taking and to learn from failure
- The characteristics and behaviours associated with initiative, leadership, creativity and innovation, and how to foster them
- Need for performance assessment, and provision of development and/or counselling where necessary
- Relationship between team performance and organisational goals and objectives
- The Balanced Scorecard
- Quality initiatives such as TQM
- Techniques to evaluate team performance
- Feedback, recognition and reward techniques to support, motivate and monitor.

## Unit 604

# Developing and leading teams to achieve organisational goals and objectives

## Outcome 2

Be able to develop and lead teams

### Assessment criteria

The learner can:

1. critically review own ability to develop and lead teams to achieve organisational goals and objectives
2. implement changes to own leadership style in order to more effectively develop and lead teams

### Assessment criteria explained

- Characteristics of groups and teams, team membership and leadership
- The importance of direction and values in creating effective teams
- Stages in team development, use of team roles for building a balanced team
- Teams in different contexts, eg operational, project, management, contractors, volunteers
- Inter-relationships between team and individual performance and development
- Factors influencing behaviour, theories of motivation and their application to teams, including reward systems, promotion, succession, and job rotation
- Techniques to evaluate team performance
- Techniques to review own performance, such as peer review and 360° feedback
- Management and leadership styles and qualities
- Methods to promote trust and respect within the team.

## Unit 605

## Developing or improving services in a primary care or health environment

**Level:** 5  
**Credit value:** 8  
**UAN:** L/602/1222

### Unit aim

This unit aims to provide the learner with the knowledge and skills to produce and present a business case for developing or improving services of a primary care or health environment. They will also develop an understanding of how to establish quality assurance systems to monitor and report on new or improved healthcare services.

### Learning outcomes

There are **four** learning outcomes to this unit. The learner will:

1. Know how to develop a business case to improve or develop new healthcare services which meet the strategic aims of an organisation
2. Understand how to plan to improve or develop new healthcare services
3. Understand how to evaluate the effectiveness of change management principles in improving or developing new healthcare services
4. Understand how to establish and evaluate quality assurance systems to monitor measure and report on the impact of new or improved healthcare services

### Guided learning hours

It is recommended that **37** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management and Leadership 2008:

- B1 Develop and implement operational plans for your area of responsibility
- B2 Map the environment in which your organisation operates
- B3 Develop a strategic business plan for your organisation
- C1 Encourage innovation in your team
- C2 Encourage innovation in your area of responsibility
- C3 Encourage innovation in your organisation
- C4 Lead change
- C5 Plan change
- C6 Implement change
- D2 Develop productive working relationships with colleagues and stakeholders
- D10 Reduce and manage conflict in your team
- E10 Take effective decisions
- F3 Manage business processes
- F13 Manage quality systems

### Support of the unit by a sector or other appropriate body

This unit is endorsed by the Council for Administration.

**Assessment**

This unit will be assessed by:

- a business case and a business plan which is externally marked
- an oral presentation of the business case is internally approved

Please see 4419-05 Assessment guide for further detail.

## Unit 605

## Developing or improving services in a primary care or health environment

### Outcome 1

Know how to develop a business case to improve or develop new healthcare services which meet the strategic aims of an organisation

#### Assessment criteria

The learner can:

1. identify an opportunity to improve or develop new healthcare services explaining the rationale for this choice in the context of organisational aims
2. quantify an opportunity to improve or develop new healthcare services
3. develop a business case to pursue the opportunity.

#### Assessment criteria explained

1. An opportunity to improve or develop new healthcare services will be in an appropriate area of responsibility. The rationale will include organisational, political, economic, social, technological, legal, environmental context in which the proposal occurs (PESTLE).
2. Improve or develop new healthcare services may be quantified in terms of:
  - estimate of future demand or degree of improvement
  - the purpose, costs and benefits of change and innovation to organisations, individuals and teams
  - the organisation's actual and potential client base
  - the needs and expectations of actual and potential clients and other key stakeholders
  - actual and potential partners, including their activities and relative performance levels.
  - the use of appropriate tools in analysing stakeholder interest such as SWOT and PESTLE
  - the ability to build future scenarios and assess their implications
  - methods of presenting proposals to stakeholders and decision makers in a way that is appropriate to their needs and likely to win their support
  - how teams and individuals can creatively and constructively challenge existing ways of working.
3. The business case should be clear, coherent, contain reasoned argument and be backed by research.

## Unit 605

## Developing or improving services in a primary care or health environment

### Outcome 2

Understand how to plan to improve or develop new healthcare services

#### Assessment criteria

The learner can:

1. develop a detailed implementation plan for the improvement or development of new healthcare services
2. assess areas of potential risk and recommend contingency plans.

#### Assessment criteria explained

1. A detailed implementation plan would:

- be based on SMART objectives
- identify responsibility for outcomes
- identify the resources necessary
- suggest the timescales involved
- be based on sound change management principles.

It would also suggest:

- an understanding of the relationship between goals, objectives, methods and tasks
- how to develop SMART objectives and why this is important to operational planning
- the need for negotiation techniques and consultation skills
- use of effective planning techniques and the allocation of tasks to those best placed to complete them
- how to develop schedules and set priorities
- planning change.

2. The candidate needs to have an understanding of:

- the reasons why plans fail, and how to avoid these pitfalls; establishing control mechanisms to monitor outcomes and ensure achievement of objectives
- how to identify and assess risks and determine whether risks are manageable and acceptable
- the importance of contingency planning and how to do so effectively.
- how to assess the quantity, availability and cost of the resources needed
- how to renegotiate budgets when necessary.

## Unit 605

## Developing or improving services in a primary care or health environment

### Outcome 3

Understand how to evaluate the effectiveness of change management principles in improving or developing new healthcare services

#### Assessment criteria

The learner can:

1. critically review the challenges faced in managing a substantial or controversial change programme
2. evaluate how to overcome these challenges by reference to established change management theory.

#### Assessment criteria explained

1. The challenges may include:
  - the reasons for potential resistance for change in organisations and individuals
  - the ethical and legal considerations when planning change in a healthcare environment
  - the purpose and benefits of engaging teams and individuals in the whole change and decision-making process
  - effective consultative processes and the importance of showing that feedback has been taken into account
  - the potential tensions between expectations and needs (especially patient expectations versus strict medical need) and the funding of different medical procedures
  - communicating plans to others
  - models and methods for leading and managing change, and their strengths and weaknesses
  - different leadership styles and behaviours, their strengths and how to use the appropriate style for managing change
  - the relationship between transformational and transactional change
  - the political, bureaucratic and resource barriers to change, and the techniques for dealing with these
  - the types of problems queries and objections that may occur and how to respond to these in an open and transparent way
  - different methods of communication and their relevant strengths and weaknesses in various circumstances
  - stakeholder expectations, how they influence the change process and how to manage them.
2. Examples of change management theory may include:
  - Lewin's Force Field Analysis
  - GAP Theory
  - the reinforcement approach – Skinner
  - Lewin's freeze-unfreeze-freeze theory.

## Unit 605

## Developing or improving services in a primary care or health environment

### Outcome 4

Understand how to establish and evaluate quality assurance systems to monitor measure and report on the impact of new or improved healthcare services

#### Assessment criteria

The learner can:

1. establish a strategy to monitor measure and report on the impact of new or improved healthcare services
2. explain the rationale of proposed quality assurance methods.

#### Assessment criteria explained

1. The strategy may include:
  - means of data collection and validation – including questioning, observation, surveys, source records, pilot studies, sampling, exception reports, etc
  - the use of existing sources of data
  - how these sources may be optimised to review organisational performance
  - how to develop appropriate measures and criteria to review performance and measure impact
  - quantitative and qualitative metrics and their relative strengths and weaknesses
  - how to establish monitoring and evaluation processes and methods
  - how to collect, analyse and report on feedback
  - how and when to involve stakeholders.
2. The rationale may include reference to:
  - Quality & Outcomes Framework (QOF)
  - Clinical Governance, Clinical Audit
  - Patient Surveys
  - Complaint Monitoring
  - Patient Participation Groups
  - tools for maintaining quality - including records and the use of statistics and control charts
  - the value of valid, accurate and timely information, especially in a healthcare setting
  - techniques for assessing validity, accuracy and reliability of information.

The measures and criteria developed should be:

- cost-effective and make optimum use of existing sources of data and means of data gathering
- capable of providing information in time to enable an effective response
- sufficiently reliable and sufficiently complete to make balanced, informed, judgements about the impact of the new or improved services either in terms of current effectiveness (with a view to continuous incremental improvement) and/or to monitor progress towards objectives or the implementation of agreed policies
- consistent with the organisation's values and policies and with legal requirements and professional ethics.

**Level:** 5  
**Credit value:** 4  
**UAN:** R/501/3290

### Unit aim

The aim of this unit is to develop the ability to think and reflect critically as required by a potential or practising middle manager.

### Learning outcomes

There are **two** learning outcomes to this unit. The learner will:

1. Be able to critically assess own beliefs, attitudes and value systems
2. Be able to critically assess the validity of management theories in relation to own beliefs, attitudes and values

### Guided learning hours

It is recommended that **18** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management Standards Centre (MSC) 2004

### Support of the unit by a sector or other appropriate body

This unit is endorsed by Management Standards Centre (MSC).

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 606

## Developing critical thinking

### Outcome 1

Be able to critically assess own beliefs, attitudes and value systems

#### Assessment criteria

The learner can:

1. explain the difference between beliefs, attitudes and values
2. critically assess the impact of beliefs, attitudes and values on own behaviour

#### Assessment criteria explained

- Basic principles of logic
- Use of logic to establish causal relationships
- Skills in presenting rational arguments and debating points of view
- Value and purpose of reflection in supporting learning
- Using structured reflection to make sense of experience
- Value of discussion in resolving problems
- How emotions, values and beliefs affect rational discourse
- Techniques for comparing and evaluating alternative propositions critically
- The development of the scientific method (observation, hypothesis, prediction and testing) and its value in natural and social sciences
- Inductive and deductive reasoning
- Techniques for testing theories (experimentation, empirical studies, observation, etc)
- Best practice in the development and dissemination of theories or practices

## **Unit 606**

### **Outcome 2**

## **Developing critical thinking**

Be able to critically assess the validity of management theories in relation to own beliefs, attitudes and values

### **Assessment criteria**

The learner can:

1. identify management theories relevant to your role
2. critically assess the impact of own beliefs, attitudes and values on a management theory relevant to your role
3. use the critical assessment to evaluate how someone with different beliefs, attitudes and values might interpret the theory differently

### **Assessment criteria explained**

- Theories of management such as Human Relations, Scientific Management, Contingency Theory, Systems Theory, Bureaucratic Management
- Significance of beliefs, attitudes and value systems in shaping human behaviour
- Relationship between beliefs, attitudes and value systems and culture and norms (eg socialisation)
- Reality and perceptions of reality.

**Level:** 5  
**Credit value:** 4  
**UAN:** M/501/3300

### Unit aim

The aim of this unit is to develop knowledge and understanding of managing for efficiency and effectiveness as required by a practising or potential middle manager.

### Learning outcomes

There are **two** learning outcomes to this unit. The learner will:

1. Be able to assess the organisation's ability to manage efficiently and effectively to achieve targets and objectives
2. Be able to evaluate own ability to manage efficiently and effectively

### Guided learning hours

It is recommended that **18** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management Standards Centre (MSC) 2004:

- B1 Develop and implement operational plans for your area of responsibility
- B6 Provide leadership in your area of responsibility
- C6 Implement change
- F3 Manage business processes

### Support of the unit by a sector or other appropriate body

This unit is endorsed by Management Standards Centre (MSC).

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## **Unit 608**

## **Managing for efficiency and effectiveness**

### Outcome 1

Be able to assess the organisation's ability to manage efficiently and effectively to achieve targets and objectives

#### **Assessment criteria**

The learner can:

1. assess own organisation's ability to translate vision, mission and strategic goals into operational objectives with measurable targets
2. assess own organisation's ability to efficiently and effectively delegate responsibilities for the achievement of targets and objectives
3. assess the efficiency and effectiveness of control methods used to monitor the achievement of targets and objectives in own area of responsibility
4. implement improvements to organisational efficiency and effectiveness in own area of responsibility

#### **Assessment criteria explained**

- Nature, purpose and importance of vision and mission in setting values and strategic direction, and the significance of stakeholders in shaping vision and mission
- Importance of translating vision, mission and strategic goals in to operational objectives
- Setting SMART objectives
- Definitions of, and conflicts between, effectiveness and efficiency
- Definitions of, and conflicts between, authority, accountability and responsibility
- Need for negotiating techniques
- Setting priorities
- Principles of delegation to achieve overall objectives
- Control mechanisms to monitor outcomes and ensure achievement of objectives

## **Unit 608**

### Outcome 2

## **Managing for efficiency and effectiveness**

Be able to evaluate own ability to manage efficiently and effectively

### **Assessment criteria**

The learner can:

1. evaluate own ability to manage effectively and efficiently
2. implement changes in own management style in order to manage more efficiently and effectively

### **Assessment criteria explained**

- Using feedback from others to critically evaluate own performance
- Techniques for collecting and analysing feedback from others, including 3600 feedback
- Personal development planning
- Measurable organisational, team and individual objectives
- Time management techniques
- Efficiency and effectiveness matrix
- Target setting and performance indicators
- Planning techniques appropriate to activity
- Systems theory and process design
- Monitoring and control techniques and records
- Use of results to 'close the loop' and make continuous improvements

**Level:** 5  
**Credit value:** 5  
**UAN:** Y/501/3310

### Unit aim

The aim of this unit is to develop understanding and ability to manage recruitment as required by a practising or potential middle manager.

### Learning outcomes

There are **three** learning outcomes to this unit. The learner will:

1. Understand human resource planning in an organisation
2. Be able to plan and implement recruitment in line with legal and organisational requirements

### Guided learning hours

It is recommended that **24** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

This unit is linked to the following NOS for Management Standards Centre (MSC) 2004:

- D2 Develop productive working relationships with colleagues and stakeholders
- D3 Recruit, select and keep colleagues

### Support of the unit by a sector or other appropriate body

This unit is endorsed by Management Standards Centre (MSC).

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 609

### Outcome 1

## Managing recruitment

Understand human resource planning in an organisation

### Assessment criteria

The learner can:

1. explain the role and relevance of human resource planning in own organisation
2. assess the impact of legal requirements on human resource planning in the organisation
3. assess the impact of organisational policies and procedures on human resource planning in the organisation

### Assessment criteria explained

1. Human resource planning techniques:
  - Human resource planning techniques
  - Reward systems
  - Ways to redeploy human resources to achieve individual and organisational objectives
  - Techniques for succession planning
  - Causes of poor attendance and retention and strategies for improvement
  - Techniques for monitoring and evaluating attendance and retention
  - Use of outsourcing, subcontracting, outworkers
  - Legal and organisational aspects of redundancy and redeployment
  - Human aspects of redundancy and redeployment

## Unit 609

### Outcome 2

## Managing recruitment

Be able to plan and implement recruitment in line with legal and organisational requirements

### Assessment criteria

The learner can:

1. describe the recruitment process in own organisation from the identification of a vacancy through to the appointment of the successful candidate
2. justify a need for recruitment in own area of responsibility
3. implement the recruitment process in own area of responsibility, ensuring all procedures are followed and necessary records are kept in line with legal and organisational requirements

### Assessment criteria explained

1. The candidate needs to have an understanding of:
  - Organisational recruitment policies and procedures
  - Legal aspects of recruitment and selection
  - Relevant methods of advertising vacancies, internally and externally
  - Internal and external applications
  - Techniques for job analysis
  - Job specifications and job descriptions
  - Person specifications
  - Use of job descriptions and person specifications to shortlist applicants
  - Selection techniques including interviewing, testing, assessment centres, references etc
  - Alternative methods of advising applicants of outcomes
  - The need to maintain comprehensive records to support and justify decisions
  - Interview types – formal and informal, including selection, exit, grievance, disciplinary, counselling, appraisal, supervision and information gathering/investigation
  - Appropriate climate for conduct of an interview
  - Structure and format of interviews according to purpose
  - Legal and ethical considerations in relation to interviewing
  - Questioning and listening techniques
  - Impact of non-verbal communication
  - Ways to analyse and interpret information gained (facts, evidence, opinion, meaning)
  - Recording information and interview outcomes
  - Importance of feeding back during and after interviews to interviewee and authorised people, and methods of doing so
  - Appropriate checks following appointment such as CRB and references

**Level:** 5  
**Credit value:** 5  
**UAN:** J/503/9661

### Unit aim

The aim of this unit is to develop knowledge and understanding of effective leadership as required by a practising or potential middle manager.

### Learning outcomes

There are **two** learning outcomes to this unit. The learner will:

- Understand own ability to fulfil key responsibilities of the leadership role
- Be able to evaluate own ability to lead others

### Guided learning hours

It is recommended that **9** hours should be allocated for this unit, although patterns of delivery are likely to vary.

### Details of the relationship between the unit and relevant national standards

M5.06 Becoming an effective leader

### Support of the unit by a sector or other appropriate body

This unit is endorsed by the Council for Administration.

### Assessment

This unit will be assessed by:

- an externally set and internally marked assignment.

## Unit 615

## Becoming an effective leader

### Outcome 1

Understand own ability to fulfil key responsibilities of the leadership role

#### Assessment criteria

The learner can:

1.1 Evaluate own ability to use a range of leadership styles, in different situations and with different types of people, to fulfil the leadership role

1.2 Use theories of emotional intelligence to review the effect of emotions on own and others' performance

#### Assessment criteria explained

The key responsibilities of the leadership role in terms of:

- taking responsibility
- contributing to overall vision and goals
- setting and providing guidance on values
- setting direction for significant programmes or projects
- stimulating innovation and enterprise
- anticipating, planning for and leading change
- overcoming obstacles
- delegating
- setting objectives for teams and individuals
- communicating and motivating
- supporting and developing programmes, projects, teams and individuals
- modelling appropriate behaviour
- representing the team and feeding back its experiences and views
- protecting the team and its members

A range of leadership theories and different leadership styles these illustrate, for example:

- the trait approach to leadership
- the behavioural school (MacGregor, Blake and Mouton)
- the contingency or situational school (Fielder, Hersey-Blanchard, Tannenbaum and Smidt, Adair)
- leaders and followers (Servant Leadership, Team Leadership, Transactional and Transformational)

#### Dispersed Leadership

- How to evaluate the appropriateness of different leadership styles in the context of own responsibilities
- The importance of being able to use a repertoire of leadership styles in different situations and with different people
- The concept of emotional intelligence as developed by different theorists and how it applies to the leadership role

## Unit 615

## Becoming an effective leader

### Outcome 2

Be able to evaluate own ability to lead others

#### Assessment criteria

The learner can:

2.1 Review own ability to set direction and communicate this to others

2.2 Review own ability to motivate, delegate and empower others

2.3 Produce a personal development plan to improve own ability to lead

#### Assessment criteria explained

The importance of understanding one's own strengths and limitations

Using and interpreting different techniques to identify their own characteristics, strengths and limitations

The importance of continuous self-development and how to identify opportunities to develop oneself in the leadership role

The importance of leaders displaying confidence and self-assurance and to do this by playing to own strengths and showing a readiness to take calculated risks

Social awareness in terms of:

- empathy
- organisational and 'political' awareness
- service to others

Relationship management in terms of:

- inspiring
- influencing
- networking
- conflict management

The characteristics of self-leadership in terms of:

- controlling own emotions, particularly when under stress
- being open and honest with others
- showing integrity and trustworthiness
- being flexible
- setting challenging but realistic objectives for themselves and others
- taking risks
- taking personal responsibility for significant challenges
- seeing setbacks as opportunities rather than threats

The role that effective communication plays in conveying overall vision and goals and how to win and maintain the commitment of teams and individuals to these

Effective techniques for:

- communicating both directly and indirectly with teams and individuals
- persuading
- negotiating

How to select communication, persuasion and negotiation skills appropriate to different situations and people

How to develop vision and goals for significant projects or programmes of work

The importance of being aware of and analysing the internal and external environments in which the leader operates

Spotting opportunities

How to develop objectives and values that support overall strategy and vision

Theories and principles of delegating responsibility and empowering others

The critical importance of the leader gaining the motivation and commitment of others

Critiques of the main theories of motivation, for example:

- Maslow's Hierarchy
- MacGregor's Theory X and Theory Y
- Herzberg's Two Factor Theory
- Vroom's Expectancy Theory
- McClelland's 3-Needs Theory

Motivational factors that are available to the leader, for example:

- safety and security
- sense of belonging and common purpose
- respect
- recognition of achievement
- empowerment and self-actualisation
- sense of fulfilment
- personal and professional development
- material rewards
- sanctions
- job roles and employment conditions

How to evaluate motivational factors and select those that are appropriate to different situations and people

The leader's role in protecting and mentoring team members

Needs for mentoring and support that individuals may have and how to meet these

The role of continuous development and its importance to the organisation and to individuals

How to evaluate different methods of developing others, both directly and indirectly and how to choose methods most appropriate to the people involved

## Appendix 1 Relationships to other qualifications

### Links to other qualifications and frameworks

In addition to the NOS mapping detailed in each unit, City & Guilds has identified the following connections to the NHS Knowledge and Skills Framework.

Centres are responsible for checking the different requirements of all qualifications they are delivering and ensuring that candidates meet requirements of all units/qualifications. For example, units within a QCF qualification may be similar in content to units in the NQF qualification which the candidate may have already undertaken and this may present opportunities for APL.

<b>4419-05</b>		<b>NHS KSF</b>
<b>Unit Number/Title</b>		<b>Dimension</b>
601	Managing Medical Ethics and Legal Requirements in a Primary Care and Health Environment	Core 1: Communication Core 2: Personal and people development Core 3: Health, safety and security Core 4: Service improvement Core 5: Quality Core 6: Equality and diversity G5: Service and project management G6: People management HWB3: Protection of health and wellbeing IK1: Information processing IK2: Information, collection and analysis IK3: Knowledge and information resources
602	Financial Management and Budgeting in a Primary Care and Health Environment	Core 1: Communication Core 5: Quality G5: Service and project management IK1: Information processing IK2: Information, collection and analysis IK3: Knowledge and information resources G3: Procurement and commissioning G4: Financial management EF3: Transport and logistics
603	Managing Information and Communication in a Primary Care and Health Environment	Core 1: Communication Core 2: Personal and people development Core 4: Service Improvement Core 5: Quality Core 6: Equality and diversity G5: Service and project management G6: People management IK1: Information processing IK2: Information, collection and analysis IK3: Knowledge and information resources

604	Developing and Leading Teams to Achieve Organisational Goals and Objectives	Core 1: Communication Core 2: Personal and people development Core 4: Service improvement Core 5: Quality Core 6: Equality and diversity G1: Learning and development G5: Service and project management G6: People management G7: Capacity and capability
605	Developing or Improving Services in a Primary Care or Health Environment	Core 1: Communication Core 2: Personal and people development Core 4: Service Improvement Core 5: Quality Core 6: Equality and diversity G5: Service and project management G6: People management IK1: Information processing IK2: Information, collection and analysis IK3: Knowledge and information resources
606	Developing Critical Thinking	Core 2: Personal and people development Core 4: Service Improvement Core 6: Equality and diversity G1: Learning and development G6: People management
608	Managing for Efficiency and Effectiveness	Core 2: Personal and people development Core 4: Service Improvement G5: Services and project management G7: Capacity and capability
609	Managing Recruitment	Core 1: Communication Core 2: Personal and people development Core 4: Service improvement Core 5: Quality Core 6: Equality and diversity G5: Service and project management G6: People management G7: Capacity and capability
615	Becoming an effective leader	Core 1: Communication Core 2: Personal and people development Core 4: Service improvement G2: Development and innovation G5: Service and project management G6: People management

## Appendix 2 Sources of general information

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

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

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

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

- Regulatory Arrangements for the Qualifications and Credit Framework (2008)
- SQA Awarding Body Criteria (2007)
- NVQ Code of Practice (2006)

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

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

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

- **Walled Garden:** how to register and certificate candidates on line
- **Qualifications and Credit Framework (QCF):** general guidance about the QCF and how qualifications will change, as well as information on the IT systems needed and FAQs
- **Events:** dates and information on the latest Centre events
- **Online assessment:** how to register for e-assessments.

## Useful contacts

### UK learners

#### General qualification information

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**T: +44 (0)844 543 0033**

**E: [learnersupport@cityandguilds.com](mailto:learnersupport@cityandguilds.com)**

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### International learners

General qualification information

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T: +44 (0)844 543 0033

F: +44 (0)20 7294 2413

**E: [intcg@cityandguilds.com](mailto:intcg@cityandguilds.com)**

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### Centres

Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results

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T: +44 (0)844 543 0000

F: +44 (0)20 7294 2413

**E: [centresupport@cityandguilds.com](mailto:centresupport@cityandguilds.com)**

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### Single subject qualifications

Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change

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T: +44 (0)844 543 0000

F: +44 (0)20 7294 2413

F: +44 (0)20 7294 2404 (BB forms)

**E: [singlesubjects@cityandguilds.com](mailto:singlesubjects@cityandguilds.com)**

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### International awards

Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports

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T: +44 (0)844 543 0000

F: +44 (0)20 7294 2413

**E: [intops@cityandguilds.com](mailto:intops@cityandguilds.com)**

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### Walled Garden

Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems

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T: +44 (0)844 543 0000

F: +44 (0)20 7294 2413

**E: [walledgarden@cityandguilds.com](mailto:walledgarden@cityandguilds.com)**

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### Employer

Employer solutions, Mapping, Accreditation, Development Skills, Consultancy

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T: +44 (0)121 503 8993

**E: [business@cityandguilds.com](mailto:business@cityandguilds.com)**

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### Publications

Logbooks, Centre documents, Forms, Free literature

T: +44 (0)844 543 0000

F: +44 (0)20 7294 2413

**If you have a complaint, or any suggestions for improvement about any of the services that we provide, email: [feedbackandcomplaints@cityandguilds.com](mailto:feedbackandcomplaints@cityandguilds.com)**

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