

VTCT Level 3 Certificate in Management and Leadership

Operational start date: **1 May 2013**
Credit value: **16**
Total Qualification Time (TQT): **160**
Guided learning hours (GLH): **160**
Qualification number: **600/7926/5**

Statement of unit achievement

By signing this statement of unit achievement you are confirming that all learning outcomes, assessment criteria and range statements (if/where applicable) have been achieved under specified conditions, and that the evidence gathered is authentic.

This statement of unit achievement table must be completed prior to claiming certification.

Unit code	Date achieved	Learner signature	Assessor initials	IV signature (if sampled)
Mandatory units				
UV31332				
UV31333				
Optional units				

The qualification

Introduction

The VTCT Level 3 Certificate in Management and Leadership is a qualification that will progress you within your current role or to align your knowledge and skills required to meet future personal or organisational goals and objectives.

You will be provided with an understanding of the fundamental management and leadership knowledge and skills that may be required for employment in a range of public, private and voluntary sectors.

The qualification continues from the management and leadership focus from the Award, further developing knowledge and skills that may be required in key areas of management and leadership.

National Occupational Standards (NOS)

Units in this qualification have been mapped to the relevant NOS (where applicable). This qualification is regulated on the Regulated Qualifications Framework (RQF).

Prerequisites

There are no formal prerequisite qualifications that you must have prior to undertaking this qualification.

Your centre will have ensured that you have the required knowledge, understanding and skills to enrol and successfully achieve this qualification.



Progression

On completion of this qualification you may choose to undertake further study; qualifications you could progress to include:

- VTCT Level 3 Certificate in Business Start-Up
- VTCT Level 3 Certificate in Preparing to Set up a New Business
- VTCT Level 3 Certificate in Salon Management
- VTCT Level 3 Certificate in Customer Service
- Level 5 Certificate in Management and Leadership
- Level 5 Diploma in Management and Leadership

Alternatively, you may wish to seek employment in a managerial role within a variety of sectors.

Qualification structure

Total credits required - 16 (minimum)

All mandatory units must be completed.

Mandatory units - 7 credits

VTCT unit code	Ofqual unit reference	Unit title	Credit value	GLH
UV31332	R/602/0413	Key principles of management and leadership	5	50
UV31333	H/602/0416	Improving your own management and leadership performance	2	20

Optional units - 9 credits (minimum)

VTCT unit code	Ofqual unit reference	Unit title	Credit value	GLH
UV21328	D/504/6292	Understanding marketing	4	32
UV21329	D/602/0401	Developing working relationships with team members	3	30
UV31341	Y/602/0459	Environmental and ethical issues in management	3	30
UV31339	A/602/0454	Principles of budgets and financial information	3	30
UV31334	M/602/0418	Managing the delivery of customer service	3	30
UV31335	K/602/0403	Coaching skills in team leading and management	3	30
UV31340	J/602/0411	Health and safety risk assessment in your team	3	30
UV41336	L/602/0457	Principle of project management	3	30
UV41331	H/602/0450	Supporting organisational change initiatives	3	30
UV41330	L/602/0443	Recruiting and selecting staff	3	30
UV31338	Y/602/0445	Appraising and developing staff	3	30
UV31342	Y/602/0462	Managing physical resources	3	30

Guidance on assessment

This book contains the mandatory units that make up this qualification. Optional units will be provided in additional booklets (if applicable). Where indicated, VTCT will provide assessment materials. Assessments may be internal or external. The method of assessment is indicated in each unit.

Internal assessment

(any requirements will be shown in the unit)

Assessment is set, marked and internally verified by the centre to clearly demonstrate achievement of the learning outcomes. Assessment is sampled by VTCT external verifiers.

External assessment

(any requirements will be shown in the unit)

Externally assessed question papers completed electronically will be set and marked by VTCT.

Externally assessed hard-copy question papers will be set by VTCT, marked by centre staff and sampled by VTCT external verifiers.

Assessment explained

VTCT qualifications are assessed and verified by centre staff. Work will be set to improve your practical skills, knowledge and understanding. For practical elements, you will be observed by your assessor. All your work must be collected in a portfolio of evidence and cross-referenced to requirements listed in this record of assessment book.

Your centre will have an internal verifier whose role is to check that your assessment and evidence is valid and reliable and meets VTCT and regulatory requirements.

An external verifier, appointed by VTCT, will visit your centre to sample and quality-check assessments, the internal verification process and the evidence gathered. You may be asked to attend on a different day from usual if requested by the external verifier.

This record of assessment book is your property and must be in your possession when you are being assessed or verified. It must be kept safe. In some cases your centre will be required to keep it in a secure place. You and your course assessor will together complete this book to show achievement of all learning outcomes, assessment criteria and ranges.



Creating a portfolio of evidence

As part of this qualification you are required to produce a portfolio of evidence. A portfolio will confirm the knowledge, understanding and skills that you have learnt. It may be in electronic or paper format.

Your assessor will provide guidance on how to prepare the portfolio of evidence and how to show practical achievement and understanding of the knowledge required to successfully complete this qualification. It is this booklet along with the portfolio of evidence that will serve as the prime source of evidence for this qualification.

Evidence in the portfolio may take the following forms:

- Observed work
- Witness statements
- Audio-visual media
- Evidence of prior learning or attainment
- Written questions
- Oral questions
- Assignments
- Case studies

All evidence should be documented in the portfolio and cross-referenced to unit outcomes. Constructing the portfolio of evidence should not be left to the end of the course.

Many frequently asked questions and other useful information are detailed in the VTCT Candidate's Handbook, which is available on the VTCT website at www.vtct.org.uk/students. Other questions should be addressed to the tutor, lecturer or assessor.

Unit assessment methods

This section provides an overview of the assessment methods that make up each unit in this qualification. Detailed information on assessment is provided in each unit.

Mandatory unit				
		External	Internal	
VTCT unit code	Unit title	Question paper(s)	Observation(s)	Portfolio of evidence
UV31332	Key principles of management and leadership	0	✗	✓
UV31333	Improving your own management and leadership performance	0	✗	✓

Mandatory unit				
		External	Internal	
VTCT unit code	Unit title	Question paper(s)	Observation(s)	Portfolio of evidence
UV21328	Understanding marketing	0	✗	✓
UV21329	Developing working relationships with team members	0	✗	✓
UV31341	Environmental and ethical issues in management	0	✗	✓
UV31339	Principles of budgets and financial information	0	✗	✓
UV31334	Managing the delivery of customer service	0	✗	✓
UV31335	Coaching skills in team leading and management	0	✗	✓
UV31340	Health and safety risk assessment in your team	0	✗	✓
UV41336	Principle of project management	0	✗	✓
UV41331	Supporting organisational change initiatives	0	✗	✓
UV41330	Recruiting and selecting staff	0	✗	✓
UV31338	Appraising and developing staff	0	✗	✓
UV31342	Managing physical resources	0	✗	✓

Unit glossary

	Description
VTCT product code	All units are allocated a unique VTCT product code for identification purposes. This code should be quoted in all queries and correspondence to VTCT.
Unit title	The title clearly indicates the focus of the unit.
National Occupational Standards (NOS)	NOS describe the skills, knowledge and understanding needed to undertake a particular task or job to a nationally recognised level of competence.
Level	Level is an indication of the demand of the learning experience; the depth and/or complexity of achievement and independence in achieving the learning outcomes.
Credit value	This is the number of credits awarded upon successful achievement of all unit outcomes. Credit is a numerical value that represents a means of recognising, measuring, valuing and comparing achievement.
Guided learning hours (GLH)	The activity of a learner in 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.
Total qualification time (TQT)	The number of hours an awarding organisation has assigned to a qualification for Guided Learning and 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. This includes assessment, which takes place as directed - but, unlike Guided Learning, not under the immediate guidance or supervision of - a lecturer, supervisor, tutor or other appropriate provider of education or training.
Observations	This indicates the minimum number of competent observations, per outcome, required to achieve the unit.
Learning outcomes	The learning outcomes are the most important component of the unit; they set out what is expected in terms of knowing, understanding and practical ability as a result of the learning process. Learning outcomes are the results of learning.
Evidence requirements	This section provides guidelines on how evidence must be gathered.
Observation outcome	An observation outcome details the tasks that must be practically demonstrated to achieve the unit.
Knowledge outcome	A knowledge outcome details the theoretical requirements of a unit that must be evidenced through oral questioning, a mandatory written question paper, a portfolio of evidence or other forms of evidence.
Assessment criteria	Assessment criteria set out what is required, in terms of achievement, to meet a learning outcome. The assessment criteria and learning outcomes are the components that inform the learning and assessment that should take place. Assessment criteria define the standard expected to meet learning outcomes.
Range	The range indicates what must be covered. Ranges must be practically demonstrated in parallel with the unit's observation outcomes.

UV31332

Key principles of management and leadership

The aim of this unit is to develop your knowledge and understanding of the key principles of management and leadership. You will learn how to set objectives with team members and delegate work whilst being able to promote quality in the workplace.

Level

3

Credit value

5

GLH

50

Observation(s)

0

External paper(s)

0



Key principles of management and leadership

Learning outcomes

On completion of this unit you will:

1. Know differences between leadership and management
2. Understand key issues of leadership
3. Understand the implications of delegating work to others
4. Understand the purpose of setting work objectives with team members
5. Know the importance of promoting quality in the workplace

Evidence requirements

1. *Knowledge outcomes*
There must be evidence that you possess all the knowledge and understanding listed in the Knowledge section of this unit. You are encouraged to produce evidence which is applied to realistic work environments either your own or one of your choice. This evidence may include projects, assignments, case studies, reflective accounts, oral/written questioning and/or other forms of evidence.
2. *Tutor/Assessor guidance*
You will be guided by your tutor/assessor on how to achieve learning outcomes in this unit. All outcomes must be achieved.
3. *External paper*
There is no external paper requirement for this unit.

Developing knowledge

Achieving knowledge outcomes

You will be guided by your tutor and assessor on the evidence that needs to be produced. Your knowledge and understanding will be assessed using the assessment methods listed below*:

- Projects
- Observed work
- Witness statements
- Audio-visual media
- Evidence of prior learning or attainment
- Written questions
- Oral questions
- Assignments
- Case studies
- Professional discussion
- Presentations

Where applicable your assessor will integrate knowledge outcomes into practical observations through professional discussion and/or oral questioning.

When a criterion has been orally questioned and achieved, your assessor will record this evidence in written form or by other appropriate means. There is no need for you to produce additional evidence as this criterion has already been achieved.

Some knowledge and understanding outcomes may require you to show that you know and understand how to do something. If you have practical evidence from your own work that meets knowledge criteria, then there is no requirement for you to be questioned again on the same topic.

**This is not an exhaustive list.*

Knowledge



Learning outcome 1

Know differences between leadership and management

You can:	Portfolio reference
a. Outline the functions of management	
b. Describe the skills associated with leadership	
c. Describe the differences between leadership and management	



Learning outcome 2

Understand key issues of leadership

You can:	Portfolio reference
a. Describe methods of allocating work to others	
b. Compare ways of managing conflict	
c. Analyse the links between leadership skills and motivation	



Learning outcome 3

Understand the implications of delegating work to others

You can:	Portfolio reference
a. Describe the purpose of delegation	
b. Describe ways of co-ordinating delegated work	
c. Analyse possible psychological barriers to delegation	



Learning outcome 4

Understand the purpose of setting work objectives with team members

You can:	Portfolio reference
a. Describe the value of setting agreed work objectives with team members	
b. Compare ways of providing support to meet work objectives with team members	



Learning outcome 5

Know the importance of promoting quality in the workplace

You can:	Portfolio reference
a. Outline ways of developing a quality culture in the workplace	
b. Describe possible barriers to promoting quality in the workplace	

Unit content



This section provides guidance on the recommended knowledge and skills required to enable you to achieve each of the learning outcomes in this unit. Your tutor/assessor will ensure you have the opportunity to cover all of the unit content.

Learning outcome 1: Know differences between leadership and management

Functions of management: Functions of management (Henri Fayol), management theories, Frederick Taylor (Scientific Management), Max Weber (Bureaucratic Management), Elton Mayo (Human Relations Management), Peter Drucker (Management by Objectives); management responsibilities (Henri Fayol 14 principles), management skills (professional, technical, conceptual).

Leadership skills: John Adair (leadership qualities), John Adair (Action Centred Leadership), leadership development;

leadership styles, Kurt Lewin (autocratic, democratic, laissez-faire), Tannenbaum and Schmidt (Continuum Theory), French and Raven (Five Forms of Power), Max Weber (Three Types of Authority).

Management and leadership differences: Concept of management, concept of leadership, Warren Bennis (leadership), Bernard Bass (transactional and transformational leadership).

Learning outcome 2: Understand key issues of leadership

Allocating work: Defining and agreeing objectives, setting SMART objectives (specific, measurable, achievable, realistic, time-bound), resource analysis, agreeing appropriate methods and scheduling activities, agreeing and allocating responsibilities, reviewing and evaluating individual and team performance, monitoring tasks and communicating changes appropriately, keeping relevant people informed, negotiation skills, progress and review meetings.

Managing conflict: Organisational and interpersonal conflict, identifying conflict at work (group and individual), causes of conflict, effects of conflict (destructive and

constructive), conflict management models (Blake and Mouton, Rahim's meta model, Maccoby and Studder), resolving conflict (five conflict management techniques).

Approaches to motivation: Definition, intrinsic and extrinsic motivation, Maslow's hierarchy of needs, Herzberg's two factor theory, Victor Vroom's Expectancy Theory, Douglas McGregor's Theory X and Theory Y.



Learning outcome 3: Understand the implications of delegating work to others

Purpose of delegation: Delegation definition, six principles of delegation, benefits of delegation (to the manager, organisation and staff), delegation and motivation, symptoms of poor delegation, levels of delegation and decision making (Tannenbaum and Schmidt), responsibility and accountability, identification of work, types of work to delegate, what not to delegate, matching work to delegates, effective delegation process, delegation plan, learning curve, learning styles (VAK), conscious/unconscious competence.

Co-ordinating delegated work: One-to-one communication skills, agreeing delegated work, determining critical review points, empowerment, accountability, self-managed teams, coaching, coaching principles, monitoring and review of learning, evaluation and feedback, review meetings, feedback skills, basic project plan (Gantt charts), exception reporting.

Psychological barriers: Managers' barriers, staff barriers, avoiding the pitfalls.

Learning outcome 4: Understand the purpose of setting work objectives with team members

The value of setting objectives: Setting and agreeing objectives with individuals and teams, the link between objectives (individual, team and organisational), setting SMART objectives, the benefits of agreeing objectives to individuals and the organisation.

Support: Coaching and mentoring individuals (one-to-one review meetings, feedback skills, review of learning), external and internal support (from colleagues, through motivation, training, educational support).

Monitoring progress: Simple project management tools (activity lists, to-do lists, Gantt charts, work schedules), regular reviews, reporting and exception reporting, review meetings, monitoring the use of resources, evaluation and feedback to effect appropriate changes.



Learning outcome 5: Know the importance of promoting quality in the workplace

Approaches to quality: Defining quality, dimensions of quality, customer perception, design quality and process quality, quality systems, quality control, quality assurance, cost of quality, dependability, certification and accreditation, standards.

Theoretical approaches: The traditional approach, Total Quality (TQ), TQ Principles, Total Quality Management (TQM), TQM philosophy, ISO 9000 family of standards, Investors in People (IiP), Investors in Diversity (IiD), self-assessment and audit, benchmarking.

Promoting a quality culture: Finding ways to improve quality, working as a team, quality circles, tools and techniques (PDCA (plan-do-check-act), Fishbone, 5 Whys, 5's), working conditions, zero defects programmes, improvement exercise.

Barriers to quality: Procedures and processes, organisational culture, lack of commitment from the top, poor communication, unavailability of resource (physical, financial, human), time constraints.

UV31333

Improving your own management and leadership performance

The aim of this unit is to develop the knowledge, understanding and skills required to improve your own management and leadership performance. You will learn how to produce a personal development plan and how to monitor and review your own performance.

Level

3

Credit value

2

GLH

20

Observation(s)

0

External paper(s)

0



Improving your own management and leadership performance

Learning outcomes

On completion of this unit you will:

1. Know the importance of management and leadership skills
2. Understand how to assess career and personal goals
3. Understand the importance of having a personal development plan to improve own management and leadership performance

Evidence requirements

1. *Knowledge outcomes*

There must be evidence that you possess all the knowledge and understanding listed in the Knowledge section of this unit. You are encouraged to produce evidence which is applied to realistic work environments either your own or one of your choice. This evidence may include projects, assignments, case studies, reflective accounts, oral/written questioning and/or other forms of evidence.

2. *Tutor/Assessor guidance*

You will be guided by your tutor/assessor on how to achieve learning outcomes in this unit. All outcomes must be achieved.

3. *External paper*

There is no external paper requirement for this unit.

Developing knowledge

Achieving knowledge outcomes

You will be guided by your tutor and assessor on the evidence that needs to be produced. Your knowledge and understanding will be assessed using the assessment methods listed below*:

- Projects
- Observed work
- Witness statements
- Audio-visual media
- Evidence of prior learning or attainment
- Written questions
- Oral questions
- Assignments
- Case studies
- Professional discussion
- Presentations

Where applicable your assessor will integrate knowledge outcomes into practical observations through professional discussion and/or oral questioning.

When a criterion has been orally questioned and achieved, your assessor will record this evidence in written form or by other appropriate means. There is no need for you to produce additional evidence as this criterion has already been achieved.

Some knowledge and understanding outcomes may require you to show that you know and understand how to do something. If you have practical evidence from your own work that meets knowledge criteria, then there is no requirement for you to be questioned again on the same topic.

**This is not an exhaustive list.*

Knowledge



Learning outcome 1

Know the importance of management and leadership skills

You can:

Portfolio reference

- a. Describe the knowledge and skills needed for management and leadership



Learning outcome 2

Understand how to assess career and personal goals

You can:	Portfolio reference
a. Describe the importance of setting personal work objectives	
b. Compare ways to collect feedback to improve management and leadership performance	
c. Analyse ways to use feedback to improve management and leadership performance	



Learning outcome 3

Understand the importance of having a personal development plan to improve own management and leadership performance

You can:	Portfolio reference
a. Describe how to produce a plan using a skills audit	
b. Describe resources and activities needed to meet objectives of a personal development plan	
c. Analyse the importance of monitoring a personal development plan	
d. Describe the importance of reviewing a personal development plan	

Unit content



This section provides guidance on the recommended knowledge and skills required to enable you to achieve each of the learning outcomes in this unit. Your tutor/assessor will ensure you have the opportunity to cover all of the unit content.

Learning outcome 1: Know the importance of management and leadership skills

Management and leadership: Listening, speaking and writing skills, body language, non-verbal communication, information technology skills, communicating information, presentation skills, stress management, time management, leadership theory and the importance of leadership styles, role and qualities of a leader.

Learning outcome 2: Understand how to assess career and personal goals

Setting personal work objectives: Identifying existing skills, identifying future skills required, identifying and aligning objectives with skills gap, setting SMART objectives (specific, measurable, achievable, realistic, time-bound).

Collecting feedback: Identifying feedback sources, formal and informal feedback, appraisals, 360° appraisal, performance development reviews, one-to-one meetings, continuing professional development, self-assessment questionnaires, personal SWOT analysis (strengths, weaknesses, opportunities, threats), discussions with colleagues, friends, family.

Using feedback to improve performance: Giving and receiving constructive feedback, review of self-assessment, identification of development needs to meet current and future roles,

identification of education and training needs, prioritising development needs against short, medium and long term objectives.



Learning outcome 3: Understand the importance of having a personal development plan to improve own management and leadership performance

Skills audit: Definition of an audit, identification of professional, technical and personal skills, use of feedback sources, aligning leadership performance skills with future personal and work objectives, prioritising short medium and long term objectives, personal development plan uses and importance in meeting future needs.

Resources to meet objectives: Internal and external education and training, National Vocational Qualifications (NVQs), Vocational Related Qualifications (VRQs), distance learning, on-the-job training, mentors, self-study, computer-based training, peer support, books, internet, availability of resources (time, money, people).

Monitoring plans: Importance, identification of what has been achieved, planned against actual, agreeing necessary adjustments and further development activities, recording results, setting dates for next review, involvement of appropriate people.

Reviewing plans: Importance, maintaining focus, motivation, to revise in the light of change, conducting reviews (who, what, where, when, how, why), compare achievements with objectives, reflect on learning, feedback, reflection on progress and success.

Notes

Use this area for making notes and drawing diagrams


