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## Overview

This standard is about providing individuals within your team or area of responsibility with opportunities to address their learning needs and develop their potential to the full.

This standard is relevant to managers and leaders at all levels who have individuals reporting to them.

This standard links closely with all the other standards in key area *DC Develop and support individuals* and also with *CFAM&LAA2 Develop your knowledge, skills and competence, which is about self development*.

#### Performance criteria

- You must be able to:*
- P1 Promote the benefits of learning to people in your area of responsibility and recognise their willingness and efforts to learn.
  - P2 Give individuals objective, specific and valid feedback on their work performance, discussing and agreeing how they can improve.
  - P3 Engage individuals in identifying and obtaining information on a range of possible learning activities to address identified learning needs.
  - P4 Discuss with individuals future roles and responsibilities that are compatible with their competences and potential.
  - P5 Discuss and agree personal development plans which include learning activities to be undertaken, the learning objectives to be achieved, the required resources and timescales.
  - P6 Support individuals in undertaking learning activities, making required resources available and making efforts to remove any obstacles to learning.
  - P7 Provide individuals with appropriate opportunities to apply their developing competences in the workplace.
  - P8 Recognise and make use of unplanned learning opportunities.
  - P9 Discuss with individuals their experience of learning activities and the extent to which learning objectives have been achieved.
  - P10 Discuss with individuals their progress and their readiness to take on new roles and responsibilities, and agree the support and supervision they will require.
  - P11 Appoint individuals to roles and responsibilities that are compatible with their competences and potential.
  - P12 Provide individuals with the support and supervision they require and ensure they receive specific feedback to enable them to improve their performance.
  - P13 Discuss and agree revisions to personal development plans in the light of their performance, learning activities undertaken and any wider changes.
  - P14 Encourage people to take responsibility for their own learning and development, including practising and reflecting on what they have learned.

## CFAM&LDC2

### Support individuals' learning and development

P15 Seek and make use of specialist expertise, where required.

## Knowledge and understanding

*You need to know and understand:*

### General knowledge and understanding

- K1 The benefits of learning for individuals and organisations and how to promote these.
- K2 Ways in which you can develop a culture in which learning is valued and willingness and efforts to learn are recognised.
- K3 How to identify potential future roles and responsibilities for individuals.
- K4 How to provide individuals with the support and supervision they need.
- K5 How to provide individuals with objective, specific and valid feedback designed to improve their performance.
- K6 How to prioritise individuals' learning needs, including taking account of organisational needs and priorities and the personal and career development needs of individuals.
- K7 Different types of learning activities, their advantages and disadvantages and the required resources (for example, time, fees, substitute staff).
- K8 How/where to identify and obtain information on different learning activities.
- K9 Why it is important for individuals to have a written personal development plan and what it should contain (for example, identified learning needs, learning activities to be undertaken and the learning objectives to be achieved, timescales and required resources).
- K10 How to set learning objectives which are SMART (Specific, Measurable, Agreed, Realistic and Time-bound).
- K11 What type of support individuals might need to undertake learning activities, the resources needed and the types of obstacles they may face and how they can be resolved.
- K12 How to evaluate whether learning activities have achieved their intended learning objectives.
- K13 The importance of regularly reviewing and updating personal development plans in the light of performance, any learning activities undertaken and any wider changes.
- K14 How to take account of equality legislation, any relevant codes of practice and general diversity and inclusion issues in providing learning opportunities for colleagues.

### Support individuals' learning and development

K15 How to encourage people to take responsibility for their own learning and development, including personal reflection on their performance.

K16 Sources of specialist expertise in relation to identifying and providing learning for colleagues.

#### **Industry/sector specific knowledge and understanding**

*You need to know and understand:*

K17 Industry/sector requirements for the development or maintenance of knowledge, skills and competence.

K18 Learning issues and specific initiatives and arrangements that apply within the industry/sector.

K19 Working culture and practices of the industry/sector.

#### **Context specific knowledge and understanding**

*You need to know and understand:*

K20 Individuals in your team, their roles, responsibilities, competences and potential.

K21 Identified gaps in individuals' knowledge, skills and competence.

K22 Identified learning needs of individuals.

K23 Learning styles or combinations of styles preferred by individuals.

K24 Individuals' personal development plans.

K25 Learning activities and resources available in/to your organisation.

K26 Opportunities for individuals' career development in your organisation.

K27 Opportunities for applying developing competences in the workplace.

K28 Support and supervision available to individuals within your organisation.

K29 Sources of specialist expertise available in relation to identifying and providing learning and development opportunities for individuals.

K30 Your organisation's learning and personal and professional development policy and practices.

K31 Your organisation's policies in relation to equality and diversity.

K32 Your organisation's performance appraisal systems.

## Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people
- 2 Recognise changes in circumstances promptly and adjust plans and activities accordingly
- 3 Find practical ways to overcome obstacles
- 4 Show empathy with others' needs, feelings and motivations and take an active interest in their concerns
- 5 Support others to make effective use of their abilities
- 6 Recognise the achievements and success of others
- 7 Develop knowledge, understanding, skills and performance in a systematic way
- 8 Inspire others with the desire to learn
- 9 Show integrity, fairness and consistency in decision making
- 10 Say no to unreasonable requests
- 11 Address performance issues promptly and resolve them directly with the people involved
- 12 Clearly agree what is expected of others and hold them to account

## Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Coaching
- Communicating
- Decision-making
- Delegating
- Empathising
- Empowering
- Evaluating
- Inspiring
- Involving others
- Leading by example
- Mentoring
- Monitoring
- Motivating
- Persuading
- Planning
- Problem solving
- Providing feedback
- Questioning
- Reviewing
- Setting objectives
- Thinking strategically
- Valuing and supporting others

## CFAM&LDC2

### Support individuals' learning and development

|                                 |  |
|---------------------------------|--|
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| <b>Relevant occupations</b>     | Managers and Senior Officials; Marketing occupations; Team Leader; Animal Facility Manager; Operations Manager |
| <b>Suite</b>                    | Management & Leadership; Marketing (2013); Animal Technology   |
| <b>Key words</b>                | Management & leadership; support; learning & development; Marketing  |

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## Overview

This standard is about providing direction to the members of your team and motivating and supporting them to achieve both team objectives and their individual work objectives.

It is relevant to team leaders, project managers and other managers who are responsible for leading teams. *CFAM&LBA1 Lead your organisation* and *CFAM&LBA2 Provide leadership in your area of responsibility* are complementary standards for managers with wider responsibility.

This standard links to a number of other standards in the key area *DB Manage teams* and also to *CFAM&LFA5 Manage projects*.

## Performance criteria

- You must be able to:*
- P1 Clearly communicate the purpose and objectives of the team to all members.
  - P2 Involve members in planning how the team will achieve its objectives.
  - P3 Ensure that each member of the team has individual work objectives and understands how these contribute to achieving the objectives of the team and the organisation as a whole.
  - P4 Encourage and support team members to achieve their individual work objectives and those of the team and provide recognition when objectives have been achieved.
  - P5 Steer the team successfully through difficulties and challenges.
  - P6 Encourage and recognise creativity and innovation within the team.
  - P7 Empower team members to develop their own ways of working and take their own decisions within agreed boundaries.
  - P8 Encourage team members to take responsibility for their own development needs.
  - P9 Give team members support and advice when they need it especially during periods of setback and change.
  - P10 Motivate team members to present their own ideas and listen to what they say.
  - P11 Encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead.
  - P12 Win, through your performance and behaviour, the trust and support of team members.

## Knowledge and understanding

*You need to know and understand:*

### **General knowledge and understanding**

- K1 Different ways of communicating effectively with members of a team.
- K2 How to set objectives which are SMART (Specific, Measurable, Agreed, Realistic and Time-bound).
- K3 How to plan the achievement of team objectives and the importance of involving team members in this process.
- K4 The importance of and being able to show team members how personal work objectives contribute to achievement of team objectives.
- K5 How to get and make use of feedback from people on your leadership performance.
- K6 How to select and successfully apply methods for motivating, supporting and encouraging team members and recognising their achievements.
- K7 Types of difficulties and challenges that may arise and ways of identifying and addressing them.
- K8 The importance of encouraging others to take the lead and ways in which this can be achieved.
- K9 How to encourage and recognise creativity and innovation within a team.

*You need to know and understand:*

### **Industry/sector specific knowledge and understanding**

- K10 Legal, regulatory and ethical requirements in the industry/sector.

*You need to know and understand:*

### **Context specific knowledge and understanding**

- K11 Individuals within your team, their roles, responsibilities, competences and potential.
- K12 Your team's purpose, objectives and plans.
- K13 The personal work objectives of members of your team.
- K14 The types of support and advice that team members are likely to need and how to respond to these.
- K15 Standards of performance for the work of your team.

## Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Listen actively, ask questions, clarify points and restate or rephrase statements to check mutual understanding
- 2 Make time available to support others
- 3 Support others to make effective use of their abilities
- 4 Encourage others to take decisions autonomously, when appropriate
- 5 Recognise the achievements and success of others
- 6 Encourage and welcome feedback from others and use this feedback constructively
- 7 Act within the limits of your authority
- 8 Refer issues outside the limits of your authority to appropriate people
- 9 Show integrity, fairness and consistency in decision-making
- 10 Take personal responsibility for making things happen
- 11 Protect your own and others' work against negative impacts
- 12 Seek to understand people's needs and motivations
- 13 Create a sense of common purpose
- 14 Model behaviour that shows, and inspires others to show, respect, helpfulness and cooperation

## Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Communicating
- Consulting
- Decision-making
- Following
- Involving others
- Leadership
- Leading by example
- Managing conflict
- Monitoring
- Motivating
- Obtaining feedback
- Planning
- Problem solving
- Providing feedback
- Setting objectives
- Team building
- Valuing and supporting others

# CFAM&LBA3

## Lead your team

|                                 |  |
|---------------------------------|--|
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| <b>Relevant occupations</b>     | Managers and Senior Officials; Marketing occupations; Animal Facility Manager; Operations Manager; Team Leader; Arts, Media and Publishing; Librarians and Related Professionals; Crafts, creative arts and design; Quality and Customer Care Managers; Artistic and Literary Occupations; Customer Service Occupations; Welding Supervisor; |
| <b>Suite</b>                    | Management & Leadership; Marketing (2013); Animal Technology; Cultural & Heritage Venue Operations; Cultural and Heritage Venue Management; Welding Supervision;   |
| <b>Key words</b>                | Management & leadership; lead; team; team leaders; project managers; Marketing; venue; Welding Supervision;  |

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## Overview

This standard is about recruiting and selecting people to undertake identified activities or work roles within your area of responsibility.

This standard is not intended for human resources specialists. It is relevant to managers and leaders who are responsible for recruiting and selecting people for their organisation or their particular area of responsibility.

This standard links closely to *CFAM&LDA1 Plan the workforce* and *CFAM&LDA2 Induct individuals into their roles*.

#### Performance criteria

- You must be able to:*
- P1 Engage appropriate people within your organisation and other key stakeholders in recruiting and selecting people.
  - P2 Ensure you comply with your organisation's recruitment and selection policies and procedures.
  - P3 Seek and make use of specialist resources, where required.
  - P4 Review, on a regular basis, the work required in your area of responsibility, identifying any shortfall in the number of people or their knowledge, skills and competence.
  - P5 Identify and evaluate the options for addressing any identified shortfalls and decide on the best options to follow.
  - P6 Ensure the availability of up-to-date job descriptions and person specifications where there is a need to recruit.
  - P7 Establish the stages in the recruitment and selection process for identified vacancies, the methods that will be used, the associated timings and who is going to be involved.
  - P8 Ensure that any information on vacancies is fair, clear and accurate before it goes to potential applicants.
  - P9 Draw up fair, clear and appropriate criteria for assessing and selecting applicants, taking into account their knowledge, skills and competence and their potential to work effectively with colleagues.
  - P10 Ensure the recruitment and selection process is carried out fairly, consistently and effectively.
  - P11 Keep applicants fully informed about the progress of their applications, in line with organisational policy.
  - P12 Offer positions to applicants who best meet the selection criteria.
  - P13 Provide clear, accurate and constructive feedback to unsuccessful applicants, in line with organisational policy.
  - P14 Evaluate whether the recruitment and selection process has been successful and identify any areas for improvements.
  - P15 Seek to provide work opportunities that challenge individuals to make effective use of their knowledge, skills and competences and develop their potential.

## CFAM&LDA2

### Recruit, select and retain people

- P16 Review individuals' performance and development systematically and provide feedback designed to improve their performance.
- P17 Recognise individuals' performance and recognise their achievements in line with your organisation's policy.
- P18 Help individuals appreciate the opportunities for career and professional development within the organisation and to take advantage of them.
- P19 Provide opportunities for individuals to discuss issues about their work or development with you.
- P20 Identify when individuals are dissatisfied with their work or development and seek with them solutions that meet both the individual's and organisation's needs.
- P21 Recognise when individuals' values, motivations and aspirations are incompatible with your organisation's vision, objectives and values and seek alternative solutions with the individuals concerned.
- P22 Discuss their reasons with individuals planning to leave your organisation and seek to resolve any issues or misunderstandings.

## Knowledge and understanding

*You need to know and understand:*

### **General knowledge and understanding**

- K1 How to engage employees and other stakeholders in recruitment, selection and retention activities.
- K2 How to review the workload in your area in order to identify shortfalls in the number of colleagues and the pool of knowledge, skills and competence.
- K3 How to identify actual skills and avoid stereotyping with regard to skills levels and work ethics.
- K4 Different options for addressing identified shortfalls and their associated advantages and disadvantages.
- K5 What job descriptions and person specifications should cover and why it is important to consult with others in producing or updating them.
- K6 Different stages in the recruitment and selection process and why it is important to consult with others on the stages, recruitment and selection methods to be used, associated timings and who is going to be involved.
- K7 Different recruitment and selection methods and their associated advantages and disadvantages.
- K8 Why it is important to give fair, clear and accurate information on vacancies to potential applicants.
- K9 How cultural differences in language, body language, tone of voice and dress can differ from expectations.
- K10 How to measure applicants' competence and capability and assess whether they meet the stated requirements of the vacancy.
- K11 How to take account of equality, diversity and inclusion issues, including legislation and any relevant codes of practice, when recruiting and selecting people and keeping colleagues.
- K12 The importance of keeping applicants informed about progress and how to do so.
- K13 The importance of providing clear, accurate and constructive feedback to unsuccessful applicants and how to do so.
- K14 How to review the effectiveness of recruitment and selection in your area.
- K15 Active listening and questioning techniques.

## CFAM&LDA2

### Recruit, select and retain people

- K16 The importance of recognising individual performance and how to do so.
- K17 The importance of providing opportunities for individuals to discuss issues with you.
- K18 Alternative solutions that may be deployed when individuals' values, motivations and aspirations are incompatible with their work or your organisation's vision, objectives and values.
- K19 The importance of understanding the reasons why individuals are leaving an organisation.

#### **Industry/sector specific knowledge and understanding**

*You need to know and understand:*

- K20 Recruitment and selection issues and specific initiatives and arrangements within the industry/sector.
- K21 Working culture and practices of the industry/sector.

#### **Context specific knowledge and understanding**

*You need to know and understand:*

- K22 Individuals within your area of responsibility, their roles, responsibilities, competences and potential.
- K23 Work requirements in your area.
- K24 Agreed operational plans and changes in your area.
- K25 The staff turnover rate in your area.
- K26 Job descriptions and person specifications for confirmed vacancies.
- K27 Local employment market conditions.
- K28 Your organisation's structure, values and culture.
- K29 Employment policies and practices within your organisation – including recruitment, selection, induction, development, promotion, retention, redundancy, dismissal, pay and other terms and conditions.
- K30 Specialist resources available to support recruitment, selection and retention, and how to make use of them.

#### Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people
- 2 Identify people's information needs
- 3 Present information clearly, concisely, accurately and in ways that promote understanding
- 4 Keep people informed of plans and developments in a timely way
- 5 Give feedback to others to help them maintain and improve their performance
- 6 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 7 Act within the limits of your authority
- 8 Show integrity, fairness and consistency in decision-making
- 9 Protect the confidentiality and security of information
- 10 Check the accuracy and validity of information
- 11 Take and implement difficult and/or unpopular decisions, where necessary

#### Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Communicating
- Consulting
- Decision-making
- Evaluating
- Information management
- Interviewing
- Monitoring
- Negotiating
- Obtaining feedback
- Planning
- Presenting information
- Problem solving
- Providing feedback
- Reviewing
- Team building
- Valuing and supporting others

## CFAM&LDA2

### Recruit, select and retain people

|                                 |   |
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| <b>Suite</b>                    | Management & Leadership; Marketing (2013); Animal Technology; Cultural and Heritage Venue Management;   |
| <b>Key words</b>                | Management & leadership; recruit; select; retain; people; Marketing; venue;   |

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## Overview

This standard is about managing people's performance to ensure the objectives of your area of responsibility are achieved. This standard is relevant to managers and leaders who are responsible for managing people's performance across the organisation or their area of responsibility.

This standard covers effective delegation and therefore links closely with *CFAM&LFA1 Implement and evaluate strategic business plans*, *CFAM&LFA2 Implement operational plans*, *CFAM&LFA4 Manage programmes* and *CFAM&LFA5 Manage projects*.

## Performance criteria

- You must be able to:*
- P1 Plan with individuals how overall objectives for your area of responsibility will be achieved, identifying any priorities or critical activities and making best use of the available resources.
  - P2 Delegate responsibilities to individuals on a fair basis taking account of:
    - P2.1 their skills, knowledge and competence
    - P2.2 their backgrounds and experience,
    - P2.3 their existing workloads, and
    - P2.4 opportunities for their development.
  - P3 Agree SMART (Specific, Measurable, Agreed, Realistic and Time-bound) objectives with individuals, including the standard of performance expected.
  - P4 Agree with individuals how and when progress towards, and achievement of, objectives will be monitored, reviewed and evaluated.
  - P5 Ensure individuals are committed to achieving their objectives and understand their unique contribution to team and organisational objectives.
  - P6 Discuss and agree with individuals effective methods for achieving their objectives and the resources, support and supervision they require.
  - P7 Provide individuals with the resources, support and supervision agreed and, where required, additional support and/or resources to deal with problems or unforeseen events.
  - P8 Monitor progress against objectives and evaluate performance against the standard expected at agreed times.
  - P9 Provide individuals with prompt, specific feedback, designed to maintain and improve their performance.
  - P10 Identify any unsatisfactory performance, discuss the causes and agree ways of improving performance with the individuals concerned.
  - P11 Review objectives with individuals at agreed times and evaluate the extent to which they have been achieved.
  - P12 Recognise successful achievement of objectives in line with your organisation's policy.
  - P13 Review plans, responsibilities and objectives periodically and in the light

## CFAM&LDB4

### Manage people's performance at work

of changes in personnel and any significant changes to organisational plans and objectives.

P14 Communicate plans, responsibilities and objectives and any changes to these clearly to those affected.

## Knowledge and understanding

*You need to know and understand:*

### General knowledge and understanding

- K1 How to plan to meet objectives, identify priorities and critical issues, and use resources effectively.
- K2 How to delegate fairly and effectively.
- K3 How to develop SMART (Specific, Measurable, Agreed, Realistic and Time-bound) objectives with individuals.
- K4 How to clarify with individuals the standards of performance required.
- K5 How to develop and agree with individuals a plan for monitoring, reviewing and evaluating their progress and achievement of objectives.
- K6 How to gain individuals' commitment to their objectives.
- K7 The methods, resources, support and supervision necessary for achieving objectives.
- K8 Cultural differences and how to take these into account when managing people's performance.
- K9 How to provide individuals with feedback designed to maintain and improve their performance.
- K10 The importance of identifying and addressing unacceptable or poor performance, and how to do so.
- K11 The importance of reviewing objectives and performance regularly, and how to do so.
- K12 How to recognise performance in line with your organisation's policy.
- K13 Principles and methods of effective communication and how to apply them.

### Industry/sector specific knowledge and understanding

*You need to know and understand:*

- K14 Industry/sector requirements for the development or maintenance of knowledge, skills and competences.
- K15 Industry/sector specific legislation, regulations, guidelines, codes of practice relating to carrying out work.

### Context specific knowledge and understanding

*You need to know and understand:*

- K16 Individuals within your area of responsibility, their roles, responsibilities, competences and potential.

## CFAM&LDB4

### Manage people's performance at work

- K17 The objectives for your area of responsibility.
- K18 The available resources for undertaking the required work.
- K19 The plan of work for your area of responsibility.
- K20 Your organisation's personal and professional development policy and procedures.
- K21 The diversity of your workforce.
- K22 Your organisation's standards or level of expected performance.
- K23 Your organisation's policies and procedures for dealing with poor performance.
- K24 Your organisation's grievance and disciplinary policies and procedures.
- K25 Your organisation's performance appraisal systems.
- K26 Your organisation's reward policy.

## Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Seize opportunities presented by the diversity of people
- 2 Recognise changes in circumstances promptly and adjust plans and activities accordingly
- 3 Present information clearly, concisely, accurately and in ways that promote understanding
- 4 Keep people informed of plans and developments in a timely way
- 5 Support others to make effective use of their abilities
- 6 Give feedback to others to help them maintain and improve their performance
- 7 Act within the limits of your authority
- 8 Show integrity, fairness and consistency in decision making
- 9 Prioritise objectives and plan work to make the effective use of time and resources
- 10 Clearly agree what is expected of others and hold them to account
- 11 Take pride in delivering high quality work
- 12 Create a sense of common purpose
- 13 Use a range of leadership styles appropriate to different people and situations

## Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Acting assertively
- Communicating
- Decision-making
- Delegating
- Empowering
- Evaluating
- Involving others
- Leadership
- Monitoring
- Motivating
- Planning
- Presenting information
- Prioritising
- Problem solving
- Providing feedback
- Reviewing
- Setting objectives
- Team building
- Valuing and supporting others

## CFAM&LDB4

### Manage people's performance at work

|                                 |   |
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| <b>Relevant occupations</b>     | Managers and Senior Officials; Marketing occupations; Animal Facility Manager; Operations Manager |
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| <b>Key words</b>                | Management & leadership; manage; performance at work; Marketing                                   |

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## Overview

This standard is about managing financial resources in order to achieve the objectives for your organisation or your area of responsibility.

This standard is for managers and leaders who manage financial resources for their organisation or a major area of responsibility, project or programme of work.

This standard links to *CFAM&LEA1 Identify and justify requirements for financial resources* and *CFAM&LEA2 Obtain financial resources*.

It also links to standards on strategic and operational management, such as, *CFAM&LFA1 Implement and evaluate strategic business plans*, *CFAM&LFA2 Implement operational plans*, *CFAM&LFA4 Manage programmes* and *CFAM&LFA5 Manage projects*.

*CFAM&LEA4 Manage budgets* is for those who manage financial resources for more limited areas of work or projects.

**Performance  
criteria**

- You must be able to:*
- P1 Confirm your financial responsibilities, including the limits of your authority, with those to whom you report.
  - P2 Engage key stakeholders in managing finance to achieve objectives for your organisation or area of responsibility.
  - P3 Gather and evaluate available financial information and the objectives and associated plans and identify priorities, potential problems and risks.
  - P4 Identify and make use of opportunities to delegate responsibility for budgets for clearly defined activities to colleagues, providing them with the required ongoing support and resources.
  - P5 Discuss and, if appropriate, negotiate delegated budgets with colleagues and agree provisional budgets.
  - P6 Develop a realistic master budget for your organisation or area and submit it for approval by those with decision-making responsibility for budgets, clearly specifying assumptions made, risks involved and how these will be managed.
  - P7 Discuss and, if appropriate, negotiate the proposed master budget with those with decision-making responsibility and communicate the final budget to colleagues in your area.
  - P8 Establish systems to monitor and evaluate performance against delegated budgets and the master budget and put contingency plans in place.
  - P9 Identify the causes of any significant variances between what was budgeted for and what actually happened and discuss and ensure prompt corrective action is taken, obtaining agreement from those with decision-making responsibility, if required.
  - P10 Propose revisions to the master budget, if necessary, in response to variances and/or significant or unforeseen developments and discuss and agree the revisions with those with decision-making responsibility.
  - P11 Provide ongoing information on the financial performance of your area to those with decision-making responsibility.
  - P12 Advise relevant people promptly if you have identified evidence of any potentially fraudulent activities.

## CFAM&LEA3

### Manage the use of financial resources

- P13 Review the financial performance of your organisation or area and identify improvements to be implemented in the future.

## Knowledge and understanding

*You need to know and understand:*

### **General knowledge and understanding**

- K1 The purposes of budgetary systems.
- K2 The importance of agreeing your financial responsibilities, including the limits of your authority, with those to whom you report.
- K3 Where to get and how to evaluate the available financial information in order to be able to prepare a realistic master budget for your area.
- K4 The importance of taking account of the objectives and associated plans of your area in developing and operating the master budget.
- K5 How to identify opportunities and delegate responsibility for budgets.
- K6 The importance of consulting with colleagues in identifying priorities, potential problems and risks and generally preparing the budget for your area.
- K7 How to discuss, negotiate and confirm budgets with colleagues in your area and with people who control the finance and the key factors that should be covered.
- K8 How to establish systems to monitor and evaluate performance against budgets.
- K9 The importance of contingency plans and the type of contingencies that may occur.
- K10 The main causes of variances and how to identify them.
- K11 What different types of corrective action could be taken to address identified variances.
- K12 The importance of agreeing revisions to the budget and communicating the changes.
- K13 The importance of providing regular information on the financial performance of your area to relevant people and what they might want to know.
- K14 Types of fraudulent activities and how to identify them.
- K15 How to review the financial performance of your area against the stated objectives.

### **Industry/sector specific knowledge and understanding**

## CFAM&LEA3

### Manage the use of financial resources

*You need to know and understand:*

- K16 Factors, trends and developments that are likely to affect financial management in your industry/sector.
- K17 Legal, regulatory and ethical requirements in the industry/sector.

#### **Context specific knowledge and understanding**

*You need to know and understand:*

- K18 The scope and nature of your area of responsibility including the vision, objectives and operational plans.
- K19 Your financial responsibilities, including the limits of your authority.
- K20 Those with budgetary responsibility in your organisation.
- K21 Financial information available in your organisation.
- K22 Activities for which budgets have been delegated.
- K23 The budgeting periods used in your organisation.
- K24 Organisational guidelines and procedures for the preparation and approval of budgets and for monitoring and reporting of performance against budgets and revising budgets.
- K25 The agreed master budget for your area, including delegated budgets.
- K26 Systems established for managing and evaluating performance against budgets.
- K27 Contingency plans put in place.
- K28 What to do and whom to contact if you suspect fraud has been committed.
- K29 Who needs information on the financial performance of your area, what information they need, when they need it and in what format.

## Behaviours

*When performing to this standard, you are likely to demonstrate the following behaviours:*

- 1 Recognise changes in circumstances promptly and adjust plans and activities accordingly
- 2 Present information clearly, concisely, accurately and in ways that promote understanding
- 3 Keep people informed of plans and developments in a timely way
- 4 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 5 Act within the limits of your authority
- 6 Identify and raise ethical concerns
- 7 Accurately calculate risks, and make provision so that unexpected events do not impede the achievement of objectives
- 8 Clearly agree what is expected of others and hold them to account
- 9 Monitor the quality of work and progress against plans and take appropriate corrective action, where necessary
- 10 Make effective use of existing sources of information
- 11 Check the accuracy and validity of information
- 12 Communicate clearly the value and benefits of a proposed course of action
- 13 Work towards win-win solutions
- 14 Identify the implications or consequences of a situation
- 15 Specify the assumptions made and risks involved in understanding a situation
- 16 Take and implement difficult and/or unpopular decisions, if necessary

## Skills

*When performing to this standard, you are likely to demonstrate the following skills:*

- Analysing
- Communicating
- Contingency planning
- Delegating
- Evaluating
- Forecasting
- Information management
- Involving others
- Monitoring
- Negotiating
- Planning
- Presenting information
- Problem solving
- Reporting
- Risk management
- Valuing and supporting others

## CFAM&LEA3

### Manage the use of financial resources

|                                 |  |
|---------------------------------|--|
| <b>Developed by</b>             | CFA Business skills @ work   |
| <b>Version number</b>           | 2.0  |
| <b>Date approved</b>            | March 2012   |
| <b>Indicative review date</b>   | March 2015   |
| <b>Validity</b>                 | Current  |
| <b>Status</b>                   | Original   |
| <b>Originating organisation</b> | CFA Business skills @ work   |
| <b>Original URN</b>             | CFAM&LEA3  |
| <b>Relevant occupations</b>     | Managers and Senior Officials; Marketing occupations; Health and Social Care; Managers and Senior Officials; Health and Social Services Officers; Childcare and Related Personal Services; Arts, Media and Publishing; Librarians and Related Professionals; Crafts, creative arts and design; Quality and Customer Care Managers; Artistic and Literary Occupations; Customer Service Occupations; Operations Manager |
| <b>Suite</b>                    | Management & Leadership; Marketing (2013); Leadership Management in Care Services; Event Security Operations; Cultural and Heritage Venue Management; Animal Technology  |
| <b>Key words</b>                | Management & leadership; finance; organisational objectives; Marketing; venue;   |

## CFAS7.7

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



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### Overview

This unit is about managing an organisation's operations in ways that are consistent with its values and ethical principles, and which fulfil legal and regulatory requirements.

Organisations must show that they act responsibly in relation to their staff, customers, investors and the communities in which they work. All types of organisations must obey the law in key areas such as health and safety, employment, finance and company law. Many organisations also have to work within specific regulations for their industry and ethical frameworks.

Organisations who want to maintain a good reputation also have to take account of the views of people in their communities on a whole range of issues such as the environment and other ways in which the organisation affects people's quality of life.

For the purposes of this unit, 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority, or a significant operating unit, with a relative degree of autonomy, within a larger organisation.

This unit is for Sales Managers, Senior Sales Managers and Key Customer Managers

## CFAS7.7

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

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#### Performance criteria

- You must be able to:*
- P1 monitor the relevant legal, regulatory, ethical and social requirements and the effect they have on your area of responsibility, including what will happen if they are not met
  - P2 develop effective policies and procedures to make sure that the organisation meets all the necessary requirements
  - P3 ensure that relevant people have a clear understanding of the policies and procedures and the importance of putting them into practice
  - P4 monitor the way that policies and procedures are put into practice and provide support
  - P5 encourage a climate of openness about meeting and not meeting the requirements
  - P6 identify and correct any failures to meet the requirements
  - P7 identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future
  - P8 provide full reports about any failures to meet the requirements to the relevant stakeholders

## CFAS7.7

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

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#### Knowledge and understanding

*You need to know and understand:*

- K1 the importance of having an ethical and value-based approach to governance and how to put this into practice
- K2 relevant legal requirements governing the running of organisations
- K3 current and emerging social attitudes to management practice and the importance of being sensitive to these

#### **Industry/sector specific knowledge and understanding**

- K4 legal, regulatory and ethical requirements in the sector
- K5 procedures to follow if the organisation does not meet the requirements
- K6 particular current and emerging social concerns and expectations that are relevant to the sector
- K7 ways in which other organisations deal with current and emerging social concerns and expectations

#### **Context specific knowledge and understanding**

- K8 the culture and values of the organisation and what effect they have on corporate governance
- K9 policies and procedures that make sure people meet the requirements
- K10 the processes for maintaining the relevant policies and procedures and making sure they continue to be effective
- K11 the different ways in which people may not meet the requirements and the risks of these actually happening
- K12 the procedures for dealing with people who do not meet the requirements, including requirements for reporting

## CFAS7.7

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

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#### Additional Information

#### Behaviours

1. you recognise changes in circumstances promptly and adjust plans and activities accordingly
2. you make time available to support others
3. you give feedback to others to help them improve their performance
4. you identify and raise ethical concerns
5. you are vigilant for potential risks
6. you make appropriate information and knowledge available promptly to those who need it and have a right to it
7. you encourage others to share information and knowledge efficiently within the constraints of confidentiality
8. you show sensitivity to stakeholders' needs and manage these effectively

## CFAS7.7

Ensure compliance with legal, regulatory, ethical and social requirements

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**Developed by** CFA Business Skills @ Work

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**Version number** 1

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**Validity** Current

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**Status** Original

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**Originating organisation** Chartered Institute of Marketing

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**Original URN** S7.7

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**Relevant occupations**  
1132 Marketing and sales managers  
3542 Sales representatives  
7113 Telephone salespersons  
7129 Sales related occupations nec

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**Suite** Sales 2010

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**Key words** Sales, sales functions, sales strategy, selling