



Review of the Management Standards and NVQs/SVQs

Sectoral Benchmarking Report

**Prepared by the Review 2002 Consortium
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1. Summary of Findings and Recommendations

As part of the review of Management Standards and National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs) an analysis was undertaken of alternative frameworks of management and leadership knowledge, skills and competence available throughout the world. This included national qualifications frameworks similar to the Management Standards from Australia, Canada, New Zealand and South Africa, bodies of knowledge developed globally by professional associations of project managers, human resources managers and hospitality managers, competency frameworks developed for leaders and managers in private and public organisations, and the Emotional Intelligence framework developed by Goleman et al¹.

Comparison between these frameworks, some of which have only been recently developed, and the Management Standards revealed significant differences in terms of coverage, emphasis and implicit or explicit management/leadership style. The comparison also suggested a number of ways in which the format and structure of Management Standards and NVQs/SVQs might be enhanced.

The key findings are described in section 5 of this report and detailed analysis of each of the benchmarks is contained within the annexes. The report's recommendations are summarised here:

1. When revising the Management Standards, consideration should be given to increasing their scope to include a greater emphasis on customer management, marketing, sales, submitting tenders, negotiating and winning contracts, procurement, partnership working, risk management and business and operational planning in line with international benchmarks. However, the focus should remain on these functions *as performed by people in general management positions*, recognising that there are specialist functions in these areas that are outside the scope of the Management Standards.
2. The themes of customer focus, sustainability, diversity and cultural sensitivity, decision-making and technology should be emphasised at appropriate points within the revised Management Standards in line with international benchmarks.
3. The Management Standards' Personal Competency Model should be reviewed to take account of the emphasis on emotional intelligence and other key behaviours found in international benchmarks.
4. Given the criticality of behavioural competencies in determining the effectiveness of managers and leaders, a specific project should be set up within or in parallel with the Management Standards review, to identify ways in which behavioural competencies can be assessed reliably and cost-effectively within the NVQ/SVQ process.
5. The revised Management Standards should be presented in such a way that managers are able to demonstrate that they have achieved the required outcome, but may use a range of different approaches to achieving it.
6. The review of the Management Standards should make explicit the primary and secondary purposes for which the standards are designed, and ensure that the revised standards can be used effectively for all these purposes.
7. The revised Management Standards should be written in a clear, direct, non-technical style using examples to help discriminate between good performance and indifferent performance.

¹ Goleman D, Boyatzis R, McKee A (2002) *The New Leaders*, Little, Brown

8. The review of the Management Standards should retain the current size of units, and the link between knowledge and performance within these units, and not follow the New Zealand and South African model of disaggregating units further.
9. Whilst such a detailed specification of knowledge is outside the scope of the review of the Management Standards, consideration should be given to a further project to compile a management body of knowledge following the example of the Project Management Body of Knowledge.
10. The review of Management NVQs and SVQs should consider alternative qualification structures, including foundation units covering behavioural competencies and key/core skills, core units describing the functions common to all managers at a particular level, and optional units according to the coverage of the individual manager's role. Optional units could be given different numbers of credits according to their size and a qualification would need to include a specified total number of credits.

2. Background

The National Occupational Standards for managers (Management Standards) were first developed by the Management Charter Initiative (MCI), the operating arm of the National Forum for Management Education and Development, in 1989 - 1991 as part of a national initiative to improve the quality and quantity of British management in response to the findings of the Handy Report². The first National Vocational Qualifications (NVQs) and Scottish Vocational Qualifications (SVQs) were awarded at the MCI national conference in Manchester in October 1991.

Since then more than 50,000 NVQs and SVQs have been awarded and the Management Standards are widely used throughout the UK as the basis for other qualifications, training programmes and performance management systems, and as points of reference for developing organisation-specific management competency frameworks.

The Management Standards at levels 3, 4 and 5 were revised by MCI in 1995 - 97 and specialist areas were developed for energy managers, quality managers, project managers and environmental managers. Standards for team leaders at level 2 were subsequently developed.

These revised Management Standards were drafted to reflect up-to-date management practice and address many of the criticisms of National Occupational Standards and NVQs/SVQs made in the Beaumont Report. In particular the standards were presented in a clear format and straightforward language and the qualification structures offered flexibility, recognising that, whilst the core of management activity may be common, individual managers' roles are all unique.

From 2000 to 2002, the Council for Excellence in Management and Leadership (CEML) commissioned a significant body of research into the current state of UK management and leadership practice and development. Its Futures Project Report³ identifies significant changes that have already occurred, emerging trends and the consequential skills needs for leaders and managers in the future.

The Management Standards Centre has been commissioned by the Projects and Standards Approvals Group (PSAG) of the Education Regulatory Bodies to undertake a comprehensive review of the Management Standards, bring them in line with best management and leadership practice both in the UK and internationally, and redraft the standards and qualifications frameworks to meet the future needs of practising managers and those who develop leaders and managers.

² Handy C, Gordon C, Gow I, Randlesome C (1987) *The Making of Managers*, NDEC/MS/BIM

³ Tate W (2000) *Futures Project: Implications for futures studies for business organisation, management and leadership*, CEML

As part of this review, the Management Standards Centre commissioned the Review 2002 Consortium to undertake a benchmarking exercise, the aim of which was *to identify how the current Management Standards benchmark against UK, European and international exemplars and how they benchmark against developing thinking about the relationship between management and leadership.*

3. Methodology

The project team adopted the following research methodology agreed with the Management Standards Centre.

3.1 Preliminary research

A wide range of sources, including personal networks, Internet, periodicals and reports of previous benchmarking activities were consulted to identify candidate exemplars against which to benchmark the Management Standards.

This preliminary research threw up a small selection of comparable national management qualifications frameworks, a very wide selection of organisational management/leadership frameworks mainly based on behavioural competences (particularly from the public sector), and a small number of bodies of management knowledge.

3.2 Developing selection criteria

To help the selection of a short list of 10 - 12 exemplars to be studied in detail, selection criteria were agreed which were designed to provide an overview of the diversity of approaches in different parts of the world. The short list should provide good coverage of all the following dimensions:

Size - used by large, medium and small organisations and partnerships, and by managers and leaders working outside a specific organisational context or across organisational and national boundaries.

Sector - used in public, private and voluntary sectors and across these sectors.

Geographical - developed and used in UK, mainland Europe, America, Asia and the rest of the world.

Provenance - developed by national authorities, sectoral authorities, professional bodies, employing organisations, academic institutions and management consultancies.

Drivers - developed in response to demand for individual development, organisational development, sector skills development, national skills development or international skills development.

Status - including both frameworks that represent the dominant model in the area in which they are used, and frameworks that represent innovative approaches.

In the event, the availability of frameworks was a key factor in determining their use as benchmarks. Lack of available frameworks meant that the voluntary sector, Asia and academic institutions are not well represented in this study.

3.3 Researching and selecting the shortlist

It was hoped to achieve wide publicity for the sectoral benchmarking project as part of publicity for the Management Standards review as a whole, but this was limited to the project information bulletin, the Management Standards Centre website and the Chartered Management Institute's networks. Few potential exemplars were proposed automatically. All shortlisted exemplars were found as a result of direct approaches to the organisations involved by the project consultants or via their personal networks.

A shortlist was drawn up using the selection criteria and this was approved by the Project Steering Group.

3.4 Development of contacts

Where necessary, direct contact was made by the project consultants to owners of the exemplar frameworks. This was all done by telephone, e-mail and personal visits (in UK). No overseas visits were required.

3.5 Collection of materials

The exemplar frameworks were obtained from the owners. In one instance, the framework was in French and this has been translated in part by a French-speaking member of the consultancy team.

3.6 Analysis of the exemplars

The exemplars were analysed to identify their coverage, diversity of management practices, uses to which they are put and format in which they are presented. This information was compared to the Management Standards and implications for the review identified. Reports of the analysis of individual exemplars are found in the annexes to this report.

3.7 Production of draft Benchmarking Report

The draft findings of the benchmarking research and their implications for the review of the Management Standards were prepared as a PowerPoint presentation.

3.8 Presentation to Employers' Panel

These draft findings and implications were discussed with the Management Standards Centre's Employers' Panel and the overall thrust of the recommendations was supported.

3.9 Production of final Benchmarking Report

This Benchmarking Report has been prepared in the light of feedback from the Employers' Panel and other stakeholders. It is intended that the recommendations of this report will inform the revision of the Management Standards.

4. Exemplars Selected

A total of 14 exemplars were selected for a full benchmarking analysis to be undertaken against a common template (see annexes). The exemplars fall into four main groups: national qualifications frameworks, bodies of knowledge developed by professional associations, organisational competency frameworks, and a global competency framework.

4.1 National qualifications frameworks

Australia, Canada, New Zealand and South Africa are all developing national qualifications frameworks which are comparable with the UK's national framework.

The Australian Management Standards are the most fully and recently developed (reviewed 2000) and are set at levels 3, 4, 5, and 6 (roughly equivalent to UK levels, with level 6 roughly equivalent to UK level 5 Strategic Management). Because these standards have been recently reviewed, the content, coverage and emphasis of these standards provide some clear indications for the review of the UK Management Standards (they have clearly been through a similar benchmarking exercise).

The New Zealand Management Standards are also well developed and fairly recent (1999 - 2002). These are set at levels 3, 4, 5, 6 and 7. Level 3 roughly equates to UK level 2 Team Leading Standards, levels 4, 5 and 6 to UK levels 3, 4 and 5 respectively, with level 7 being the equivalent of UK level 5 Strategic Management. These standards have been developed in close association with the New Zealand Higher Education sector and consequently they have a higher knowledge content and are in smaller units (each unit with up to 15 credits) than their UK counterparts. They also cover a wider range of subject matter, particularly legislation, strategic issues such as risk management and specialisms such as marketing, procurement and sales.

The development of Management Standards in South Africa is still at a formative stage and is clearly directed at quickly increasing the quantity and competence of African supervisors and entrepreneurs. They are set at level 4 and 5 (roughly equivalent to UK levels 3 and 4) and cover a fairly narrow range of project management, HR management, management and economic sciences, and small, medium and micro enterprises.

The Alliance of Sector Councils drew heavily on the work of the Alberta Tourism Education Council to develop standards for Canadian SME owners, published in 1995. The standards cover the business cycle (they are more comparable with the UK's Owner Manager Standards than the Management Standards) and serve as a reminder that in small businesses managers are required to operate at all levels across a wide range of disciplines.

4.2 Bodies of knowledge from professional associations

Three significant frameworks have been developed by professional associations co-operating at global level: the Project Management Body of Knowledge, the HR Competencies and Professional Standards and the Hotel and Catering Industry Management Association's Corpus of Management Excellence.

Work on the Project Management Body of Knowledge (PMBOK) was started in 1981 by the Project Management Institute, with the support of sister organisations across the globe, and today it comprises the knowledge and techniques required to perform "those project functions that are (agreed to be) common to most projects in most contexts". This necessarily includes general management knowledge and practice together with project management knowledge and practice. The revised PMBOK (2000) is a comprehensive curriculum for project management described in 200 pages of straightforward language, providing some indications for how the Management Standards knowledge specifications might be presented and a good benchmark for reviewing the Standards for Project Managers.

The HR Competencies and Professional Standards were published in 2000 by the World Federation of Personnel Management Associations to establish an internationally acceptable framework of knowledge and skills for HR management for comparison purposes. Whilst specific to HR professionals, it covers much of the

same ground (at a different level) as the Management Standards in the Manage People key role and therefore provides an up-to-date benchmark for reviewing these units.

The HCIMA's Corpus of Management Excellence, researched across 170 companies and 60 educational institutions in 14 countries during 1996 - 1998, provides a curriculum of the knowledge and skills (including generic management knowledge and skills) required by supervisors, operational managers and senior managers in the hospitality industry.

4.3 Management and leadership competency frameworks developed by organisations

There were more organisational competency frameworks than any other category on the short list, and the selection was made in order to achieve the diversity required within the constraints of availability. Six frameworks were selected originating from different parts of the world representing different levels of management and leadership in the public and private sectors.

The Shell Leadership Framework is typical of a well-developed organisational competency framework which describes the behaviours they are seeking to develop in its leaders globally: builds shared vision, champions customer focus, maximises business opportunities, demonstrates professional mastery, displays personal effectiveness, demonstrates courage, motivates, coaches and develops, values differences, delivers results. These competencies mirror the findings of CEML's Futures Project quite well and indicate the change in emphasis that may be required in the Management Standards' Personal Competence Model.

Johnson & Johnson's Standards of Leadership are also used throughout the world to create a "small company environment with big company impact". The 5 leadership competencies - customer/marketplace focus, innovation, interdependent partnering, mastering complexity, organisational and people development - together with J&J's Credo Values form the basis of their "i-Lead" process, which puts the onus for development on the individual while the line manager provides the support and the organisation provides the resources required. Again, the review of the Management Standards will want to benchmark the Personal Competency Model closely against this framework.

The New Zealand Public Service Chief Executives' Competencies were developed to describe the personal attributes of the very small group of leaders who head up large public agencies and as such represent the highest level in any Management Standards framework. The competencies are grouped into three areas: Personal Attributes (Commitment to achievement, Honesty and integrity, Intellectual capability), General Management Competencies (Management of people, Managerial expertise, Effective communication) and Leadership Competencies (Building and sustaining relationships, Strategic leadership, Managing in the political-cultural context). Concrete examples of positive and negative behaviours are provided for each competency which has the virtue of bringing the framework very much to life.

The US Government's Office of Personnel Management's Executive Core Qualifications (ECQ) for Senior Executive Service (SES) offer an alternative framework for a larger audience of senior public servants at a slightly less rarefied level than the New Zealand framework. To achieve a senior position, executives must demonstrate they meet the criteria of five Key Characteristics: Leading change, Leading people, Results driven, Business acumen and Building coalitions/Communication.

Although developed nearly a decade ago, the International Monetary Fund's Management Development Competencies were selected for benchmarking as they describe the competencies senior officers in the IMF require to work effectively across national and cultural divides. The fifteen competencies are grouped into five categories: Intellectual Leadership (Sound judgement/analytical skills, Strategic vision), Work Management (Planning and organising, Drive for results, Adaptability), Communication (Oral presentation skills, Creating open communication, Written communication skills), Interpersonal (Building relationships, Negotiating and influencing,

Country/client relations) and People Management (Motivating performance, Delegating, Fostering teamwork, Appraising and developing staff).

The Irish Office of Health Service Management's Competencies for Nursing Management were developed in response to the need for nurse managers to have new competencies to be effective in modern health and social services. Whilst by no means a comprehensive framework, the Competencies for Nursing Management provide a structural challenge to the Management Standards as they identify eight Foundation or Generic Competencies which are required by nurse managers at all levels (Promoting evidence-based decision making, Building and maintaining relationships, Communication and influencing skills, Service initiation and innovation, Resilience and composure, Integrity and ethical stance, Sustained personal commitment, Practitioner competence and professional credibility) and other critical competencies required by nurse managers at different levels (Front Line Nursing management, Mid-Level Nursing Management and Top-Level Nursing Management). The generic competencies mirror the Personal Competence Model, whereas the critical competencies at each level are more like the functional competences of the Management Standards. Like the New Zealand Chief Executives' Competencies, these are also expressed in a lively way providing examples of both positive and negative behaviours.

4.4 Global competency framework

The Emotional Intelligence Leadership Competencies, developed by Daniel Goleman with the support of Richard Boyatzis and Annie McKee of the Hay Group, were selected for benchmarking as they integrate many of the themes found in other frameworks and have been validated across an extensive management population throughout the world. In leadership, as in all areas of life, it is our level of emotional intelligence - how we handle ourselves and our relationships - that determines our success.

Successful leaders display the Personal Competences of Self-Awareness (Emotional self-awareness, Accurate self-assessment, and Self-confidence) and Self-Management (Emotional self-control, Transparency, Adaptability, Achievement, Initiative, and Optimism) and the Social Competences of Social Awareness (Empathy, Organisational awareness, and Service) and Relationship Management (Inspirational leadership, Influence, Developing others, Change catalyst, Conflict management, Building bonds, and Teamwork and collaboration).

5. Key Findings and Recommendations

The benchmarking process provides indications for how the Management Standards might be revised from a number of perspectives:

- coverage - the scope of the revised Management Standards
- management practice - the implicit and explicit models of management and leadership described within the standards
- uses - the target uses to be kept in mind when revising the Management Standards
- format - the way in which the Management Standards and management qualifications are structured and presented.

5.1 Coverage - Functions

The exemplar frameworks studied cover a wider range of functions than the current Management Standards. In particular, there is a greater emphasis on these areas:

- Customer management - many frameworks emphasise the functions of identifying customers and their needs, providing excellent service and information to customers in the ways they want to receive it, resolving problems for customers and taking an individual approach to managing relationships with customers.

- Marketing - closely associated with customer management, the Australian and New Zealand frameworks have areas which explicitly cover the generic marketing role: identifying the target market, creating products and services to supply to the market profitably, communicating and promoting products and services to the market and evaluating marketing activities. Marketing features strongly in the HCIMA's Corpus of Management Excellence.
- Sales - unsurprisingly, the HCIMA's Corpus of Management Excellence and the Canadian standards for small, medium and micro businesses also cover the sales and sales management functions, as these are often important facets of the hotel manager's or entrepreneur's wide-ranging roles.
- Submitting tenders, negotiating and winning contracts - the New Zealand standards cover these contractual areas from the supplier's point of view.
- Procurement - the new Zealand Standards also cover both the purchasing function and the ongoing management of relationships with suppliers. Interdependent partnering is also a feature of the Johnson & Johnson and other organisational frameworks.
- Partnership working - identifying potential partners, building a common vision with partners and maintaining and developing the partnership relationships are themes running through both the functional and behavioural frameworks.
- Risk management - the assessment and management of risk appears as a specific function within the Australian and New Zealand standards, whilst responsible risk-taking and living with uncertainty appear as desirable behaviours in many of the behavioural frameworks.
- Business and operational planning - the Australian and New Zealand standards provide much more explicit links between strategic planning and operational planning within the functions described at different levels in their frameworks.

Recommendation 1

When revising the Management Standards, consideration should be given to increasing their scope to include a greater emphasis on customer management, marketing, sales, submitting tenders, negotiating and winning contracts, procurement, partnership working, risk management and business and operational planning in line with international benchmarks. However, the focus should remain on these functions *as performed by people in general management positions*, recognising that there are specialist functions in these areas that are outside the scope of the Management Standards.

5.2 Coverage - Themes

A number of themes present themselves more strongly in the benchmarks studied than in the Management Standards. These include:

- Customer focus - customer management has been dealt with as a function above, but focus on the customer in all activities is a strong theme running through virtually all the frameworks studied.
- Sustainability and environmental impact - the importance of considering the sustainability of all activities and the environmental impact of decisions taken appears regularly in both the functional and behavioural frameworks.
- Diversity and cultural sensitivity - the behavioural frameworks, such as Shell's and IMF's, give greater emphasis to valuing and managing the diversity of people, whether they are workers, customers or other stakeholders, and demonstrating sensitivity to cultural differences especially when operating in different contexts globally.
- Decision making - a clear theme is the manager's or leader's responsibility to take decisions. The Irish Nursing Management Competencies emphasise the importance of evidence-based decision making, while

other frameworks, such as Shell's encourage the behaviour of taking decisions with incomplete or conflicting information and in uncertain circumstances.

- Technology - the importance of effective use of available technologies (for example in knowledge management and customer relationship management) is a theme running throughout the frameworks studied.

Recommendation 2

The themes of customer focus, sustainability, diversity and cultural sensitivity, decision making and technology should be emphasised at appropriate points within the revised Management Standards in line with international benchmarks.

5.3 Coverage - Personal Competencies

The research amongst international benchmarks reveals a much wider interest, outside the UK and Commonwealth countries, in behavioural competencies than in functional competencies as frameworks for developing the leaders and managers of the future. Indeed, the authors of the Emotional Intelligence framework claim that "the primal task of leadership is emotional... Followers look to a leader for supportive emotional connectivity - for empathy. When leaders drive emotions positively, the effect is resonance. Optimistic, enthusiastic leaders more easily retain their people, compared to those bosses who tend toward negative moods. How well leaders manage their moods and affect everyone else's moods is not just a private matter, but a key factor in how well a business will do."

The Management Standards do contain a Personal Competency model, although this is not assessed as part of NVQ/SVQ certification. In comparison with the Personal Competency model, the international benchmarks demonstrate a greater emphasis on the following areas:

- emotional intelligence
- integrity, honesty and ethical stance
- resilience and composure
- proactivity and composure
- continuous improvement
- managing complexity and "boundarylessness"
- personal commitment.

Recommendation 3

The Management Standards' Personal Competency Model should be reviewed to take account of the emphasis on emotional intelligence and other key behaviours found in international benchmarks.

Recommendation 4

Given the criticality of behavioural competencies in determining the effectiveness of managers and leaders, a specific project should be set up within or in parallel with the Management Standards review to identify ways in which behavioural competencies can be assessed reliably and cost-effectively within the NVQ/SVQ process.

5.4 Management Practice

The dominant management/leadership style in the Management Standards and all the functional competency frameworks studied is transactional: delegating tasks and accountabilities and monitoring performance to ensure these are carried out to agreed standards. However, transformational leadership - empowering individuals to use the whole of their capabilities to innovate new approaches to achieving a shared vision - is becoming the

dominant style implied by the behavioural frameworks. The frameworks recognise the fact that leaders and managers may use a range of different approaches in different circumstances to achieve the same objective. Indeed, Goleman⁴ et al identify a continuum of valid leadership styles:

- visionary
- coaching
- affiliative
- democratic
- pacesetter
- commanding.

Recommendation 5

The revised Management Standards should be presented in such a way that managers are able to demonstrate that they have achieved the required outcome, but may use a range of different approaches to achieving it.

5.5 Uses of Competency Frameworks

The frameworks studied have been designed for different primary and secondary uses, and are often used for further purposes for which they were not originally designed. Indeed, this is the case with the Management Standards and the frameworks from the commonwealth countries, which were designed primarily for qualifications, secondarily for training and development leading to those qualifications, but are much more widely used throughout the human resource management and development and organisational development cycles.

The most common uses of the international benchmarks are:

- assessment (self, manager, specialist and 360°)
- development (curriculum, education, training, coaching, development centres, individual development, CPD)
- appraisal and performance management
- recruitment and selection
- succession planning
- competency audit and development of "talent pool"
- qualifications
- job evaluation
- performance related pay.

Recommendation 6

The review of the Management Standards should make explicit the primary and secondary purposes for which the standards are designed, and ensure that the revised standards are capable of being used effectively for all these purposes.

5.6 Format of Frameworks

The Management Standards stand up relatively well against international benchmarks in the clarity of their language and presentation. By comparison, the Australian, New Zealand and South African counterparts are less accessible, being written in a more technical style in the passive voice. The Project Management Body of Knowledge is a fine example of clear writing, although its level of atomisation may be off-putting to some. The

⁴ Goleman D, Boyatzis, McKee A (2002) *The New Leaders*, Little, Brown

use of both positive and negative behavioural indicators in the Irish Nursing Management Competencies and the New Zealand Public Service Chief Executives' Competencies show the difference between desirable and undesirable behaviours in a vivid way.

Recommendation 7

The revised Management Standards should be written in a clear, direct, non-technical style using examples to help discriminate between good performance and indifferent performance.

Both the New Zealand and the South African standards are broken down into smaller units than the UK Management Standards. Whilst this may offer advantages in the development and assessment processes, it tends to inhibit a holistic understanding of, and approach to, management. The New Zealand standards separate knowledge units from performance units, breaking the explicit link made in the UK Management Standards.

Recommendation 8

The review of the Management Standards should retain the current size of units, and the link between knowledge and performance within these units, and not follow the New Zealand and South African model of disaggregating units further.

The Project Management Body of Knowledge provides a comprehensive and detailed curriculum for project managers in a 200-page publication. This is no doubt an invaluable resource for project managers themselves and those who are responsible for the education, training and development of project managers.

Recommendation 9

Whilst such a detailed specification of knowledge is outside the scope of the review of the Management Standards, consideration should be given to a further project to compile a management body of knowledge following the example of the Project Management Body of Knowledge.

The international benchmarks provide a number of interesting models for the structure of qualifications. The South African qualifications have foundation units (similar to key/core skills or personal competencies), core units (which all managers at that level are expected to meet) and optional units (to be selected, up to a total number of credits, according to the individual manager's role). The Irish Nursing Management Competencies identify foundation or generic competencies required by all nurse managers (covering the behavioural competencies) and critical competencies at three different levels (describing the specific functions to be carried out at these levels).

Recommendation 10

The review of Management NVQs and SVQs should consider alternative qualification structures, including foundation units covering behavioural competencies and key/core skills, core units describing the functions common to all managers at a particular level, and optional units according to the coverage of the individual manager's role. Optional units could be given different numbers of credits according to their size and a qualification would need to include a specified total number of credits.

Annex 1: Australian Management Standards

Title of Benchmark

BSB01 Business Training Package

Frontline Management Competency Standards

Strategic Management Standards

Brief Description of Benchmark

These are national competency standards which make up management qualifications within the Australian Qualifications Framework (AQF). Their format is very similar to UK standards in that they contain units, elements, performance criteria and range statements. They do not, however, contain knowledge specifications. These standards are dated 2000 and are revisions of earlier competency standards that were closely based on UK models.

Qualifications based on these standards are organised at four levels:

- Frontline Management AQF Level III
- Frontline Management AQF Level IV
- Strategic Management AQF Level V
- Strategic Management AQF Level VI

The analysis below shows the units on a level-by-level basis.

Unlike the UK, Australia has six levels in its national qualification framework. It is not possible, therefore to be precise about matching UK and Australian levels. Descriptions of the Australian levels are given in *Annex 1* to this report.

In making comparisons, the reviewer has assumed the following:

Australian level 3 equates to	UK level 3
Australian level 4 equates to	UK level 4
Australian level 5 equates to	UK Operational Management level 5
Australian level 6 equates to	UK Strategic Management level 5

However, the Australians appear to have no equivalent to the UK level 2 Team Leading Standards. Some comparisons, therefore, have been made between Australian level 3 and UK levels 2 and 3.

Owner of Benchmark

The standards were developed by Business Services Training Australia Ltd, which is the Australian equivalent of an NTO or Sector Skills Council in the UK. Its domain is quite wide, including sectors such as Business Administration, Marketing, Governance, Human Resources, Sales and Advertising as well as Management.

The competency standards are copyrighted to the Australian National Training Authority (broadly equivalent to the old NCVO).

Country of Origin

Australia.

Provenance of Benchmark

National standards setting body.

Size of Organisation Benchmark is Designed For

Difficult to say. However, Australia also has standards for small business management which are described as relevant to micro and small organisations. One might assume, therefore, that the Australian Management competency standards are more appropriate to medium and large size organisations. However, how these are defined is not clear (similar to the UK in fact).

Purpose of Benchmark

Primarily assessment of individual performance for qualification purposes.

Status of Benchmark

National acceptance throughout all Australian states. Wide use by other standard-setting bodies in Australia.

Reviewer of Benchmark

Geoff Carroll

Summary of the Benchmark

The table below shows the unit titles in the Australian framework, the corresponding UK unit (where one exists) and notes on comparisons and possible implications for the UK review of standards.

Frontline Management Level III

Australian Unit	Corresponding UK Unit	Notes
BSBCMN302A Organise personal work priorities and development	C18 Organise and develop yourself or C1 Manage yourself	The units are broadly similar. The Australian unit makes explicit reference to the use of business technology (unlike C1)
BSBFLM302A Support leadership in the workplace	No clear correspondence.	There are four elements in this unit: modelling management behaviour and performance; enhancing the organisation's image; influencing individuals and teams; and decision making. These should be explored if we decide there is a need for explicit leadership content in the UK standards.
BSBFLM303A Contribute to effective workplace relationships	C19 Maintain and develop effective working relationships or C4 Create effective working relationships	Unit content is broadly similar. However, relationships are dealt with more generically (not broken down into elements on team and line manager). Also the Australian unit makes explicit reference to networking. There is also an element on communication (Gather, convey and receive information and ideas) which is similar to D1.1 and D1.2 in the UK standards.

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Australian Unit	Corresponding UK Unit	Notes
BSBFLM304A Participate in work teams	A9 Organise and improve your team's work or C12 Lead the work of teams and individuals to achieve their objectives	Unit content is broadly similar to the UK standard. However, the overall tenor of the unit is more collaborative and empowering than the UK equivalent. It also covers quality of team work. However, it does not include providing feedback to team members which the UK unit does.
BSBFLM305A Support operational plan	B6 Organise your team's resources or B1 Support the efficient use of resources	Unit content is broadly similar. However, the unit assumes greater discretion in planning for the use of resources than B1 (B6 does mention planning).
BSBFLM306A Provide workplace information and resourcing plans	D7 Organise and communicate information or D1 Manage information for action	The first three elements are broadly similar to the content of D1.1, although the Australian unit makes more explicit reference to management information systems. The last two elements cover preparing business plans/budgets and preparing resource proposals. These are covered in the UK standards by B1 (see notes on unit BSBFLM305A above). The explicit reference to business plans may be helpful.
BSBFLM309A Support continuous improvement systems and processes	No explicit equivalent at this level, although there are some overlaps with element A1.3 Make recommendations for improvements to work activities. There are overlaps with A4 Contribute to improvements at work, but in the UK this only appears at level 4.	The Australian unit has three elements: implementing continuous improvement systems and processes; monitoring, adjusting and reporting performance; consolidating opportunities for further improvement. These should be explored if we decide there is a need for explicit continuous improvement content in the UK standards at this level.
BSBCMN310A Deliver and monitor a service to customers	A9 Organise and improve your team's work or A1 Maintain activities to meet requirements	Unit content is broadly similar, although the Australian unit is stronger on planning at this level.
BSBFLM311A Support a workplace learning environment	C20 Help your team members to develop their performance or C9 Contribute to the development of teams and individuals.	The Australian unit covers making use of the workplace as a learning environment. The UK equivalents are more procedural.
BSBCMN311A Maintain workplace safety	A10 Ensure your actions reduce risks to health and safety or element A1.2 Maintain healthy, safe and productive working conditions	The Australian unit covers much of the same ground. However, it deals more explicitly with providing health and safety training (not covered by either of the UK equivalents) and carrying out risk assessment and risk control functions (covered in A10 but not in A1.2).

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Australian Unit	Corresponding UK Unit	Notes
BSBCMN312A Support innovation and change	Element A1.3 Make recommendations for improvements in work activities, also A4 Contribute to improvements at work, but this only occurs at level 4 in the UK.	The first two elements in the Australian unit are broadly similar to A1.3. However, these elements contain more on assessing the costs and benefits of change and risk assessment. The final element is about managing the introduction of change which is not covered in the UK equivalent at this level.
BSBCMN402A Develop work priorities	C1 or C2	Content is broadly similar to BSBCMN302A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM402A Show leadership in the workplace	No explicit equivalent.	Content is broadly similar to BSBFLM302A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM403A Manage effective workplace relationships	C4 or C5	Content is broadly similar to BSBFLM303A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM404A Lead work teams	C12 or C13	Content is broadly similar to BSBFLM304A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM405A Implement operational plan	B1 or B2	Content is broadly similar to BSBFLM305A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM406A Implement workplace information system	D1 or D4	Content is broadly similar to BSBFLM306A discussed above, presumably at a slightly higher level. Same comments apply.
BSBCMN410A Coordinate implementation of customer service strategies	A1 or A2	Content is broadly similar to the UK unit. However, there is more explicit customer focus.
BSBCMN411A Monitor a safe workplace	Element A1.2 or A1.3	Content is broadly similar to BSBCMN311A discussed above, presumably at a slightly higher level. Same comments apply.
BSBFLM409A Implement continuous improvement	No explicit equivalent at this level, although there are some overlaps with element A1.3 Make recommendations for improvements to work activities. There are overlaps with A4 Contribute to improvements at work, but in the UK this only appears at level 4.	Content is broadly similar to BSBFLM309A discussed above, presumably at a slightly higher level. Same comments apply.

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Australian Unit	Corresponding UK Unit	Notes
BSBCMN412A Promote innovation and change	A1.3 or A4, however, A4 only occurs at level 4 in the UK.	Unit content is broadly similar to A4. However, it is less compact, has a broader sweep and is structured in clearer 'step-by-step' way. There are four elements: identifying and improving opportunities for change, leading the team to foster innovative work activities, facilitating commitment to change and monitoring and evaluating change.
BSBCMN404A Develop teams and individuals	C9 or C10	The unit content is broadly similar to either C9 or C10.

Frontline Management Level IV

Australian Unit	Corresponding UK Unit	Notes
BSBFLM501A Manage personal work priorities and professional development	C2 or C3	Content is broadly similar to BSBCMN302A discussed above, presumably at a higher level. Same comments apply.
BSBFLM502A Provide leadership in the workplace	No explicit equivalent	Content is broadly similar to BSBFLM302A discussed above, presumably at a higher level. Same comments apply.
BSBFLM503A Establish effective workplace relationships	C5 or C6	Content is broadly similar to BSBFLM303A discussed above, presumably at a higher level. Same comments apply.
BSBFLM504A Facilitate work teams	C13	Content is broadly similar to BSBFLM304A discussed above, presumably at a higher level. Same comments apply.
BSBFLM505A Manage operational plan	B2 or B4	Content is broadly similar to BSBFLM305A discussed above, presumably at a higher level. Same comments apply.
BSBFLM506A Manage workplace information systems	D4	Content is broadly similar to BSBFLM306A discussed above, presumably at a higher level. Same comments apply.
BSBFLM507A Manage quality customer service	A2 or A3	Content is broadly similar to BSBCMN410A discussed above, presumably at a higher level. Same comments apply.
BSBMGT505A Ensure a safe workplace	Element A2.2 or A3.3	Content is broadly similar to BSBCMN311A discussed above, presumably at a higher level. Same comments apply.
BSBFLM509A Promote continuous improvement	A4	Content is broadly similar to BSBFLM309A discussed above, presumably at a higher level. Same comments apply.
BSBFLM510A Facilitate and capitalise on change and innovation	A5 (although this is only used at level 5 in the UK)	Unit content is broadly similar to A5, although it is less detailed.
BSBFLM511A Develop a workplace learning environment	C10	The Australian unit covers making use of the workplace as a learning

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Australian Unit	Corresponding UK Unit	Notes
		environment. The UK equivalent is more procedural.

Strategic Management Level V

Australian Unit	Corresponding UK Unit	Notes
BSBMGT501A Market services and concepts to internal customers	No equivalent unit. Has perhaps some overlap with A7.4.	This unit has four elements: interpreting strategic and operational plans; managing research activities; preparing internal marketing plans; and evaluating internal marketing plans. This could be a valuable source if we decide there is a need for a marketing function at level 4 and/or above.
BSBMGT502A Manage people performance	C13 Manage the performance of teams and individuals and C16 Deal with poor performance in your team	The unit content is broadly similar. However, the Australian unit does not include agreeing objectives. It does make mention of risk analysis in allocating work. It also has an additional unit on 'managing follow-up' which is broadly similar to <i>C16 Deal with poor performance in your team</i> .
BSBMGT503A Prepare budgets and financial plans	B4 Determine the effective use of resources and B5 Secure financial resources for your organisation's plans	The Australian unit has better coverage of business planning in one unit, in that it brings together expenditure, revenue and capital investment.
BSBMGT504A Manage budgets and financial plans	Element B4.3 Control expenditure and activities against budgets	The Australian unit expands the content of B4.3 into one unit that follows clearly from BSBMGT503A.
BSBMGT505A Ensure a safe workplace	Element A7.2	The Australian unit is about establishing systems and procedures for health and safety. A7.2 covers all types of policies and values, of which health and safety may be one.
BSBMGT506A Recruit, select and induct staff	<i>C8 Select personnel for activities</i>	Unit content is broadly similar with the exception of the Australian unit explicitly including induction.
BSBMGT507A Manage environmental performance	No equivalent in the generic management qualifications although there may be an equivalent unit in the Environmental Management suite of standards.	

Strategic Management Level VI

Australian Unit	Corresponding UK Unit	Notes
BSBMGT601A Contribute to strategic direction	A6 Review external and internal operating environments	Unit content is broadly similar. Differences include: the development of an organisational mission statement as the first element through collaboration with stakeholders; mention is made of the global context in which the organisation operates; value chain analysis is explicitly mentioned, as are the competencies of the organisation.
BSBMGT602A Contribute to the development and implementation of strategic plans	A7 Establish strategies to guide the work of your organisation and A8 Evaluate and improve organisational performance	Unit content is broadly similar. The Australian unit omits defining policies and values. It also omits gaining support for organisational strategies. However, the Australian unit explicitly mentions 'value adding activities' and opportunities for 'strategic alliances and co-operative ventures'. Benchmarking is also mentioned.
BSBMGT603A Review and develop business plans	No explicit UK equivalent	This unit is about developing operational and tactical plans in response to the organisation's strategy. This 'link' appears to be missing in the UK standards.
BSBMGT604A Manage business operations	No explicit UK equivalent	This unit is about putting operational and tactical plans into operation. The closest equivalent is possibly A3, but the emphasis is different.
BSBMGT605A Provide leadership across the organisation	No explicit UK equivalent	The unit has four elements: communicate organisational mission and goals; influence groups and individuals; build and support teams; demonstrate personal and professional competence.
BSBMGT606A Manage customer focus	A3 Manage activities to meet customer requirements (although this unit does not appear in UK Strategic Management 5)	This unit is at a more strategic level than A3. It contains aspects of market analysis, commissioning research, developing customer service plans and standards, risk management, continuous improvement strategies and a greater emphasis on the use of technology.
BSBMGT607A Manage knowledge and information	D6 Use information to take critical decisions	The structure of the Australian and UK units is broadly similar. The most obvious difference is the fourth element. In the UK unit this is 'advise and inform others'. In the Australian, it reads: 'disseminate information to the organisation'. The unit also places a greater

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Australian Unit	Corresponding UK Unit	Notes
		emphasis on the use of formal and informal networks, sensitivity analysis, use of MIS, risk analysis. The fourth element has some overlaps with the UK unit D5 Establish information management and communication systems
BSBMGT608A Manage innovation and continuous improvement	A5 Manage change in organisational activities (although this unit does not appear in UK Strategic Management 5)	Both units describe a similar function. However, the Australian unit is both more strategic and dynamic. There is a much stronger emphasis on innovation here. Terms such as 'creative climate' and 'organisational learning' are used. There are also strong indications as to how to deal with failure and success.
BSBMGT609A Manage risk	No explicit UK equivalent	Generally speaking this function is not well covered in the UK standards. The Australian unit contains three elements: Develop risk management plan; Implement risk management plan; Evaluate risk management plan. This unit would be well worth considering as the basis for new UK standards.
BSBMGT610A Manage environmental management systems	H3 Plan and implement activities to improve environmental performance (although this unit appears at level 4 in the specialist Environmental Management N/SVQ)	This unit is at a more strategic level than H3 and covers the development, implementation and review of environmental policies and systems. Something like this unit may be valuable if we want something on sustainability.

Implications for the Review of Management Standards

Although there is clearly evidence that the Australian Management competency standards derive, to a certain extent, from their UK counterparts, there are significant areas of divergence. In many cases, what is different in the Australian suite may be helpful in addressing some of the emerging criticisms of the UK management suite (this may be because the Australian versions were reviewed fairly recently and therefore are more reflective of current management best practice).

1. The Australian standards show a much clearer integration of issues associated with the application of business technology.
2. The issue of leadership is dealt with much more explicitly and at every level within the qualification structure. The units on leadership may provide a very useful starting point, if the UK Management Review decides to develop discrete leadership units.
3. The general style of management practice revealed within the standards is probably more empowering and collaborative than that in the current UK counterparts. Again, this may prove to be a useful model.
4. The issue of business planning and the management of business operations receives a greater emphasis than in the UK standards.

5. There is more explicit handling of making use of the workplace and wider organisation as a learning environment.
6. Change management is dealt with at all levels. Innovation and fostering innovation receives greater explicit attention, particularly at the higher levels.
7. There is a greater and more widespread acknowledgement of customer focus and customer service at all levels (including Strategic Management VI).
8. Risk assessment and risk management (in a broader business-based context) are more obvious.
9. Marketing has its own unit.
10. Health and safety receives greater explicit attention at all levels.
11. The strategy units appear to be more up-to-date in some areas – for example, taking account of the global context, value chain analysis etc.

Coverage

Please see section on Summary of the Benchmark.

Management Practice

As implied above, the Australian standards, in several respects, appear to be more up-to-date in their content. They deal explicitly with a number of issues that have arisen during the Occupational Mapping and the Evaluation of the current UK standards.

Uses

The competency standards are primarily designed for qualification purposes. However, as in the UK, they are widely used as the basis for training programmes.

Format

Whereas the content of the Australian standards is probably more current than the UK equivalents, the form and structure follows that of the pre-1997 Management Standards. Performance criteria are in the passive voice. Range statements tend to be long explanatory lists rather than true variables that will inform assessment contexts. The general 'feel' is user-unfriendly.

Conclusion

In the opinion of the reviewer, the Australian Management competency standards should be studied more closely when the current UK standards are revised. Depending on several policy decisions that will have to be taken shortly regarding the structure and content of the future Management Standards, the Australian suite could be a very useful reference point.

Australian Standards Levels

Certificate I	Certificate II	Certificate III	Certificate IV	Diploma	Advanced Diploma
demonstrate knowledge by recall in a narrow range of areas	demonstrate <i>basic operational knowledge</i> in a <i>moderate range</i> of areas	demonstrate some <i>relevant theoretical knowledge</i>	demonstrate understanding of a <i>broad knowledge base incorporating some theoretical concepts</i>	demonstrate understanding of a broad knowledge base incorporating theoretical concepts, <i>with substantial depth in some areas</i>	demonstrate understanding of <i>specialised knowledge</i> with depth in some areas
demonstrate basic practical skills such as the use of relevant tools	apply a <i>defined range of skills</i> apply known solutions to a <i>limited range of predictable problems</i>	apply a range of <i>well developed skills</i> apply known solutions to a <i>variety of predictable problems</i>	apply solutions to a <i>defined range of unpredictable problems</i>	<i>analyse and plan</i> approaches to <i>technical problems or management requirements</i>	<i>analyse, diagnose, design and execute judgements</i> across a broad range of technical or management functions
perform a sequence of routine tasks given clear direction	perform a range of tasks where <i>choice between a limited range of options</i> is required	perform processes that require a <i>range of well-developed skills where some discretion and judgement is required</i>	<i>identify and apply skill and knowledge areas to a wide variety of contexts with depth in some areas</i>	<i>transfer and apply theoretical concepts and/or technical or creative skills to a range of situations</i>	demonstrate a command of <i>wide ranging, highly specialised technical, creative or conceptual skills</i>
receive and pass on messages/information	<i>assess and record</i> information from varied sources	interpret available information, using <i>discretion and judgement</i>	<i>identify, analyse and evaluate information from a variety of sources</i> take responsibility for own outputs in <i>relation to specified</i>	evaluate information using it to <i>forecast for planning or research purposes</i>	generate ideas through the <i>analysis of information and concepts</i> at an abstract level

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	<p><i>take limited responsibility for own outputs in work and learning</i></p>	<p><i>take responsibility for own outputs in work and learning</i></p>	<p><i>quality standards</i></p> <p><i>take limited responsibility for the quantity and quality of the output of others</i></p>	<p><i>take responsibility for own outputs in relation to broad quantity and quality parameters</i></p> <p><i>take limited responsibility for the achievement of group outcomes</i></p>	<p><i>demonstrate accountability for personal outputs within broad parameters</i></p> <p><i>demonstrate accountability for group outcomes within broad parameters</i></p>
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Annex 2: New Zealand Management Standards

Title of Benchmark

New Zealand Management Standards

Brief Description of Benchmark

These Management Standards are very similar in format and function to those developed in the UK.

Units include: introductory material (including assessment strategy); elements with performance criteria (expressed in the passive voice) and range at either/both element and/or performance criteria level (this can be quite extensive); no reference to underpinning knowledge and skills.

Units are set at one of 7 levels and given a number of credits at this level. To gain a qualification, candidates must complete compulsory units and elective units up to a required number of credits.

Owner of Benchmark

Business and Management National Standards Body (New Zealand)

Country of Origin

New Zealand

Provenance of Benchmark

Developed by National Authority

Size of Organisation Benchmark Designed For

All sizes, with a specific group of standards for Small Business Management

Sector Benchmark Designed For

All

Purpose of Benchmark

Qualifications

Status of Benchmark

National Qualification Framework

Reviewer of Benchmark

Trevor Boutall

Summary of the Benchmark

The New Zealand National Qualifications Framework (www.nzqa.govt.nz) offers "Unit Standards" in the following management "Domains":

- Business Law
- Employment Relations (no units yet in framework)
- First Line Management
- Human Resource Management (this domain covers the same ground as the UK's Personnel Standards)
- Internal Audit (no units yet in framework)
- Management – Business Relationships
- Management – Developing and Co-ordinating People
- Management – Organisational Direction and Strategy
- Management – Systems and Resources
- Quality Management
- Small Business Management.

The primary purpose of the standards is for qualifications, although these are only available for First Line Management (at levels 3 and 4), Quality Management (at level 4), and Small Business Management (at levels 3 & 4). Each unit is given a level and a specific number of credits. Qualifications comprise a defined number of compulsory units and a variable number of elective units, which together make up a minimum number of credits at the required level.

Each unit tends to be slightly narrower in scope than units in the UK Management Standards.

Implications for the Review of Management Standards

Whilst the NZ Management Standards have clearly been developed using the same principles as the UK Management Standards, they do provide a number of implications for the Review of the Management Standards:

1. The NZ Management Standards have been developed more recently and cover a wider scope than their UK counterparts. When redeveloping the Management Standards, it will be useful to use the NZ standards as source material for some of the new areas that need to be developed. Of particular interest will be standards on:

- law
- sustainable development and environmental impact
- marketing
- tendering, negotiating and contracting for work
- procurement
- customer and supplier relationships
- diversity
- conditions and contracts of employment
- contributing to the development of strategy
- managing corporate risk
- working across organisational boundaries
- small business standards.

2. Some of the individual units of the NZ Management Standards are narrower in their focus than their UK counterparts. If this approach were adopted in the UK, it would mean having a greater number of units to cover the same scope of job or qualification, but would allow greater flexibility and accessibility for individual workers in specific job roles where they do not cover all the elements of a unit.
3. The underpinning knowledge and skills are not an integral part of the unit, but form separate units where the knowledge and the skills to apply that knowledge are assessed. The Review of the Management Standards may wish to consider a similar approach.
4. The use of the passive voice makes these units feel more like BS/EN/ISO standards and do not speak directly to the worker/candidate. Imitation of this should be avoided!

Coverage

The full suite of Management Standards in New Zealand comprises:

Business Law:

Level 4

- 11637 Demonstrate knowledge of the law of business entities
- 11631 Demonstrate knowledge of the legal system in New Zealand
- 11632 Demonstrate knowledge of the methods for resolving business disputes

Level 5

- 11636 Apply selected torts to a given fact situation
- 11635 Apply the law of agency to a given fact situation
- 11633 Apply the law of contract to a given fact situation
- 17702 Apply the Personal Property Securities legislation
- 11639 Demonstrate knowledge of consumer legislation
- 11638 Demonstrate knowledge of the law of property in New Zealand
- 11634 Demonstrate knowledge of the law relating to employment contracts

First Line Management

Level 3

- 15946 Demonstrate knowledge of productivity and work study techniques
- 17497 Lead a team or group to complete routine tasks within set timeframes
- 1986 Produce business data and analyse business statistics for workplace operations

Level 4

- 1983 Analyse work content and identify work group needs
- 18664 Apply sustainable environmental management practices as a workplace supervisor
- 16614 Apply time management concepts and methods in business situations as a first line manager
- 19025 Demonstrate knowledge of quality assurance in a business operation
- 19029 Demonstrate knowledge of technology and information systems
- 18336 Demonstrate team-building skills
- 15190 Develop and implement work unit plans

- 1984 Develop the performance of teams and individuals
- 1985 Identify key organisational principles and apply them to workplace operations
- 16342 Identify key workplace organisational principles
- 18337 Implement training and development activities for teams and individuals in the workplace
- 17498 Lead a team or group to complete tasks with some complexity within set timeframes
- 16616 Plan and monitor performance of others as a first line manager
- 16611 Prepare and conduct staff selection interviews as a first line manager
- 16613 Prepare and deliver business presentations as a first line manager
- 15189 Prepare and implement a health and safety plan for a workplace
- 18338 Prepare and implement a team project
- 11994 Recruit and select staff
- 16612 Use effective business writing skills as a first line manager

Level 5

- 19015 Apply financial analysis in a business operation
- 19023 Apply occupational health and safety requirements in a business operation
- 19028 Contract for service in a business operation
- 1987 Create and maintain positive workplace relationships
- 19026 Demonstrate knowledge of change management in a business operation
- 19027 Develop job description and conduct performance appraisal in a business operation
- 19020 Develop performance standards and monitor the performance of a business operation
- 16615 Explain and apply commercial negotiation skills and techniques as a first line manager
- 1988 Manage and/or supervise workplace operations
- 19021 Plan, implement, and maintain a business operation

Level 6

- 19022 Manage human resources as a manager in a business operation
- 19030 Tender, negotiate and manage a contract in a business operation

Human Resource Management**Level 5**

- 11533 Behave professionally and ethically in all aspects of resources management
- 11548 Contribute to the organisation's compliance with its legal and contractual obligations
- 11532 Enable non-specialists to undertake human resources management activities
- 11540 Manage career development plans and processes
- 11546 Manage employee support processes
- 11536 Manage plans and processes for the deployment of human resources
- 11537 Manage plans and processes for the release of human resources
- 11550 Manage policies and processes for handling discipline and for employment relationship problems
- 11544 Manage processes for the delivery of remuneration and benefits
- 11535 Manage recruitment, selection, and appointment plans and processes

Level 6

- 11541 Manage equal employment opportunity plans and processes
- 11539 Manage performance management processes
- 11543 Manage plans and processes for determining remuneration levels for jobs, roles, and people
- 11665 Manage plans and processes for the training and development of individuals and groups
- 11547 Manage plans and processes to ensure a safe and healthy work environment

11549 Manage policies and processes for negotiation and consultation

Level 7

- 11529 Contribute to improving organisational culture and climate
- 11530 Contribute to improving organisational structures, systems, and work processes
- 11528 Develop human resources management strategies and policies
- 11545 Manage employee relations strategies and plans
- 11534 Manage human resourcing strategies and plans
- 11542 Manage reward, recognition, and remuneration strategies and plans
- 11538 Manage strategies and plans for developing competence and performance of human resources
- 11531 Manage the human resources function, services, and information systems

Management - Business Relationships

Level 6

- 7455 Develop and strengthen customer relationships and services
- 7456 Develop and strengthen supplier relationships

Management - Developing and Coordinating People

Level 5

- 8496 Develop and maintain a safe and supportive working environment
- 8495 Develop self to improve performance
- 8494 Enable and enhance employee competence and capability
- 9733 Explain and apply principles and practices of contractual employment relations
- 8498 Explain and apply principles for managing conflict in workplaces
- 9737 Explain and apply principles for managing equal employment opportunities and diversity policies
- 9735 Explain and apply principles of organisational behaviour in developing workplace relationships
- 9734 Explain and apply principles of team leadership and teamworking in self-directed teams
- 8493 Lead individuals and teams
- 8499 Manage diversity in the workplace
- 7451 Negotiate and administer conditions of employment
- 7452 Plan, organise, and allocate work to achieve objectives
- 7450 Recruit, select, and release staff

Level 6

- 9738 Explain and apply principles for managing ethically and responsibly

Management - Organisational Direction and Strategy

Level 5

- 7449 Contribute to planning business strategy, purpose, direction and values
- 7447 Develop, provide, and report information for management decision making
- 9732 Explain and apply strategic management concepts for organisational planning and development

Level 6

- 7445 Evaluate and manage corporate risk

Level 7

- 7443 Develop and coordinate business purpose, direction, and values
- 7446 Develop, implement, and review organisational strategies, strategic policies and plans
- 7444 Monitor environmental impacts and business opportunities
- 7448 Review organisational performance against plans and objectives

Management - Systems and Resources**Level 5**

- 9740 Explain and apply principles and practices for innovation, entrepreneurship, and intrapreneurship
- 9741 Explain and apply principles and practices for the management of improvement and change
- 9738 Explain and apply principles and practices of operations management
- 9739 Explain and apply work study and design methodologies
- 8506 Identify, develop, review, and improve a management information system
- 8503 Interpret and use financial data and reports for decision making
- 7458 Maintain compliance with policy, procedures and legal requirements
- 7454 Plan, manage, and review projects

Level 6

- 8500 Design, review, and adapt structures and processes to deliver objectives
- 7459 Develop, manage, and evaluate improvements to products, services, and systems
- 8504 Establish and improve financial control systems
- 7463 Maintain and control the use of material, plant, and equipment resources
- 7461 Plan procurement of material, plant and equipment supplies
- 7457 Produce and implement operational policies and plans
- 7462 Secure tenders, negotiate, and monitor contracts for supply or maintenance of materials, plant, and equipment
- 8505 Set, control, and justify budgets

Level 7

- 8501 Develop initiatives for innovation management
- 8502 Develop initiatives for managing improvement and change processes
- 7460 Develop, implement and review quality management system
- 7435 Sponsor and coordinate work activities and projects across organisational boundaries

Quality Management**Level 3**

- 8081 Collect data for the management of quality
- 8086 Demonstrate knowledge required for quality auditing
- 8085 Explain fundamental concepts and principles of quality and its management
- 8087 Use core quality management tools

Level 4

- 8082 Analyse data and communicate information for the management of quality
- 8074 Establish, develop, and improve quality-focussed aspects of customer relationships
- 8073 Establish, develop, and improve quality-focussed aspects of supplier relationships
- 8077 Participate in a team for the improvement of products, services and production, and/or delivery processes
- 8089 Use statistical process control tools for the control and improvement of processes

Level 5

- 8088 Analyse quality costs
- 8080 Develop plans to gather and analyse information for the management of quality
- 8078 Lead a team for the improvement of products, services and production, and/or delivery processes
- 8076 Promote the participation of management and staff in quality initiatives
- 8079 Sponsor and support teams for the improvement of products, services and production, and/or delivery processes
- 8090 Use attribute sampling plans

Level 6

- 8084 Audit quality management systems for compliance with quality standards
- 8075 Manage quality aspects of the design of products, services, systems, and processes

Level 7

- 8072 Develop, communicate, and review quality strategic vision and plan
- 8083 Manage an audit of organisational performance against quality standards

Small Business Management**Level 3**

- 6403 Produce preliminary assessments of small business enterprise opportunities

Level 4

- 1990 Assess small business ownership options and business structures
- 1992 Control and evaluate small business operations
- 18956 Demonstrate knowledge of financial management for a small operational business
- 6405 Determine advertising options for small business enterprises
- 6404 Develop marketing options for small business operations
- 6406 Establish and maintain quality customer relations for a small business enterprise
- 6408 Identify cost factors and assess cost, volume, profit relationships for small business operations
- 1989 Research small business opportunities

Level 5

- 19024 Apply marketing concepts within a small business
- 6409 Establish costs, prices, and conditions for provision of products and services for a small business
- 6407 Establish human resource needs of the small business operation
- 6410 Manage financial resources for a small business enterprise
- 1991 Produce establishment plans for small business ventures

Level 6

- 6412 Investigate and evaluate small business franchising options
- 1993 Manage small business operations
- 1994 Manage the development of small business ventures

Level 7

- 6156 Develop strategies to foster innovation and entrepreneurship for small business enterprises
- 6411 Identify and assess business development opportunities for a small business enterprise

Management Practice

The NZ Management Standards describe management practice very similar to that described in the UK Management Standards.

Uses

The primary use is for qualifications and the provision of education and training leading to those qualifications.

Format

The Unit Standards are formatted in a similar way to UK Management Standards.

Each unit comprises:

1. Unit Title

2. An introductory section covering:

- level (1-7)
- credit (up to 15)
- final date for comment (on unit)
- expiry date (of unit)
- sub-field (ie "Management")
- entry information (ie "Open" unless there are special requirements)
- accreditation option (ie "Evaluation of documentation and visit by NZQA and industry")
- moderation option (ie "A centrally established and directed national moderation system has been set up by NZQA on behalf of the Business and Management National Standards Body")
- special notes (definition of terms, assessment strategy and standard code)

3. Elements, comprising:

- Element title
- Performance criteria (on the whole, less comprehensive than in the UK standards)
- Range (which can relate to the whole element or a single criterion, and may be very brief or quite extensive)

4. A concluding section, comprising

- the address to send comments to
- a warning that "Providers must be accredited by the Qualifications Authority before they can offer programmes of education and training assessed against unit standards. Accredited providers assessing against unit standards must engage with the moderation system that applies to those unit standards."

The unit standards do not contain specifications of the underpinning knowledge and skills required, however they do have a number of unit standards which are much more about demonstrating knowledge than demonstrating competent performance.

Conclusion

There is nothing revolutionary in these standards. They are very similar to the UK Management Standards although they are less comprehensive in their performance criteria and less readable (being expressed in the passive voice). However, they confirm the applicability of the Management Standards principles to managers in another part of the world.

DRAFT

Sectoral Benchmarking Report

They may be useful to the Review of the Management Standards in providing source material for developing new units, for example covering diversity, working across organisational boundaries and sustainable development.

Annex 3: South African Management Standards

Title of Benchmark

South African Management Standards

Brief Description of Benchmark

These Management Standards, covering Project Management, Human Resource Management, Management and Economic Sciences, and Small Business and Micro Enterprises have been developed to support National Certificates and Diplomas of the South African Qualifications Authority.

The first two sets of standards are similar in style to UK Management Standards and describe competence outcomes (indeed they make reference to NVQ 3 in Project Management and SVQ 3 in Personnel Support). The second two sets of standards are less well developed and read like learning outcomes, requiring the demonstration of knowledge and skills.

Owner of Benchmark

South African Qualifications Authority

Country of Origin

South Africa

Provenance of Benchmark

Develop by National Authority

Size of Organisation Benchmark Designed For

All, except those specifically for SMMEs

Sector Benchmark Designed For

All

Purpose of Benchmark

Qualifications, Education and Training

Status of Benchmark

National Qualifications

Reviewer of Benchmark

Trevor Boutall

Summary of the Benchmark

The South African Qualifications Authority (www.saga.org.za) develops Qualifications made up of Unit Standards covering a wide range of vocational roles including:

- Project Management
- Human Resources Management and Practices
- Management and Economic Sciences
- Small Medium and Micro Enterprises.

Qualifications are the formal recognition of the achievement of the required number and range of credits and other requirements at specific levels in the National Qualifications Framework (which has 8 levels). A Unit Standard is a registered statement of desired education and training outcomes and its associated assessment criteria (in the passive voice), together with administrative and other information as specified in the regulations.

Qualifications are made up of Fundamental (similar to key and core skills), Core and Elective Units. The Core Unit Standards, and some Fundamental Unit Standards, are compulsory, and students can select Elective Unit Standards to reach the required total number of credits.

Implications for the Review of Management Standards

The SA Management Standards have been developed using the same principles as the UK Management Standards. They only cover a narrow range of management activity, however, which is already covered by the current UK Management Standards and Personnel Standards. There is not much to be learned from them in terms of content.

The Project Management Standards have been atomised much further than their UK counterparts. This approach may be considered for the Review of the Management Standards as it potentially allows a better fit between the units and an individual's role and it allows training and assessment to take place over smaller bite-sized chunks.

The use of the passive voice in the SA Management Standards makes them feel more technical and remote and should not be imitated.

Coverage

The Management Qualifications and Units Standards in the NOF cover:

Project Management (at level 4):

Fundamental (compulsory)

Communication studies

Physical, mathematical, computer and life sciences

Core (compulsory)

1. Contribute to project initiation, scope definition and scope change control
2. Identify, organise and co-ordinate project life cycle phases for control purposes
3. Scheduling project activities to facilitate effective project execution
4. Participate in the estimation and preparation of cost budgets for an element of work and monitor and control actual cost against budget
5. Work as a project team member
6. Plan, organise and support project meetings and workshops
7. Conduct project documentation management to support project processes
8. Implement project administration processes according to requirements
9. Apply a range of project management tools
10. Contribute to the management of project risk within own field of expertise
11. Fulfil procurement activities and supervise procurement administration
12. Monitor, evaluate and communicate project schedules
13. Provide assistance in implementing and assuring project work is conducted in accordance with project quality plan
14. Identify, suggest and implement corrective actions to improve quality
15. Evaluate and improve the project team's performance

Elective (one required)

16. Supervise a project team of a developmental project to deliver project objectives
17. Supervise a project team of a technical project to deliver project objectives
18. Supervise a project team of a business project to deliver project objectives
19. Support the project environment and activities to deliver project objectives

Human Resources Management and Practice (at level 5):**Fundamental**

- EUC8 Entry level Spreadsheets: Demonstrate knowledge of and produce computer spreadsheets using base functions (compulsory)
- EUC10 Entry Level Database: Demonstrate understanding of the basic concepts of databases and the ability to plan and create a simple database (compulsory)
- EUC11 Electronic Mail: Demonstrate the ability to use electronic mail software to send and receive messages
- EUC12 Web Browsing: Demonstrate ability to use the World Wide Web
- EUC13 Entry Level Presentation Graphics: Demonstrate knowledge of and produce a presentation using base functions
- EUC9 Entry level Spreadsheets: Produce and use spreadsheets for business (compulsory)
- EUC 14 Intermediate Level Presentation Graphics: Produce presentation documents for business
- EUC15 Intermediate Level Database: Demonstrate the ability to use a database for business purposes (compulsory)

Core (compulsory)**Business, Commerce and Management Studies**

- GM 1/001 Frame and implement an individual action plan to improve productivity within an organisational unit
- GM 5/001 Measure productivity

Human Resources Management and Practices*Planning and organising for work, people and human resources management*

- HRMP-PO 6/001 Conduct an organisational needs analysis

Acquisition, development and utilisation of people

- HRMP AD 4/002 Supervise work unit to achieve work unit objectives (individual and teams)
- HRMP-AD 4/003 Manage individual and team performance
- HRMP-AD 4/004 Induct new employees
- HRMP-AD 5/001 Recruit and select candidates to fill defined positions
- ET 4/003 Plan learning events
- ET 4/005 Manage a skills development course
- ASSMT/01 Plan and conduct an assessment
- ET 4/007 Conduct elementary field research in education, training and development or occupation

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ET 4/008	Occupational developments
ET 5/001	Develop training materials
ET 5/003	Facilitate learning using a variety of methodologies

Establishment and improvement of labour and employee relations

HRMP-LE 3/001	Demonstrate understanding of employment relations in an organisation
HRMP-LE 3/002	Represent stakeholder/s in consultations and discussions on matters that arise at shop floor level
HRMP-LE 4/003	Participate in the implementation and utilisation of equity related processes
HRMP-LE 5/002	Institute disciplinary action
HRMP-LE 5/003	Monitor and advise on substantive conditions of employment and related rights and obligations in an organisation
HRMP-LE 5/005	Draft an employment contract
HRMP-LE 6/003	Facilitate the resolution of employee grievances

Elective (one required)***Generic Management***

GM 5/004	Operationalise productivity improvement strategy, objectives and processes
GM 6/004	Promote productivity improvement strategy and objectives

Human Resources Management and Practices***Acquisition, development and utilisation of people***

ET 4/004	Evaluate a course
ET 4/009	Facilitate targeted skills development
ET 5/002	Design and conduct research (ETD)
ET 5/005	Manage a learnership/ learning programme
HRMP-AD 5/002	Manage individual careers

Compensation and administration related to human resources management and practices

HRMP-MA 5/002	Manage the design, development and review of a human resources information system
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Management and Economic Sciences

Ems1	Identify and discuss different types of business and their legal implications.
Ems2	Demonstrate an understanding of contracts and their sources

- Ems3 Identify, Discuss, Describe and Compare Major Economic Systems, With Emphasis on the South African Economy
- Ems4 Demonstrate An Understanding Of The Principles Of Supply And Demand, And The Concept: Production.
- Ems5 Demonstrate an Understanding of Basic Accounting Practices.
- Ems6 Demonstrate an Understanding of Managerial Expertise and Administrative Systems.

Small Medium and Micro Enterprises

- SMME 001 Discuss entrepreneurship and identify, assess and develop entrepreneurial qualities.
- SMME 002 Identify, analyse and select various business opportunities.
- SMME 003 Demonstrate an understanding of a general business plan and apply it to a selected business idea.
- SMME 004 Demonstrate the ability to start and run a business and adapt to a changing business environment.

Management Practice

The SA Management Standards describe management practice very similar to that described within the UK Management Standards.

Uses

The primary use is for qualifications and the provision of education and training leading to those qualifications.

Format

The Unit Standards are formatted in a similar way to UK Management Standards.

Each Unit Standard comprises:

1. Unit Title

2. An introductory section covering

- Unit Standard Number
- NQF Level
- Total Credit Value
- Field (in NQF database)
- Issue Date
- Review date
- Purpose
- Learning Assumed to be in Place

3. Specific Outcomes and Assessment Criteria, comprising:

- Specific Outcome title

- Assessment Criteria (sometimes with range attached)

4. Accreditation and Moderation

5. Range Statement

6. Notes, covering

- Embedded Knowledge (described at headline level only)
- Critical Cross-Field Outcomes
- Developmental Outcomes

Each Unit Standard for Project Management and Human Resources Management and Practice is comparable in its demands, but sometimes narrower in scope to UK Management Standards at the same level.

Conclusion

The SA Management Standards are very similar to UK Management Standards although they cover a much narrower range of functions and do not complete the framework at higher levels. They are less readable than their UK counterparts as they are expressed in the passive voice.

They confirm the applicability of the Management Standards principles to managers in a developing country.

Annex 4: Canadian SME Owner Manager Standards

Title of Benchmark

A Framework – Management of Competencies, skills and standards for small business owner/operator/Entrepreneur for the Sector Councils Steering Committee (published in 1995)

Brief Description of Benchmark

The benchmark consists of a report, commissioned by TASC, presenting the results of work undertaken to develop competencies for small business. It comprises:

- an outline of a set of competency blocks and core management skills that would lead to the development of a small business management standard; and,
- recommendations for a framework on small business management standard, Core Management Competencies and Skills

Owner of Benchmark

The Alliance of Sector Councils (TASC). TASC is a coordinating body formed of some 26 sector councils. Sector councils bring together representatives from business, labour, education, and other professional groups in a neutral forum in order to comprehensively and cooperatively analyse and address sector-wide human resource issues.

Country of Origin

Canada (available in both French and English)

Provenance of Benchmark

Carried out by TASC, whose work was overseen by the National Training Board, which provides guidelines for standards policy across the country. Builds on work carried out by the Alberta Tourism Education Council on the development of competencies, skills and standards for a small business owner/operator. Developed by 5 of the Councils representing the Sector Councils Steering Committee – Tourism, Automotive Repair, Impression 2000, Software and Horticulture.

Approach focused on a review of several existing sets of Sector Council standards. In addition, a brief review conducted of small business certification and accreditation of management core skill sets, training delivery strategies as well as analysis of success and failure factors of small businesses.

In the absence of existing standards, review team carried out a benchmarking exercise on The Australian Competency Standard for Small Business – based on a business cycle approach (presentation is NVQ-type).

Process was not intended to develop a 'one size fits all' approach, but to use its generic framework for industries to develop the specific content for their own application.

At that time Canada did not have a national body co-ordinating standards development and ensuring national recognition for standards produced by a variety of organisations.

Size of Organisation Benchmark Designed For

Small businesses (size defined – following the Australian model – as manufacturing firms employing 100 or fewer and construction and service firms employing 20 or fewer). The report observes that this definition generally reflects certain management organisational characteristics, such as, independently owned and the owner/manager makes the firm's principal decisions and provides most of the operating capital. It was, however, subsequently agreed that focusing on small businesses with approximately 10 employees would provide the appropriate image of an owner/operator.

Sector Benchmark Designed For

Private sector

Purpose of Benchmark

Primary objective of project was to develop management competencies and skills sets for small business owner/operators. In order to effectively develop performance measures (standards) for these competencies and skill sets and implement learning programmes, it was recommended that thought be given to the framework that would support and evolve these management standards. A broader working group was set up to do so.

Status of Benchmark

Supported by members of the Alliance of Sector Councils. In its given form, represents recommendations - demonstrating the rationale for using this standard as an essential building block. (need to follow up on actual use).

Industry Canada intended to provide an electronic bulletin board to link providers, disseminators and users of skills information. The aim was to package and deliver the information in such a way that the small businessperson would be motivated to interact with the intermediaries or with the database directly.

Reviewer of Benchmark

Maureen Layte

Summary of the Benchmark

Impetus for the initiative arose from the fact that the growth in micro businesses (10 employees or under for the purpose of this analysis) and self-employed businesses had accelerated to become the primary source of employment growth in the economy. As these small firms operate on a daily basis, grow and expand the owner/operator is faced with ongoing management challenges that will make a significant difference in the success or failure of the business. The dynamics of growth among these businesses is quite volatile with a high percentage failing in the first few years of operations. There is significant evidence that the failure of micro businesses is managerial incompetence - a lack of managerial skills, where the owner/operator is responsible for many management activities. On the other hand, management skills, after entrepreneurial values, contribute to much of the success to these businesses. A useful set of management competencies and skills that are performance based would go a long way to guide learning, training and product development targeted for this client group.

The needs of the niche market for management skills defined by the small business owner/operator in the form of a competency/skills/standards framework were identified.

A review of management competencies, skills and standards, certification and accreditation programs of the participating councils and others led to the following being identified as the key competency blocks necessary for a small business owner/manager to operate his/her business.

- Business Planning
- Marketing/Sales/Service
- Fiscal Planning
- Human Resource Management
- Business Operations
- Professionalism
- Computer Technology*
- Industry Awareness
- The Business Cycle*

These competency blocks follow traditional functional activities in the operation of a small business and in the teaching of business management.

TASC was concerned to emphasise the special nature of the management skills required by those working in small enterprises:

The significant difference between management skills required by a small business owner/operator and management in a medium to large size organization is the small business owner needs to perform and/or be actively involved in all these functions, whereas in the larger organization, marketing and human resource management for example, are line functions managed separately, usually reporting to another level of management.

Small Business Characteristics Implications for Teachers and Trainers

The SME Customer
Some Key Characteristics

- Limited time
- Limited resources
- Limited functional support
- Limited environmental scanning
- Personalized network
- Short planning horizon
- Learning by doing
- Does not read
- Problem solving/opportunity grasping approach
- Business development oriented

Associated Learning
Needs/Wants

- Problem solving/opportunity grasping approach
- Business development oriented
- Appropriate technology (right level)
- Action orientation
- Personalized approach/service
- Tailor made
- Endorsed by/involving peers
- Peer group learning
- "How to' and "Who with" (not what)
- Local access

- Ego - business
- Psychological benefits/Catered for
- Holistic management
- Time effective approaches
- Importance of personal ambition
- Informal appropriate systems
- Suspicious of bureaucracy

Source: Gibb, Allan Do We Really Teach Small Business the Way We Should?

Journal of Small Business & Entrepreneurship, 1994

For the purpose of this project, the characteristics that define the needs of a small business owner/operator are substantially different from those for managers in large organizations. With this premise there is value in developing a management skills framework for the owner/operator of a micro business.

Based on the tourism small business operator standard and various other management standards, accreditation and certification processes, nine competency blocks were identified under which the management skills for a small business owner/operator were developed.

Each competency block has one or more skills under which performance criteria and/or knowledge criteria are identified. All of these performance criteria would be sub-divided into smaller tasks to be performed by the business operator. To be competent in a specific area there are skills to be developed with specific performance measures to achieve.

To grasp the scope of activities under various competencies, defining some of the terminology as "need to know" knowledge in each area is a useful starting point. Knowledge criteria are also important in the overall development of skills and are identified separately from performance measures. The knowledge criteria focus on the "need to know" and help in the development and understanding of work as a business.

The nine competency blocks are as follows:

1. Business Planning
2. Marketing/Sales/Service
3. Financial Management
4. Human Resource Management
5. Business Operations
6. Professionalism
7. Technology
8. Industry Awareness
9. The Business Cycle

Each competency is presented in the following manner (translated from the French version as English not available)

Competences and Management Skills for a Small Business Owner/Operator

Competency Block

Business Planning

Skill Set: 1

Define Business Plan

Performance criteria

(«how»)

Knowledge criteria:

(«know how»)

- Prepare market feasibility
- Define the business plan
- Mission plan
- Strategic plan
- Goals and objectives
- Definition of the problem

Competency Block: 1

Business Planning

Skill Set: 2

Determine Market feasibility

Performance criteria:

(«how»)

1. Determine market potential
2. Determine market share
3. Determine the position of the business
4. Specify products and services
5. Specify market players
6. Determine the schedule for planning
7. Summarise market feasibility

Implications for the Review of Management Standard

Important to bear in mind that this framework was produced in 1995 and reflects the practices and priorities of the time.

Given the definition of the principal target of this framework – organisations employing 10 people or fewer - this benchmark should probably be taken with the SFEDI standards to consider the boundaries between organisational size, the challenge of managing growth, and the consequent implications for management functions.

The underlying assumption is that small business managers have to be 'multicompetent' and the competencies indicated thus cover the entire range of operational competencies. The focus here is on skills and performance

rather than on qualities and attitudes. Leadership is not an explicit issue as owner managers are expected to fulfil this role.

In its current format it offers nothing innovative either in content or presentation.

Have contacted the Alliance to find out whether the competencies were further developed/updated and how they were used.

Coverage

Broad outlines of management functions firmly placed in the context of a small business. No level indicated. There is not the level of detail to be found in the NOS.

Management Practice

Must be seen in context both of small business milieu and the year, 1995. Apart from indicating the broad domains of small business management, there is no detailed presentation of a particular management model.

Uses

The competency framework represents the first statement of generic competencies for small business managers.

It was envisaged that the use of management competencies and skills among the Sector Councils was most likely to be with existing owner/operators, with a potential extension to the development of management programs in various institutions and educational settings. It was hoped that application of the competencies and skills would help assess management strengths and weakness of an owner/operator and help identify the importance of certain skills at different stages during the business cycle. This would take place in the context of available support through the Skills Sectors.

Format

The format shows similarities to the NOS without the level of detail and has clearly been influenced by the benchmarking exercises carried out, particularly with the Australian standards, themselves owing much to the UK NOS. As can be seen from the extracts above, the performance criteria are not presented in such a way as to constitute an evaluation instrument.

Conclusion

Of some, but limited value, as currently available.

Annex 5: Project Management Body of Knowledge

Title of Benchmark

Project Management Body of Knowledge

Brief Description of Benchmark

A comprehensive framework and detailed listing of the knowledge required for project management in any context, developed over twenty years through very wide consultation.

Owner of Benchmark

Project Management Institute, Pennsylvania, USA

Country of Origin

USA

Provenance of Benchmark

Professional Body

Size of Organisation Benchmark Designed For

All, but likely to be more used in larger organisations carrying out major projects. Could also be used in smaller organisations contracted to carry out sub-projects.

Sector Benchmark Designed For

Private and Public

Purpose of Benchmark

Individual development of professional project managers

Status of Benchmark

National acceptance (Approved by American National Standards Institute ANSI/PMI 99-001-2000), but used globally through other professional bodies.

Reviewer of Benchmark

Trevor Boutall

Summary of the Benchmark

The Project Management Institute, based in Pennsylvania USA, sees a composite "body of knowledge" as one of the five attributes of a professional body (along with: educational programs; certification; code of ethics; representation of members' interests).

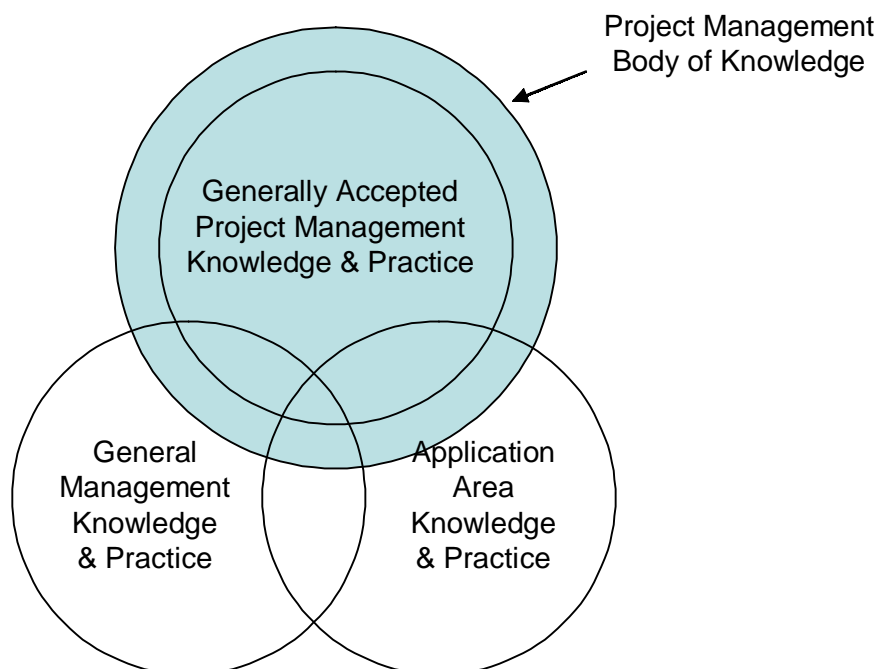
It started work on the development of the Project Management Body of Knowledge (PMBOK®) in 1981 under the direction of a Standards Committee with national and international representation from employers, consultancies and universities. Consultation on the PMBOK® has been very wide and revision is a continuous process. The current (2000) edition replaces the 1996 edition which replaced the 1987 edition.

PMBOK® recognises the difference between Project Management and *Management by Projects* which has become a popular way of managing organisations because of the pace of change, the turbulent environments and the open systems in which organisations now operate.

One of the issues that has been continually addressed is what should be included in the generic PMBOK®.

- Should it include only those functions that take place in every project? (This would be far too limiting.)
- Should it include all potential project management functions, so it can be used as a check list and those functions that do not apply to a particular function can be struck off? (This would be a never-ending list.)
- Should it include all those project functions that are (agreed to be) common to most projects in most contexts? (This is the pragmatic approach taken, although "most" is a flexible word and leads to arguments about what should be included or excluded.)

The overlap with generic management functions and technical/sector-specific functions is recognised in the basic model.



PMBOK® is presented in a hierarchical format.

The Project Management knowledge areas cover (PMBOK® numbering system):

4. Project Integration Management
5. Project Scope Management
6. Project Time Management
7. Project Cost Management
8. Project Quality Management
9. Project Human Resource Management
10. Project Communications Management
11. Project Risk Management
12. Project Procurement Management.

Each of these knowledge areas has an introduction and is divided into sub areas. For example Project Cost Management divides into:

- 7.1 Resource Planning
- 7.2 Cost Estimating
- 7.3 Cost Budgeting
- 7.4 Cost Control.

Each of these sub areas has an introduction and is divided into 3 sections:

- Inputs
- Tools and Techniques
- Outputs

Each of these sections comprises a number of items, each with a paragraph or two of description. For example Tools and Techniques for Cost Estimating contains:

- 7.2.2.1 Analogous estimating
- 7.2.2.2 Parametric modelling
- 7.2.2.3 Bottom-up estimating
- 7.2.2.4 Computerized tools
- 7.2.2.5 Other cost estimating methods.

Computerized tools, for example, comprises the paragraph: Computerized tools, such as project management software spreadsheet and simulation/statistical tools, are widely used to assist with cost estimating. Such products can simplify the use of the tools described earlier and thereby facilitate rapid consideration of many costing alternatives.

This is the finest level of detail that the PMBOK® goes into. It is, of course, a much finer level of detail than the knowledge specification of the current Management Standards. It stops short, however, of providing education or training in the use of these tools or techniques. It certainly describes in detail what project managers need to know. It does not, however, provide them with all this knowledge – it is the curriculum for a project management course, not the course itself.

The Knowledge Areas are mapped against the five key Process Groups of Project Management:

- Initiating

- Planning
- Executing
- Controlling
- Closing.

These processes apply to the project as a whole and each of the phases within it. Different Knowledge Areas are found in different phases of the project.

There is also a considerable amount of duplication, or cross-referencing throughout the PMBOK®. For example, Work Breakdown Structure is described in some detail as a *tool/technique* for scope definition, but it is also an *input* in many of the other areas.

The PMBOK® is presented in a 200 page book that retails at \$35.95.

PMBOK® also contains an excellent glossary of terms and acronyms.

Implications for the Review of Management Standards

Whilst this benchmark only covers a part of the domain (Project Management) it has broad implications for the Review of Management Standards as a whole.

1. The level of detail at which the body of knowledge is expressed could be indicative of the level of detail required for the knowledge and understanding specification in the Management Standards. This would require a massive effort, far in excess of that currently budgeted for in the development of NOS.
2. The structure and format of the PMBOK® could inform the structure and format of the Management and Leadership Knowledge and Understanding specification.
3. The PMBOK® is based on “capturing those practices, tools, techniques and practices that have become generally accepted [in project management]”. This is not such a rigorous method as the deductive approach we adopt through Functional Analysis and the question “what does the worker need to know and understand to carry out this function competently?” We cannot therefore be sure the PMBOK® contains all the necessary knowledge and understanding. However, the knowledge and understanding specified and the processes implied by the Project Management Units in the Management Standards can be benchmarked to the knowledge and processes outlined in the PMBOK® and a gap analysis undertaken.
4. The relationship between Project Management and Generic Management defined in PMBOK® should be considered when structuring Project Management Units and when designing qualifications for project managers based on these units. For example, there are clear indications of what is core and what is optional.
5. The PMBOK® covers project management at a greater level of detail than in the Management Standards. It also covers risk management and procurement which are not fully covered in the Management Standards. There are implications here for the level of detail and coverage of the Management Standards.

Coverage

The PMBOK® comprehensively and exclusively covers Project Management, but recognises the overlap with generic management. It is concerned with *knowledge* but, by implication, covers the functions and requirements of project management.

The Knowledge Areas are:

Project Integration Management

A subset of project management that includes the processes required to ensure that the various elements of the project are properly coordinated. It consists of:

- Project plan development – integrating and coordinating all project plans to create a consistent, coherent document
- Project plan execution – carrying out the project plan by performing the activities included therein
- Integrated change control – coordinating changes across the entire project.

Project Scope Management

A subset of project management that includes the processes required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. It consists of:

- Initiation – authorizing the project or phase
- Scope planning – developing a written scope statement as the basis for future project decisions
- Scope definition – subdividing the major project deliverables into smaller, more manageable components
- Scope change control – controlling changes to project scope.

Project Time Management

A subset of project management that includes the processes required to ensure timely completion of the project. It consists of:

- Activity definition – identifying the specific activities that must be performed to produce the various project deliverables
- Activity sequencing – identifying and documenting interactivity dependencies
- Activity duration estimating – estimating the number of work periods that will be needed to complete the individual activities
- Schedule development - analysing activity sequences, activity durations, and resource requirements to create the project schedule
- Schedule control – controlling changes to the project schedule.

Project Cost Management

A subset of project management that includes the processes required to ensure that the project is completed within the approved budget. It consists of:

- Resource planning – determining what resources (people, equipment, materials) and what quantities of each should be used to perform the project activities
- Cost estimating – developing an approximation (estimate) of the costs of the resources needed to complete the project activities
- Cost budgeting – allocating the overall cost estimate to individual work activities
- Cost control – controlling changes to the project budget.

Project Quality Management

A subset of project management that includes the processes required to ensure that the project will satisfy the needs for which it was undertaken. It consists of:

- Quality planning – identifying which quality standards are relevant to the project and determining how to meet them
- Quality assurance – evaluating overall project performance on a regular basis to provide confidence that the project will satisfy the relevant quality standards
- Quality control – monitoring specific project results to determine if they comply with relevant quality standards and identifying ways to eliminate the causes of unsatisfactory performance.

Project Human Resource Management

A subset of project management that includes the processes required to make the most effective use of the people involved with the project. It consists of:

- Organizational planning – identifying, documenting, and assigning project roles, responsibilities, and reporting relationships
- Staff acquisition – getting the needed human resources assigned to and working on the project
- Team development – developing individual and group skills to enhance project performance.

Project Communications Management

A subset of project management that includes the processes required to ensure timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of project information. It consists of:

- Communications planning – determining the information and communications needs of stakeholders: who needs what information, when they will need it, and how it will be given to them
- Information distribution – making needed information available to project stakeholders in a timely manner
- Performance reporting – collecting and disseminating performance information. This includes status reporting, progress measurement, and forecasting
- Administrative closure – generating, gathering, and disseminating information to formalize phase or project completion.

Project Risk Management

Risk management is the systematic process of identifying, analyzing, and responding to project risk. It includes maximising the probability and consequences of positive events and minimizing the probability and consequences of adverse events to project objectives. It includes:

- Risk management planning – deciding how to approach and plan the risk management activities for a project
- Risk identification – determining which risks might affect the project and documenting their characteristics
- Qualitative risk analysis – performing a qualitative analysis of risks and conditions to prioritize their effects on project objectives
- Quantitative risk analysis – measuring the probability and consequences of risks and estimating their implications for project objectives
- Risk response planning – developing procedures and techniques to enhance opportunities and reduce threats from risk to the project's objectives
- Risk monitoring and control – monitoring residual risks, identifying new risks, executing risk reduction plans, and evaluating their effectiveness throughout the project life cycle.

Project Procurement Management

A subset of project management that includes the processes required to acquire goods and services to attain project scope from outside the performing organization. It consists of:

- Procurement planning – determining what to procure and when
- Solicitation planning – documenting product requirements and identifying potential sources
- Solicitation – obtaining quotations, bids, offers, or proposals, as appropriate
- Source selection – choosing from among potential sellers
- Contract administration – managing the relationship with the seller
- Contract closeout – completion and settlement of the contract, including resolution of any open items.

Management Practice

The management practice described in the PMBOK® is very similar to that described in the Management Standards. It covers the G units and many of the other units as they are relevant to project management. It also covers risk management and procurement management which are not fully covered in the Management Standards.

The model of management is very "scientific" or "technical" with an emphasis on control rather than empowering.

Uses

The PMBOK® was designed primarily for the individual development of professional project managers, but it is clearly useful to trainers and educators in helping them design programmes.

It could be used as the basis for assessing knowledge, but not as the basis for assessing performance.

Format

The format of presentation is highly structured and hierarchical as one might expect from a project management body. It is also very clearly and accurately expressed, which makes it a good model to follow. The glossary contains useful definitions.

Conclusion

The PMBOK® is an important and significant piece of work that should be considered in the Review of Management Standards. It has a number of clear implications. It provides a useful benchmark and a number of ideas about how the standards, particularly the knowledge and understanding can be expressed.

Annex 6: HR Competencies and Professional Standards

Title of Benchmark

HR Competencies and Professional Standards (contained in 88pp report published June 2000).

Brief Description of Benchmark

Worldwide definition of what an HR professional is and does in terms of a 'global set of core competencies'. Based on consideration of the range of practices in different countries' professional standards and certification programmes by means of a literature review and worldwide surveys.

Owner of Benchmark

World Federation of Personnel Management Associations (Professional Associations/Institutes)

Country of Origin

UK (on behalf of WFPMA). Managed by CIPD.

Provenance of Benchmark

Centre for European HR Management, Cranfield School of Management

Size of Organisation Benchmark Designed For

All (but more likely to be used in large and medium sized enterprises with dedicated personnel function).

Sector Benchmark Designed For

Private and public

Purpose of Benchmark

Establish a body of knowledge and a base for comparison. See if an internationally agreed body of knowledge/benchmarks exist.

Status of Benchmark

Advisory

Reviewer of Benchmark

Maureen Layte

Summary of the Benchmark

In July 1998 the WFPMA commissioned a major research study to find out whether or not a common core of competencies exists for human resource management around the world, and therefore whether it is possible to define an HR professional; part of the project flowing from this would be to try to encapsulate the learning and development necessary to achieve and maintain the standards implicit in that definition (or definitions in the event of significant regional differences).

Taking account of work on this subject that had already been carried out in various countries and drawing on close links with WFPMA member associations and other contacts, the study examined routes into the human resource field; education, training and career paths; and definitions of standards and accreditation. The approach taken was to consider the range of practices in different countries' professional standards and certification programmes by means of a literature review and worldwide surveys.

The project addressed:

- How different countries define the standards for what constitutes an HR professional; and the competencies they need to be able to apply at the various levels of professional activity - from the operational to the strategic;
- How national associations certify the attainment of professional standards; and the learning and development routes that can be pursued to keep those competencies up to date;
- Whether there are generic standards of professionalism in human resource management common to all or many countries; and, if so, what professional standards might be appropriate to certify the attainment of those competencies;
- Whether standards can be expressed in such a way that would be helpful to emerging professional associations wishing to develop HR professionalism in their country.

The development of an HR competency model was advocated, and a summary provided of the common core competencies. Variations in these core competencies are discussed against national, organisational and time contexts.

The body of knowledge is presented as a Global Framework of Skills and Knowledge. This is broken down into a description of what practitioners are expected to know and to be able to do in order to operate at a support, professional or strategic level in the management and development of people.

The report summarises practical ideas for the content of professional standards, and how these might be translated into sets of skills and knowledge for the development of personnel professionals.

Three interchangeable terms were used in this study:

- competencies
- capabilities
- skills, knowledge, attributes and other characteristics.

The report's authors note a useful description of competencies for this project by Kochanski (1996 pp.4) provides who defines competencies as the success factors that enable the assessment, feedback, development and reward processes for individuals to take place. Holmes (1992) also gives us a useful definition of competence-based qualifications, which are fundamental to the aims of this project. Competence-based qualifications provide a statement about what a person is capable of doing rather than what they have done in the past. Measuring competence is not about performance to a standard, i.e. what a person actually does, but it is about what a person is capable of doing. It is a measure of anticipated performance based on inference from past performance, often based on observation. Competency definition is also based primarily on defining superior

performance, rather than average levels of performance. As organisations become more global it can be argued that the need for standardisation within the profession is growing.

The framework claims to go 'beyond the boundaries of functional specialism and describes the areas of skill and knowledge that a 'typical' (generalist personnel practitioner for an organisation with 100-300 employees, reporting direct to the chief executive, with administrative support) personnel professional might reasonably be expected to have'. It does not include the definition of standards of performance as these are left to individual organisations to define due to the many possible variations based on an organisation's size, ownership, sector, etc.

The presentation reflects the elementary level of analysis and in simple tabular form. There are two levels of analysis:

- Division of area into 4 operational domains (context):
 - personal
 - organisational
 - managerial
 - functional
- the skills and knowledge associated with these domains.

Implications for the Review of Management Standards

The 'competencies' presented in the report have limited but real value. There is a clear interest for the Review in that people management is identified as a fundamental and discrete management competency in the existing standards.

The fact that this framework (perhaps rather the report as a whole) comes from such a prestigious source gives it significant credibility. Firstly, it is useful to have the personnel people 'on board' as far as accepting the desirability of a standard framework of competence. Indeed CIPD have expressed the opinion that it is essential for all major actors to be involved in such initiatives.

The framework is not the result of functional analysis, but a mixed description of activities and qualities, which represents a very early stage in the process of competence development.

There is some attempt to tackle the question of leadership. The leadership role competencies are concerned with relationship management, facilitation and building. They focus on the various areas of organisational management such as project, assets, talent and information. Responsiveness to stakeholders is another key competency that also links back to the organisation awareness competencies. Issues such as quality and value are key words to be found amongst these competences.

The report contains a useful section on the evolution of HR competencies. The primary comment regarding the change in competency requirements over time, particularly in the US, Australian and UK literature is the increasing importance of business knowledge, and in particular, financial management. This appears to be generating a particular interest in organisations, especially where senior-level HR practitioners have a place on the main board of management. Also as time progresses, certain management techniques and processes come in and go out of fashion: changing the focus of HR practices. For example, the relatively recent phenomenon of outsourcing described above demands new technical competencies. In another example, in the 1980s, business skills and knowledge of the work environment were already important factors in the effectiveness of HR Trainer/Developer roles in the UK. This was starting to appear increasingly in US literature on the topic, but had not pervaded Australian literature at all at this stage. Other causes of variation in HR competencies depend on such things as the level of decentralisation, strategic integration and HR careers and professional allegiance.

Cross-cultural aspects are particularly interesting if transcultural and transnational management expertise is identified as one of tomorrow's competencies. In some countries, the consequences of not abiding by laws on discrimination may have major financial consequences for the organisation (in the United States, for instance). In others, this may not be so significant. In some countries, laws on discrimination are very comprehensive, whereas in other countries these laws are used in fewer areas. Equally, legislation in Europe is generally stricter than in the US regarding issues of health and safety, working time and employee consultation. Economic wealth may influence the use of HR competencies, since the use of fringe benefits (for example, pensions or healthcare) seems to be more common in wealthy countries. In addition, rich countries tend to spend more resources on training, so in these countries, more specialised training staff are needed. Cultural differences can be seen, for example, in attitudes and definitions of what makes an effective manager, feedback, power distance and uncertainty avoidance. National differences in labour markets and the current type of labour market (eg many vacancies and a shortage of skills, current levels of unemployment, etc) will affect the perceived nature of HR competencies.

Coverage

Covers all the areas identified as important by respondents to the survey.

Management Practice

No detailed management practice contained in the competency framework

Uses

According to the report's authors, the advantages of having such a framework of knowledge and skills include encouraging and supporting the development of professional knowledge and competence and high standards of performance among personnel practitioners, and hence improving HR credibility and professionalism. A framework can also provide guidance to professional associations and other educational bodies for the development of people involved in the fields of personnel management and development. It can act as a basis against which the development needs of association members can be assessed, and can provide a basis for syllabuses for education and training programmes and publications. The framework can also act as a benchmark for HR professionals to compare their knowledge, skills and abilities with those that their peers consider appropriate. And importantly, it is a means of providing a focus within the increasingly complex field of personnel management.

Despite these hopes, however, no documented use of the framework is currently available.

Format

Format reflects the elementary level of analysis and is in simple tabular form. There are two levels of analysis:

- Division of area into 4 operational domains (context):
 - personal
 - organisational
 - managerial
 - functional
- the skills and knowledge associated with these domains.

Conclusion

Competency framework interesting but of limited value as far as the detail of the future standards is concerned. Whole report could usefully be taken into account in the MSR.

Annex 7: HCIMA Corpus of Management Excellence

Title of Benchmark

Corpus of Management Excellence

Brief Description of Benchmark

The HCIMA Corpus of Management Excellence was developed between 1996 – 1998 as a description of the knowledge and skills required of those working at senior management, operational management or supervisory level in the hospitality industry.

Owner of Benchmark

Hotel and Catering International Management Association

Country of Origin

UK

Provenance of Benchmark

Professional Association

Size of Organisation Benchmark Designed For

All

Sector Benchmark Designed For

Hospitality Industry

Purpose of Benchmark

"A benchmark against which the progressive development and achievement of each individual working in the industry or studying within this vocational specialism might be measured."

Status of Benchmark

Industry standard

Reviewer of Benchmark

Trevor Boutall

Summary of the Benchmark

The Corpus of Management Excellence was developed through wide-ranging research amongst employers, education institutions and the press in 14 different countries. Over 400 individuals representing 170 companies and 60 educational institutions were involved in the consultation.

The Corpus is divided into 48 building blocks, each presented on a single A4 loose-leaf page. The blocks are grouped into 4 Clusters (Core Hospitality Topics, Key Management Themes, Sector Topics, Supporting Hospitality Topics) and presented at 3 Levels (Supervisory Management, Operational Management, Senior Management).

Coverage

The blocks in the corpus cover the following areas:

CORE HOSPITALITY TOPICS					
SV	6. Supervisory Management	OP	Operational Management	SN	Senior Management
01	customer service in hospitality	01	managing customer service in hospitality	01	hospitality customer behaviour
02	selling and sales supervision in hospitality	02	sales management in hospitality		
03	accommodation and receptions skills and knowledge	03	accommodation and receptions skills and knowledge		
04	food & beverage production and service skills and knowledge	04	food & beverage skills and knowledge		
05	basic nutrition and diet	05	nutrition and diet		
06	food hygiene	06	managing food hygiene	06	corporate food hygiene policy
07	supervising food production operations	07	managing food production operations		
08	supervising food and beverage services	08	managing food and beverage services		
09	supervising rooms and accommodation services	09	managing rooms and accommodation services		
10	supervising reception services	10	front of house management		
11	supervising hospitality operations	11	managing hospitality operations		
12	work experience	12	work experience	12	work experience
KEY MANAGEMENT THEMES					
13	cost control in hospitality	13	budgeting and accounting in hospitality operations	13	financial management
		14	marketing	14	marketing management
15	team leading including training skills	15	human resources management	15	corporate human resources management
		16	training and developing others		
17	self development and personal skills	17	self development and personal skills	17	self development and personal skills
		18	management studies	18	advanced management studies
		19	establishing a small business	19	directing and developing a small hospitality business

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		20	managing change	20	strategic change management
				21	strategic management in hospitality
		22	managing quality	22	strategic quality management
				23	managing corporate communications and PR
		24	economics for the hospitality manager		
25	introduction to the business environment	25	the European business environment	25	the global business environment
SECTOR TOPICS					
		26	managing hotel operations	26	directing hotel operations
		27	facilities management	27	strategic facilities management
		28	property and estates management	28	strategic management of property and estates
		29	managing catering and multiple service contracts	29	directing catering and multiple service contracts
		30	hospitality management in the public sector	30	directing hospitality operations in the public sector
		31	managing travel and retail catering operations	31	directing travel and retail catering operations
		32	managing catering & hotel services in healthcare & education	32	directing catering & hotel services in healthcare & education
		33	licensed retail management		
		34	managing hospitality and logistics in the armed services	34	directing hospitality in the armed services
		35	leisure management		
		36	special events management	36	project management
SUPPORTING HOSPITALITY THEMES					
37	introduction to the hospitality industry	37	the hospitality industry		
38	introduction to law in hospitality	38	statutory regulations and legal requirements		
39	introduction to business information systems in hospitality	39	managing business information systems in hospitality	39	managing business information systems in hospitality
				40	environmental policy making
		41	hospitality technology		
		42	food and society		
		43	food science		
		44	ergonomics and occupational health		

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		45	tourism		
		46	managing international hospitality business operations	46	directing international hospitality business operations
		47	organisational behaviour		
48	modern foreign languages	48	modern foreign languages	48	modern foreign languages

Uses

The Corpus is designed to be used in a variety of ways such as CPD, human resource planning, quality control and accreditation, curriculum design and development and work experience. The most obvious use is profiling jobs against the Corpus, so that individual workers can see exactly the knowledge and skills they require for their jobs.

Format

Each block is presented on a separate A4 loose-leaf page comprising:

- title (eg Team Leading)
- short description (eg This block focuses on the supervisory manager's main task – that of achieving business objectives through day-to-day team leadership.)
- topic headings (eg Leading a Team), under which there is an expansion of the topic (eg conduct and capability) and brief examples (eg in disciplinary situations)
- list of linked blocks at this level
- list of linked blocks at the next levels
- authorities in this area (eg CIPD, ISM, NEBSM)
- practical application (eg all supervisory managers who are responsible for the work of others require these skills)

Management Practice

The implied management style is traditional transactional leadership.

Implications for the Review of Management Standards

This benchmark appears to have been developed more with the design of educational and training programmes in mind than the description of competencies or standards of performance. It therefore provides a comprehensive body of knowledge (and to some extent, skills) for management in the hospitality industry, including the generic areas relevant to all managers.

It is, however, rather dated (developed 1996 – 98) in comparison to other benchmarks studied.

Useful for the review of the management standards are:

1. Consideration of presentation of knowledge in blocks on single pages (level of detail is about the same as in the current management standards)
2. Benchmarking against "new" areas for the management standards (such as marketing and sales).

Conclusion

Benchmark has limited application as it is rather dated and it only covers knowledge (and skills) but not performance.

Annex 8: Shell Leadership Framework

Title of Benchmark

Shell Leadership Framework

Brief Description of Benchmark

A set of nine leadership 'elements' (referred to within Shell as the 'nine planets') with accompanying summary explanations. We are given to understand that there is far more detail that lies behind the summaries, but this detail has not been made available to us.

Owner of Benchmark

Royal Dutch/Shell Group of Companies

Country of Origin

Global to the whole group of companies.

Provenance of Benchmark

Developed by Shell as part of their leadership development programme.

Size of Organisation Benchmark Designed For

Multi-national.

Sector Benchmark Designed For

Energy.

Purpose of Benchmark

Used for the on-going assessment and development of managers/leaders at all levels within the Royal Dutch/Shell Group.

Status of Benchmark

Company specific.

Reviewer of Benchmark

Geoff Carroll

Summary of the Benchmark

The material provided is shown below.

<i>Element</i>	<i>Summary</i>
Builds Shared Vision	Builds a coherent set of long term goals for the organisation and is able through a range of communication channels to engage & inspire others to adopt and deliver the goals.
Champions Customer Focus	From a close understanding of customers' needs, both current & anticipated, creates & delivers sustainable, tailored customer propositions to provide world class products & services and enhance Shell's reputation. <i>Championing Customer Focus depends critically on identifying the customer. Given the breadth of our activities this leads to a broad definition of "Customers" including: internal clients, external agencies & governments</i>
Maximises Business Opportunities	Demonstrates the entrepreneurial flair and financial acumen to translate strategic opportunities into specific plans for growth. Creates value through cost leadership and revenue stream. Pursues business opportunities for local area which also support the wider organisation's goals.
Demonstrates Professional Mastery	Has clear depth of expertise & experience which is supported by clear accountability. Is continuously learning & innovating. An in-depth grasp of operating environment generates a robust sense of reality.
Displays Personal Effectiveness	Acts with integrity to a clearly expressed set of values. Displays self-confidence appropriate to differing situations. Has drive, resilience, genuineness, openness & self-awareness. Leverages interpersonal sensitivity to influence others. Successfully manages uncertainty and 'boundarylessness'. Makes decisions with incomplete or conflicting data. Understands implications beyond the immediate yet retains focus and bias for action. Builds effective networks and alliances.
Demonstrates Courage	Accepts personal accountability to drive continuous improvement through effective influencing, appropriate challenge, overcoming resistance and resolving conflicts. Effectively creates tension with current situation to move the organisation forward. Creates a culture that strongly supports, encourages & challenges others to take risks, to look for opportunities for improvement & to champion innovative ideas.
Motivates, Coaches & Develops	Creates and tailors environments which maximise individuals' motivation & support learning. Coaches formally & informally. Empowers others. Attracts & develops talent. Encourages a 'learning organisation' culture in which people admit to & learn from mistakes and adopt & build on other's solutions.
Values Differences	Seeks and utilises diverse inputs & people to achieve desired results. Encourages different perspectives and actively seeks challenge to own opinion. Welcomes creative tension arising from working with people who have different approaches. Draws the best out of each individual through demonstrating respect for their contribution, enabling them to fulfil their potential.
Delivers Results	Establishes and communicates high expectations and sense of urgency. Drives for delivery using effective measures of progress & management of resources and takes decisive action to stay on track.

Implications for the Review of Management Standards

The Shell Leadership Framework probably has more in common with the Management Personal Competencies than the standards themselves. However, there are a number of issues within the framework that deserve attention, particularly since they correspond with issues that are arising from the Occupational Mapping and Evaluation of the Current Management Standards.

1. There is a strong customer focus within the framework that is not well represented either in the current Management Standards or the Personal Competency Model. This embraces not just understanding and responding to customer needs, but also championing customers.
2. The issue of 'entrepreneurialism' is dealt with explicitly. This creates a picture of a leader who is more dynamic and creative than the current standards suggest.
3. The issue of networks and alliances appears more clearly and with greater emphasis.
4. Risk taking and the encouragement of risk taking is explicit (possibly links to and underpins entrepreneurialism).
5. Creating environments in which people can learn and coaching receives important attention as does empowerment, the learning organisation and encouraging others to be open about mistakes and being prepared to learn from them.
6. Diversity and making best use of diversity emerges as an important element. This section could be very valuable for future standards.

Coverage

As noted earlier, the framework addresses areas that are closer to personal competency than occupational standards and all within a leadership context.

Management Practice

In the opinion of the reviewer, the Shell Framework suggests a leader/manager who is more dynamic, creative and forward looking than our current standards.

Uses

On-going appraisal and development at all levels in the multi-national group of companies.

Format

Not relevant.

Conclusion

Although only provided in outline, the Framework provides several important clues as to what Shell feels is important in its managers/leaders. Many of these correspond to issues that have been raised in other strands of the review. The Framework should be studied again during the revision of the standards and Royal Dutch/Shell encouraged to take part in consultations.

Annex 9: Johnson and Johnson's Standards of Leadership

Title of Benchmark

Standards of Leadership

Brief Description of Benchmark

Leadership standards have been bundled in five categories: Customer/Marketplace, Innovation, Interdependent Partnering, Masters complexity and Organisational and people development. Underpinning these are business results based on their Credo values.

Owner of Benchmark

Johnson & Johnson plc

Country of Origin

USA

Provenance of Benchmark

Developed by the head office of Johnson & Johnson, New Jersey, USA for all its international operating units. In the UK J&J operates a 50/50 partnership with Merck.

Size of Organisation Benchmark Designed For

37 global affiliates, 198 operating units in 54 countries – each highly autonomous and accountable for its individual performance. Approximate total number of employees – 106,100.

Sector Benchmark Designed For

Consumer, Pharmaceutical, and Medical Devices and Diagnostics (Professional) markets

Purpose of Benchmark

The Standards of Leadership are used to identify leadership potential from an early stage in an individual's career ensuring

- 1) development plans are set in place,
- 2) senior management is aware of the talent pool within the organisation
- 3) successful succession development planning process.

Status of Benchmark

Innovative model – J&J believe in 'small company environment big-company impact' and individuals are encouraged to choose the method of developing themselves (through their chosen functional discipline or as they gain experience and knowledge of different business segments). This process has been developed over 30 years.

Reviewer of Benchmark

Rekha Wadhvani

Summary of the Benchmark

J&J Credo values and business results form the heart of the Standards of Leadership framework. The business results are based on:

- customer satisfaction
- project quality
- new product flow
- cost effectiveness
- regulatory compliance
- people development
- productivity
- environmental / safety responsibility
- cash flow
- volume growth
- market share
- income growth

The Leadership competencies or behaviours required to achieve these business results are:

Customer / Marketplace focus:

- Creates value for customers
- Focuses externally

Innovation:

- Forges a vision of the future
- Fuels business growth
- Promotes innovation and continuous learning

Interdependent partnering:

- Builds interdependent partnering

Mastering complexity:

- Manages complexity
- Implements positive change

Organisational and people development:

- Creates an achievement environment
- Develops people for optimal performance

Implications for the Review of Management Standards

May want to consider **Interdependent Partnering** (partnership working in English) and **Organisational & People development** areas of the J&J Leadership standards. Even though some of the material from Organisational & People development is already included in the current Management Standards.

Coverage

The J&J Leadership competencies cover all levels of leaders throughout the various operating units.

Management Practice

Each individual is developed according to their progress rate and choice. As each operating unit is autonomous and therefore has fewer management or bureaucratic layers, decision making and advancement is quicker.

Uses

J&J has developed a 'i-Lead' process which puts the onus of development on the individual while the manager / supervisor provides the support and the organisation provides the resources required.

Format

The training is available via their intranet. Other forms of training include Internet, computer-based training, video conferencing, learning via satellite, and distance learning.

Conclusion

J&J is a very supportive organisation placing great emphasis on development and achieving a work/life balance for its employees. The UK office should be invited to get involved with the review of the Management Standards through our other consultation activities to explore how the Leadership standards translate in the UK business environment.

Annex 10: New Zealand Public Sector Chief Executives' Competencies

Title of Benchmark

New Zealand Public Service Chief Executives' Competencies (June 2001)

Brief Description of Benchmark

Set of competencies for public service chief executives – government department, social services etc.

Owner of Benchmark

State Services Commission

Country of Origin

New Zealand

Provenance of Benchmark

The competencies definitions developed for New Zealand Public Service chief executives have emerged from an exhaustive and comprehensive process of interviews, focus group discussion and analysis.

This involved gathering a wealth of data on a range of behaviours across a range of chief executives. The information was then analysed to identify key behaviours. It was then taken to a higher level of abstraction by the Cullen Egan Dell consultants. As such, the competency definitions are far more than a simple listing or verbatim summary of the raw data gathered, reflecting rather the conceptual constructs overlaying the behaviours described in those data. Furthermore, they represent the combined view of a large range of people, including politicians, public service chief executives and senior managers in the public and private sectors.

Size of Organisation Benchmark Designed For

Large public service organisations

Sector Benchmark Designed For

Chief executives of public service departments - therefore a small population but expressly of interest to aspiring candidates.

Purpose of Benchmark

Written to provide a broad understanding of the set of behaviour patterns that a person needs to bring to the position of a chief executive in the NZ Public Service in order to perform the tasks and functions of the position with competence. It is recognised that the competency definitions would require adaptation and application to the contextual situation of an individual department if they were to assist in defining an adequate set of standards for performance assessment. However, they would be more immediately amenable for recruitment, succession management, and personal development and career planning processes.

Status of Benchmark

An official statement of the competencies required by chief executives. Relatively new, so little information available about how they are being used or their impact.

Reviewer of Benchmark

Maureen Layte

Summary of the Benchmark

In this context, the term 'competency' is used in the following sense:

.....there is a general consensus that competency refers to the set of behaviour patterns an incumbent needs to bring to the position to perform its tasks and functions with competence. Competencies are underpinned by specific skills, specialised knowledge demands and personal attributes that are considered to be important in performing tasks to required standards. Some of these, such as skill and knowledge, are visible and relatively surface characteristics of people, and are fairly easy to observe. Other characteristics, such as self-concept, trait and motive are more hidden, deeper, and central to personality. Regardless of the knowledge, skills and personal attributes associated with them, competencies must be demonstrable or observable and are generally defined in behavioural terms.

In developing the competencies a distinction has been made between core competencies, which chief executives would be expected to possess, and specialist competencies which are critical to the specific areas of the department's endeavour, and which can generally be obtained only by exposure to the department's operations, or operations closely aligned to them.

The competencies therefore focus on key generic competencies, which would then be contextualised according to the specialised service. There is no claim here to have produced comprehensive standards of competence, but rather a presentation of critical positive and negative behaviours that enjoys the support of the sector for which it is intended. The aim is to promote a 'broad understanding' of appropriate behaviour patterns'. The limits of the current model as an evaluation instrument are recognised:

*...it is also important to distinguish between **performance assessment** as being the measurement of outputs and outcomes, as opposed to **competencies**, which are the definitions of inputs, that is, what is required in the incumbent to ensure that the outcomes can be produced. The indicators for each competency suggest the behaviours necessary to enable the performance objective to be obtained.*

Underlying principles underpinning these competencies are the standards and values of the New Zealand Public Service; merit and equity principles; the notion of a politically impartial and incorrupt Public Service and the exercise of judgement.

The areas covered are as follows:

Competencies Reflecting Personal Attributes

Commitment to achievement

Honesty and integrity

Intellectual capability

General Management Competencies

Management of people

Managerial expertise

Effective communication

Leadership Competencies

Building and sustaining relationships

Strategic leadership

Managing in the political-cultural context

1. The focus of the competencies dealing with personal attributes are concerned with the behaviour and outcomes resulting from the application of appropriate (and less appropriate) personal qualities and capabilities. The general description of how highly effective chief executives perform is complemented by indicators of highly effective behaviour, whose scope and orientation may vary widely – we find *Adopts a flexible and adaptable approach* together with *Maintains a healthy balance between work and non-work commitments*. In the same list we find *Prioritises tasks and uses time efficiently*, which moves us more into the operational side of management and demonstrates the difficulty of producing statements for purely personal competencies.
2. When we turn to the General Management Competencies, we find for Management of People, *Delegates full authority, responsibility and accountability to appropriate levels* together with *Displays an appropriate sense of humour and fun*.
3. Demonstration of the recommended leadership competencies would reveal the ability to:

manage multiple working relationships within the Public Service and State Sector, with the private sector, including the media, and with stakeholders to improve understanding and co- operation and achieve desired results;

think analytically and conceptually about the role of the department within the context of the Government's goals and priorities and the changing national and international environment and formulate a clear strategic direction for the department and communicate it to staff and stakeholders; and

manage the interface between the political environment and the Public Service, use the processes of government and work collaboratively with other government departments and agencies, the private sector and communities to achieve results while maintaining political neutrality.
4. The presentation of the leadership competencies, as with the other categories, naturally reflects the high level at which the intended audience is operating - on a national and international level and dealing with people at all levels within the public and private sectors. They reflect the changing demands on chief executives in terms of public accountability to all stakeholders, '*...from a certain era, CEs didn't really have to respond to the people, they could just sit at their desks in Wellington and operate from there. Now they can't do that.* The competencies outline the requirements of CEs to '*demonstrate a breadth of vision and an understanding of the "big picture" and where their department fits in*'. They are also naturally required to be '*cognisant of, and use to best advantage, the political, legislative and regulatory processes of government, in achieving objectives.*' The behavioural indicators stress the importance of understanding both formal and informal influences and of subscribing to merit and equity principles. Again, since there is just one set of indicator statements for each competency, the scope is extremely broad, with a mixture of operational/strategic competencies and appropriate attitudes.

Implications for the Review of Management Standards

A useful benchmarking reference for MSR as these competencies deal with high-level management, and this domain has emerged as needing to be taken into account during both the focus groups and the interviews. These competencies were produced with different goals in mind from the UK standard, and their orientation and format reflect this. They are not based on an occupational mapping exercise or functional analysis and remain at the level of 'desiderata' - or behaviour to be avoided - in general. The level of detail provided would not allow the aspirant chief executive to understand exactly what underlies the achievement of certain behaviours – what he/she needs to know and how to develop competence. As a tool for personal development and rigorous evaluation, the competencies are unsuitable and were not intended to serve these purposes.

Nevertheless the content is worth looking at to compare what have been identified as key elements in this area with what is emerging from the Review work. A broad vision of management is given here and the competencies look to the future. The leadership area is particularly interesting in this respect, as leadership competencies are thinner on the ground than generic management ones. While the context is very specific to high-level public servants, many of the competencies presented would be of general relevance.

What is refreshing in the presentation of these competencies is that it gives a livelier sense of the complexity and difficulties of the world of work than one finds in the current Management Standards. Rather than dealing with 'conflict' in a rather generalised, even abstract way, these statements confront the day-to-day reality and present a dynamic picture of acceptable and unacceptable behaviour. It is arguable that taking on board negative behavioural indicators may be as helpful as detailing positive ones, and may become more widespread in the future (c.f. Competencies for Nursing Management in Ireland).

On the other hand, there is a certain luxury in being able to produce generalised indicators and not having to strive for the level of 'objectivity' necessary for evaluation tools.

Coverage

These competencies represent an overview of key competencies required for chief executives in the public service. They present high-level personal, managerial and leadership competencies at a general level of detail – 22 pages in all (c.f. 131 for Senior Management Standards)

Management Practice

These competencies have been endorsed by the stakeholders concerned. They have clearly been informed by a broad and inclusive vision of management and leadership that is future-oriented. Personal qualities and leadership capabilities are valued as highly as operational competencies. Despite the lack of detail and absence of a specific knowledge base, the presentation of the competencies, with their descriptions of appropriate and inappropriate behaviour, gives an informative and lively picture of how in broad terms the chief executive should be managing his/her department.

Uses

The competencies are the basis for a range of human resource management and development activities centred on chief executives, and on those senior managers who aspire to executive positions. They assist the State Services Commissioner in recruitment and selection as well as providing a framework in which chief executives can plan their own personal and career development. At senior management level they complement departmental competencies, providing a focus for departmental planning and for strengthening service wide capability at the most senior levels of the public service. The project coordinator informed me that there is as yet no formal feedback from users of these competencies. It would be interesting to know whether competencies

presented in this way are actively used and referred to for recruitment and development purposes or remain reference documents.

Format

The competency statements utilise a simple model which:

- presents the idea behind the competency;*
- succinctly defines what that idea means; and*
- proposes typical behaviours which illustrate the competency.*

The competencies are grouped under the headings of Personal Attributes, General Management and Leadership and are not listed in order of importance.

The presentation of each standard therefore takes the form of a short general introduction to each of the three groups of competencies and two pages devoted to each competency. The first page contains a statement summarising the competency and descriptions of the behaviour and qualities of both highly effective and less effective chief executives. These descriptions are accompanied by extracts from personal observations (quotes), adding a 'human touch' to the presentation – e.g. 'ego driven, strong, forceful...strongly focused' on the one hand and 'sees all the difficulties and gives up...or has to be reluctantly dragged towards their objective'. The second page lists indicators of highly effective and ineffective behaviour.

Conclusion

Worth looking at from the point of view of high level competencies and leadership.

Annex 11: US Government Office of Personnel Management's Executive Core Qualifications

Title of Benchmark

Executive Core Qualifications (ECQ) for Senior Executive Service (SES)

Brief Description of Benchmark

The ECQs were updated in September 1997 after considerable research within the public and private sectors in the US. They are categorised in five areas. Each category or competency has several Key Characteristics that assist the Executive in demonstrating competence in the Leadership Competences:

Leading Change

Leading People

Results Driven

Business Acumen

Building Coalitions / Communication

Owner of Benchmark

Office of Personnel Management, United States government

Country of Origin

USA

Provenance of Benchmark

The US law requires that executive qualifications of every Executive are certified before appointment to a senior position in any government agency. The ECQs are used to determine experience and potential.

Size of Organisation Benchmark Designed For

The ECQs are used by all new appointees to senior executive grades at US government agencies. Approximately 5,500 Executives on the SES database

Sector Benchmark Designed For

US Government Senior Executives

Purpose of Benchmark

The competencies were designed to assess executive experience and potential. They measure whether an individual has the broad executive skills needed to succeed in a SES position.

Status of Benchmark

Each new appointee has to prove competence or potential in all five categories to be successful in the SES.

Reviewer of Benchmark

Rekha Wadhvani

Summary of the Benchmark

The five Executive Core Qualifications are underpinned by Key Characteristics with explanations on each characteristic:

Leading Change: Continual Learning, Creativity and Innovation, External Awareness, Flexibility, Resilience, Service Motivation, Strategic Thinking, Vision

Leading People: Conflict Management, Leveraging Diversity, Integrity/Honesty, Team Building

Results Driven: Accountability, Customer Service, Decisiveness, Entrepreneurship, Problem Solving, Technical Credibility

Business Acumen: Financial Management, Human Resources Management, Technology Management

Building Coalitions / Communication: Influencing/ Negotiating Interpersonal Skills, Oral Communication, Partnering, Political Savvy, Written Communication

Implications for the Review of Management Standards

The ECQs indicated above with the Key Characteristics as defined in 'Guide to the SES Qualifications' have also been identified in the focus groups held earlier in this project and, therefore, this is would an appropriate set of standards for us to benchmark and keep in mind while developing the new Management Standards.

The Office of Personnel Management should also be contacted to gain their detailed view on any further developments on these competencies as well as to inform them.

Coverage

All senior executives in the US government agencies

Management Practice

Each new candidate has to demonstrate competence in the five Executive Core Qualifications by writing a one-page statement showing the context, challenge, action and result. These statements are reviewed by the peer review boards to determine executive potential. The employing agency makes the final recruitment decisions. These competencies are not meant to demonstrate technical expertise in the subject, but executive potential and experience.

Uses

Used extensively to assess all candidates for senior executive positions within the US government agencies.

Format

Available online on the website as well as through the OPM.

Conclusion

Definitely one to keep on the top of the pile as it contains some good pointers for the review and development of the Management Standards. Even though these competencies are for senior managers they could be adjusted for other levels within the organisation and used to foster excellence in quality and service at all levels.

Annex 12: IMF's Management Development Competencies

Title of Benchmark

Management Development Competencies, International Monetary Fund

Brief Description of Benchmark

Developed in 1994, fifteen competencies have been grouped in five categories:

Intellectual Leadership Factor

Work Management Factor

Communication Factor

Interpersonal Factor, and

People Management Factor.

Owner of Benchmark

International Monetary Fund (IMF), Washington DC., USA. The IMF is responsible for promoting international monetary cooperation; facilitating the expansion and balanced growth of international trade; promoting exchange stability; assisting in the establishment of a multilateral system of payments; and making its resources available (under adequate safeguards) to members experiencing balance of payments difficulties.

Country of Origin

United States of America

Provenance of Benchmark

These competencies have been defined by the IMF to foster effective managerial practices.

Size of Organisation Benchmark Designed For

2650 staff members from 140 countries. IMF has offices in France, Switzerland, New York and Japan that looks after the Asia-Pacific region.

Sector Benchmark Designed For

The IMF is responsible for ensuring the stability of the international financial system.

Purpose of Benchmark

The competencies are used as a basis for assessing potential managers and managers within and across departments. They are the starting point for developing managerial performance and identifying training and development areas.

Status of Benchmark

A lot of support is provided to the manager developing his/her competencies – coaching, management development centres and consulting services.

Reviewer of Benchmark

Rekha Wadhvani

Summary of the Benchmark

The management competencies are as follows. Each competency is followed by a number of statements demonstrating competence (similar to performance criteria):

1. Intelligent Leadership

- a. *Sound Judgment / Analytical skills*: Analyses issues and problems thoroughly, systematically and from multiple perspectives, makes practical, timely and tough decisions that have a positive impact.
- b. *Strategic vision*: Initiates research and work consistent with the Fund's mission and broader departmental strategies, ensures that work in the short term achieves longer-term objectives.

2. Work Management

- a. *Planning and organising*: Plans, priorities and effectively manages work of the unit
- b. *Drive for results*: Drives for closure, results and success, persists when faced with obstacles and challenges
- c. *Adaptability*: Demonstrates openness and flexibility when faced with change, copes effectively with pressure and adversity

3. Communication

- a. *Oral presentation skills*: Speaks, clearly, articulately and persuasively to command attention, establish credibility and gain influence
- b. *Creating open communication*: Listens and promotes free flow of information and communication inside and outside the Fund
- c. *Written communication skills*: Uses written documents and reports to communicate in an influential and effective manner

4. Interpersonal

- a. *Building relationships*: Cultivates active network of relationships inside and outside the organisation, builds relationships with colleagues and co-workers at all levels of the institution based on mutual respect and trust
- b. *Negotiating and influencing*: Gains support and commitment from others, resolves differences through discussing needs and proposing mutually beneficial solutions
- c. *Country/client relations*: Conducts self and leads others in ways that maximise effectiveness with country representatives or internal clients

5. People Management

- a. *Motivating performance*: Motivates high individual and team performance by communicating a clear sense of purpose and direction, building consensus and delivering reinforcements
- b. *Delegating*: Effectively matches people with tasks, assigns clear accountabilities and authority, adjusts directions and support to the needs of the situation
- c. *Fostering teamwork*: Promotes collaboration and team work within the work unit and across departments and organisation lines

- d. *Appraising and developing staff*: Accurately appraises skills and expertise of staff members and recruits, guides supports and gives constructive feedback to enable staff to develop.

Implications for the Review of Management Standards

The support provided in various forms to the managers could be noted for the assessment guidance as and when prepared – the competencies themselves do not highlight any new areas not already covered by the Senior Management Standards.

Coverage

Each manager or potential supervisor has to complete one core module before promotion followed by 'elective' courses taken as highlighted by their specific development needs. The manager or potential supervisor is recommended to the Review Committee who then decides upon the promotion.

Management Practice

Managers are expected to receive 40 hours coaching within the first five years of appointment in addition to the management training they may be receiving.

Uses

The competencies are used by four levels: potential supervisors, first line supervisors / deputy division chiefs and two grades of managers. From the materials available it was difficult to determine what these levels would equate to in another organisation (e.g. size of their teams / budgets).

Format

The competencies are available through the Management Development Centres and through the IMF intranet.

Conclusion

It is interesting to note that, as a bank, there is no competency category to measure or develop financial or budget management skills. Also the Strategic Vision category could possibly cover the business planning activity in its broadest sense. Perhaps the departmental budgets and business plans are developed and managed by personnel who fall outside the remit of these management competencies.

Annex 13: Irish Office of Health Service Management's Competencies for Nursing Management

Title of Benchmark

Competencies for Nursing Management

Brief Description of Benchmark

A set of competencies for nursing and midwifery management positions in Ireland. Generic management competencies have been identified as well as specific competencies for *Top Level (Director of Nursing/equivalent)*, *Mid Level (Assistant Director of Nursing/equivalent)* and *Front Line Service Managers (Clinical Nurse Manager/equivalent)*.

Owner of Benchmark

Office for Health Service Management – established by the Minister for Health and Children to implement the Management Development Strategy for the Health and Personal Social Services in Ireland, published in 1997.

Country of Origin

Ireland

Provenance of Benchmark

The competencies originated as the outcome of a research report commissioned by the Office for Health Service Management in May 1999 as an initiative to support the development of nursing management in Ireland. This initiative followed the report on the Commission for nursing which recommended that:

Competency based approaches to management focus on the personal characteristics, skills and behaviours, which underpin effective or superior performance.

Accordingly this research set out to:

1. Identify and define the competencies, which are required for effective nursing management in the Irish health and personal social services.
2. Ensure that the competencies are defined in the light of the future service requirements and the transitional challenges that they pose.
3. Recommend how these management competencies can be applied to enhance the future performance of nursing services.

The research was undertaken by Saville and Holdsworth (Ireland) Ltd and University College Cork was selected. The competencies are the results of:

- field research with a representative sample of nursing managers in front, middle and top level roles across all of the main service sectors and geographical regions
- a national validation exercise involving consultation with groups of nurse managers and other service stakeholders across a series of regional values.

Size of Organisation Benchmark Designed For

All sizes of establishments in the Nursing sector – clinics, hospitals, medical schools, GP practices etc.

Sector Benchmark Designed For

Nurse Managers

Purpose of Benchmark

The purpose of the study was:

- To identify a future-focused competency model for nurse managers in the Irish Service context
- To differentiate the competencies required at top level, middle and front line management
- To utilise the results to inform good practice in the recruitment, selection and development of nurse managers

Competencies intended to be of benefit to employers, staff representative associations and nurse managers at all levels. They should:

1. inform the recruitment and selection of nurse managers by enabling employers to specify more clearly the competencies they are seeking and which they wish to assess.
2. enable nurses themselves to assess their development needs and to plan for their own development.
3. form the basis of systems to facilitate the development of personal career planning amongst nurses and midwives.
4. facilitate the process of training and development for nurse managers.
5. inform any management development initiatives commissioned for nurse managers

Status of Benchmark

The benchmark is relatively new but is seen as critical to the continuing professional development of the nursing management sector. While there are no plans to link the competencies to formal accreditation, it is intended to anchor the management development programme in the competency framework.

Reviewer of Benchmark

Maureen Layte

Summary of the Benchmark

Competencies first published in February 2000 as the result of a major research project commissioned by the Office for Health Service Management and carried out by Saville Holdsworth and the University of Cork. Following a nationwide consultation exercise, the report identified competencies, their relevance to service delivery and recommendations on applications and communication.

The report gives a detailed analysis of the current evolution of the health sector. Nursing services are undergoing rapid change and development in virtually all service sectors with growing demand levels, broader contributions to service delivery and increasing levels of sophistication/specialisation. In parallel, the health and social services are undergoing rapid and continuous change with an increasing emphasis on service standards and accountability, value for money and consumer empowerment. Nurse managers need the competencies not only to deliver today's services but also to lead the evolution of services in this challenging environment.

The research identified eight 'generic' competency areas, which underpin effective performance at all levels of nursing management. These competencies can also serve as an initial 'readiness to manage' template which will assist individual nurses in their future career planning.

In defining the concept of competency, the report refers to 'behaviours, attitudes and knowledge that are skilfully applied. They complement the individual's academic and educational grounding to impact on overall job performance'. It cites Boyatzis' definition of 1982, '...an underlying characteristic of a person in that it may be a motive, trait, skill, aspect of one's self-image or role or a body of knowledge...'

Foundation/Generic competencies:

1. Promoting Evidence-based Decision Making
2. Building and Maintaining Relationships
3. Communication and Influencing Skills
4. Service Initiation and Innovation
5. Resilience and Composure
6. Integrity and Ethical Stance
7. Sustained Personal Commitment
8. Practitioner Competence and Professional Credibility

At the Front Line Nursing Management level the research identifies three further critical competencies:

1. Leading on Clinical Practice and Service Quality
2. Planning and Organisation of Activities and Resources
3. Building and Leading the team

The Mid-Level Nursing Management roles make an important contribution to the integration and service development aspects of nursing provision. The research identified five role critical competencies at this level

1. Empowering and Enabling Leadership Style
2. Proactive Approach to Planning
3. Effective Coordination of Resources
4. Setting and Monitoring Performance Standards
5. Negotiation Skills

The research identified five role critical competencies for Top-Level Nursing Managers:

1. Leading on Vision and Values
2. Strategic and Systems Thinking
3. Stepping up to the Corporate Agenda
4. Establishing Policy, Systems and Structures
5. Developmental Approach to Staff

All of the competencies are presented in the same format:

Title

Definition

Areas of application

Positive and negative behavioural indicators.

Example: Competency 5 for Mid-level Management

Effective Co-ordination of Resources

Definition

Ensures that critical human and material resources are allocated in an effective way, monitors activity levels and intervenes to align resources and maximise efficiencies

Areas of Application

1. • Ensuring an adequate supply of staff to meet service demands
2. • Planning and monitoring the use of material resources
3. • Setting budgets and tracking expenditure
4. • Tracking service levels and reorganising staffing to meet contingencies
5. • Continually reviewing how productively resources are being used to meet service needs

Behavioural Indicators

1. Shows system understanding and the ability to balance multiple resourcing issues	1. Manages resource usage in a reactive and historically informed way
2. Consistently achieves efficiencies in resource usage by intelligent deployment, adjustments and monitoring	2. Is slow to intervene and lacks flexibility in reviewing and reallocating resources to meet changing needs or demand levels
3. Negotiates services and resource levels with funding bodies and / or third parties	3. Refers service and resourcing level issues to the Director without fully developing them
4. Demonstrates the capability to accurately measure resource usage against activity level for key areas (utilisation indices)	4. Lacks confidence in dealing with funding agencies and third parties
5. Implements effective monitoring systems for all key resource deployments	5. Monitors resource usage, mainly by significant exceptions or on an ad hoc basis
6. Can skilfully deploy and adjust human resources to meet changes, demands and contingencies	6. Not aware of non-professional staffing and resources issues
7. Is resourceful in solving staff shortages or crises. Reacts quickly and sources staff creatively	7. Operate standard rotas and scheduling without consideration of changing service needs and opportunities
8. Shows a financial awareness as relevant to the service. Plans budgets and track variance	8. Has difficulty coping with unexpected staffing problems. Slow to react and relies too much on conventional approaches
9. Shows a sound appreciation and usage of IT systems for resource management	9. Averse to financial monitoring, defers to finance staff without making an informed contribution
10. Very mindful of wasting resources and encourages this attitude in staff and junior managers. Cuts down appropriately on resources used and values cost saving as a way to free up resources for	10. Uses IT systems at a minimal level or not at all
	11. Tends to waste resources and downplays this issue

further service developments	with staff and other managers. Makes resource cuts in a reactive or poorly thought through way. Lacks a rationale for where efficiency is needed.
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Implications for the Review of Management Standards

An interesting set of competencies to compare with current standards and to inform the revision, as the two initiatives have some underlying goals and certain methodological approaches in common. The brief was to identify forward-looking competencies, which could be used as a recruitment, development and assessment tool. There has been an attempt to incorporate competencies associated with leadership, and what would have been categorised as 'personal competencies' in the current UK standards, in one competency statement.

The research is a serious piece of work. The team carried out role analysis, collecting information on the nurse manager's role and seeking to establish the main tasks performed, rated both by importance and frequency as well as exploring the context in which these tasks were performed. They claim that the instrument 'provides a thorough and systematic task analysis of the management role'. What has not been carried out is a functional analysis and an occupational mapping exercise. The team carried out in-depth personal interviews with a representative sample of nurse managers; critical incident interviews to explore real life management situations; repertory grid interviews with top and middle managers only to explore perceptions of factors that differentiated 'better' from 'less' effective performers. Future scenario focus groups were held to discuss themes related to future health service demands, attendant challenges and the conditions necessary to facilitate future role development. A large number of external stakeholders were also consulted to identify the qualities associated with effective nursing management. In the second phase, groups of nurse managers worked on the refinement of the competencies identified. The team also carried out international research comparisons.

The interest for the MSR initiative probably lies in the raw content – in the competencies that have been identified as key and the description of these competencies - as in reading the competencies we do not have a comprehensive vision of what nurse managers do (the absence of an occupational map can be felt). The presentation of the competencies resembles more the outcome of work carried out to present the results of brainstorming and focus groups than a comprehensive description of competent performance. Knowledge, performance criteria, capability and personal qualities are mixed together in long lists. The competency descriptions also include results: *Most of own solutions and suggestions turn out to be correct and accurate when judged over time*. This statement is accompanied by another: *Is often sought out by others for advice and solutions*. The 'Areas of Application' section mixes range statements and performance criteria. It might be interesting to analyse what they regard as 'generic competencies' and those pertinent to different levels of management. Also interesting to see how leadership has been incorporated into the top management competencies as 'Leading on Vision, Values and Process'.

One novel aspect that might be taken into account is the inclusion of negative behavioural indicators, which provide a supplementary measure of performance.

Coverage

Essentially represents a 'bird's eye view' of the competencies required at the different levels. This is evident in the title of one of the generic competencies 'Practitioner Competence and Professional Credibility' which incorporates acquired clinical competence, capacity to develop competence and professional contribution (this is presented on one of the shorter pages). This is presented at the same level as 'Resilience and Composure'.

Management Practice

The Nurse Management Competencies attempt to present a forward-looking view of management practice in the health care sector. Qualities such as integrity and ethical stance are valued as highly as operational competence. A great deal of emphasis is put on innovation and personal responsibility at all levels. The competencies are a description of the actual and potential contribution of the sector and an argument for exploiting the talent of nurses and midwives in a traditionally hierarchical sector. What is missing is the detailed description of performance for all the activities outlined.

Uses

Very limited as an assessment tool. Would have to be radically refined in order to serve as the basis for competence-based evaluation. There is no explicit knowledge base or indication of evidence required for competent performance. A conversation with the Manager of the initiative, and examination of another of their publications, *Guidance on the Commissioning of Nursing Management Development Programmes* make it clear that the competencies are to serve as a reference point for work-based evaluation and for development rather than as the basis for a qualification. The aim is to encourage all nurses/midwife managers to take responsibility for continuing their personal and management development (there is currently very little management training available for nurse managers). This is to be supported by a range of flexible learning options such as mentoring relationships, coaching, work-based development projects, action learning sets and further study for qualifications etc. They would appear to have taken on board the 'competency-based approach' to assessment without the rigour demanded by a more detailed functional analysis.

Format

See above. An introduction to each level outlines (4 pages):

- Key responsibilities
- Primary purpose
- Scope of the role
- Timescale of impact
- Critical success factors
- Change trends and challenges

Conclusion

Useful as a reference point for the identification of key competencies for the future and the incorporation of personal competencies and those associated with leadership.

Annex 14: Emotional Intelligence Leadership Competencies

Title of Benchmark

Emotional Intelligence Leadership Competencies

Brief Description of Benchmark

With a pedigree going back to the work of David McClelland and Richard Boyatzis in the 1970s, Daniel Goleman's Emotional Intelligence Leadership Competencies (EILCs) are based on global research carried out by the Hay Group using their Emotional Competence Inventory assessment instrument (ECI-360) with nearly 4,000 executives.

Grouped into 4 Emotional Intelligence Domains (Self-Awareness, Self-Management, Social Awareness and Relationship Management), the model identifies the competencies associated with superior leadership performance in a very wide range of contexts and cultures. According to Goleman, successful leaders are able to use a variety of different leadership styles (Visionary, Coaching, Affiliative, Democratic, Pacesetter, Commanding) as appropriate.

Owner of Benchmark

Daniel Goleman

Country of Origin

Global

Provenance of Benchmark

Consultancy research

Size of Organisation Benchmark Designed For

All

Sector Benchmark Designed For

All

Purpose of Benchmark

To help leaders identify and develop their leadership competencies.

Status of Benchmark

Consultancy tool

Reviewer of Benchmark

Trevor Boutall

Summary of the Benchmark

Global research with 3,871 executives has led Daniel Goleman, Richard Boyatzis and Annie McKee of the Hay Group to conclude that the primal task of leadership is emotional.

The leader acts as the group's emotional guide. Followers look to a leader for supportive emotional connectivity – for empathy. When leaders drive emotions positively, the effect is *resonance*. When they drive emotions negatively, leaders spawn *dissonance*. The glue that holds people together in a team, and that commits people to an organisation, is the emotions they feel. The EI leader not only empathises with the team's emotions, but also expresses them for the group. Optimistic, enthusiastic leaders more easily retain their people, compared with those bosses who tend toward negative moods. How well leaders manage their moods and affect everyone else's moods is not just a private matter, but a key factor in how well a business will do.

The Emotional Intelligence model has two sides to it: Personal Competence (including Self-Awareness and Self-Management) and Social Competence (including Social Awareness and Social Management). Each of these domains is described by a number of competencies or behaviours typical of successful leaders in any context. Individuals can assess, and invite others to assess, the extent to which they possess these competencies. As a result, they can decide to take action to develop those competencies in which they are less strong. No-one has strengths across the board, but highly effective leaders typically exhibit a critical mass of strength in a half dozen or so EI competencies.

Leaders with a high EI quotient are able to use a variety of different leadership styles, appropriate to different circumstances:

Visionary

<i>How it builds resonance:</i>	Moves people towards shared dreams
<i>Impact on climate:</i>	Most strongly positive
<i>When appropriate:</i>	When changes require a new vision, or when a clear direction is needed

Coaching

<i>How it builds resonance:</i>	Connects what a person wants with the organisation's goals
<i>Impact on climate:</i>	Highly positive
<i>When appropriate:</i>	To help an employee improve performance by building long-term capabilities

Affiliative

<i>How it builds resonance:</i>	Creates harmony by connecting people to each other
<i>Impact on climate:</i>	Positive
<i>When appropriate:</i>	To heal rifts in a team, motivate during successful times, or strengthen connections

Democratic

<i>How it builds resonance:</i>	Values people's input and gets commitment through participation
<i>Impact on climate:</i>	Positive
<i>When appropriate:</i>	To build buy-in or consensus, or to get valuable input from employees

Pacesetting

<i>How it builds resonance:</i>	Meets challenging and exciting goals
<i>Impact on climate:</i>	Because too frequently poorly executed, often highly negative
<i>When appropriate:</i>	To get high-quality results from a motivated and competent team

Commanding

<i>How it builds resonance:</i>	Soothes fears by giving clear direction in an emergency
<i>Impact on climate:</i>	Because so often misused, highly negative
<i>When appropriate:</i>	In a crisis, to kick-start a turnaround, or with problem employees

Implications for the Review of Management Standards

There are significant implications for the Review of Management Standards from Goleman's work.

The first is that, if Emotional Intelligence has such a big impact on performance, this needs to be properly recognised in the Management Standards. Currently, the Personal Competency Model is the part of the Management Standards that covers some of the behaviours outlined in the EILCs. Perhaps the Personal Competency model needs to be fully revised and become a mandatory part of the assessment of management/leadership competence?

The second is that, if there are many different leadership styles (or ways of doing things) that can lead to successful performance depending on the context, how can this be reflected in the Management Standards? Currently each unit of the Management Standards maps out a "good practice" way of doing it (eg "you give opportunities to relevant people to make suggestions for future expenditure"), but this may not be the only, or indeed the best way of doing it in certain circumstances (if the company's back is to the wall, you may need to be in Commanding mode, and take decisions about future expenditure without reference to others). Maybe the Management Standards should spell out the *outcomes* required very clearly, but leave the process more open?

Finally, if the ability to deploy a range of different styles is a sign of a successful leader, should the Management Standards not require the development of a range of styles (in the relevant unit about developing oneself) and should not the assessment process require the demonstration of a range of different styles and perhaps a reflective account of why certain styles were chosen in particular circumstances?

Coverage

The EILCs cover:

Personal Competence

These capabilities determine how we manage ourselves.

Self-Awareness

<i>Emotional self-awareness</i>	Reading one's own emotions and recognizing their impact; using "gut sense" to guide decisions Leaders high in emotional self-awareness are attuned to their inner signals, recognising how their feelings affect them and their job performance. They are attuned to their guiding values and can often intuit the best course of action, seeing the big picture in a complex situation. Emotionally self-aware leaders can be candid and authentic, able to speak openly about their emotions or with conviction about their guiding vision.
<i>Accurate self-assessment</i>	Knowing one's strengths and limits Leaders with high self-awareness typically know their limitations and strengths, and exhibit a sense of humor about themselves. They exhibit a gracefulness in learning where they need to improve, and welcome constructive criticism and feedback. Accurate self-assessment lets a leader

know when to ask for help and where to focus in cultivating new leadership strengths.

Self-confidence

A sound sense of one's self-worth and capabilities

Knowing their abilities with accuracy allows leaders to play to their strengths. Self-confident leaders can welcome a difficult assignment. Such leaders often have a sense of presence, a self-assurance that lets them stand out in a group.

Self-Management

Emotional self-control

Keeping disruptive emotions and impulses under control

Leaders with emotional self-control find ways to manage their disturbing emotions and impulses, and even to channel them in useful ways. A hallmark of self control is the leader who stays calm and clear-headed under high stress or during a crisis - or who remains unflappable even when confronted by a trying situation.

Transparency

Displaying honesty and integrity; trustworthiness

Leaders who are transparent live their values. Transparency – an authentic openness to others about one's feelings, beliefs, and actions – allows integrity. Such leaders openly admit mistakes and faults, and confront unethical behaviour in others rather than turn a blind eye.

Adaptability

Flexibility in adapting to changing situations or overcoming obstacles

Leaders who are adaptable can juggle multiple demands without losing their focus or energy, and are comfortable with inevitable ambiguities of organisational life. Such leaders can be flexible in adapting to new challenges, nimble in adjusting to fluid change, and limber in their thinking in the face of new data or realities.

Achievement

The drive to improve performance to meet inner standards of excellence

Leaders with strength in achievement have high personal standards that drive them to constantly seek performance improvements – both for themselves and those they lead. They are pragmatic, setting measurable but challenging goals, and are able to calculate risk so that their goals are worthy but attainable. A hallmark of achievement is in continually learning – and teaching – ways to do better.

Initiative

Readiness to act and seize opportunities

Leaders who have a sense of efficacy – that they have what it takes to control their own destiny – excel in initiative. They seize opportunities – or create them – rather than simply waiting. Such a leader does not hesitate to cut through red tape, or even bend the rules, when necessary to create better possibilities for the future.

Optimism

Seeing the up side in events

A leader who is optimistic can roll with the punches, seeing an opportunity rather than a threat in a setback. Such leaders see others positively,

expecting the best of them. And their “glass half—full” outlook leads them to expect that changes in the future will be for the better.

Social Competence

These capabilities determine how we manage relationships

Social Awareness

Empathy

Sensing others’ emotions, understanding their perspective, and taking active interest in their concerns

Leaders with empathy are able to attune to a wide range of emotional signals, letting them sense the felt, but unspoken, emotions in a person or group. Such leaders listen attentively and can grasp the other person’s perspective. Empathy makes a leader able to get along well with people of diverse backgrounds or from other cultures.

Organisational awareness

Reading the currents, decision networks, and politics at the organisational level

A leader with keen social awareness can be politically astute, able to detect crucial social networks and read key power relationships. Such leaders can understand the political forces at work in an organisation, as well as the guiding values and unspoken rules that operate among people there.

Service

Recognising and meeting follower, client, or customer needs

Leaders high in the service competence foster an emotional climate so that people directly in touch with the customer or client will keep the relationship on the right track. Such leaders monitor customer or client satisfaction carefully to ensure they are getting what they need. They also make themselves available as needed.

Relationship Management

Inspirational leadership

Guiding and motivating with a compelling vision.

Leaders who inspire both create resonance and move people with a compelling vision or shared mission. Such leaders embody what they ask of others, and are able to articulate a shared mission in a way that inspires others to follow. They offer a sense of common purpose beyond the day-to-day tasks, making work exciting.

Influence

Wielding a range of tactics for persuasion

Indicators of a leader’s powers of influence range from finding just the right appeal for a given listener to knowing how to build buy-in from key people and a network of support for an initiative. Leaders adept in influence are persuasive and engaging when they address a group.

Developing others

Bolstering others’ abilities through feedback and guidance

Leaders who are adept at cultivating peoples’ abilities show a genuine interest in those they are helping along, understanding their goals, strengths, and weaknesses. Such leaders can give timely and constructive

feedback and are natural mentors or coaches.

Change catalyst

Initiating, managing, and leading in a new direction

Leaders who can catalyse change are able to recognise the need for the change, challenge the status quo, and champion the new order. They can be strong advocates for the change even in the face of opposition, making the argument for it compellingly. They also find practical ways to overcome barriers to change.

Conflict management

Resolving disagreements

Leaders who manage conflicts best are able to draw out all parties, understanding the differing perspectives, and then find a common ideal that everyone can endorse. They surface the conflict, acknowledge the feelings and views of all sides, and then redirect the energy toward a shared idea.

Building bonds

Cultivating and maintaining a web of relationships

Teamwork and collaboration

Cooperation and team building

Leaders who are able team players generate an atmosphere of friendly collegiality and are themselves models of respect, helpfulness, and cooperation. They draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity. They spend time forging and cementing close relationships beyond mere work obligations.

Management Practice

The model acknowledges that different leadership styles and management practice are appropriate in different circumstances. EI leaders are able to sense what style is needed and select the appropriate one from their repertoire.

The current Management Standards do require different leadership styles to be used at different times (Democratic when building consensus, Visionary in communicating corporate direction, Coaching in developing teams and individuals, Pacesetter in performance management and Commanding in some of the quality units), however, the underlying implied style is Affiliative.

The current Management Standards are based on a *transactional* leadership model (appropriate at times), whereas EILCs also incorporate a more *transformational* and *empowering* model.

Uses

The model is used to identify individual's EI strengths and weakness (using 360 degree feedback, behavioural event interviewing etc) and help them focus their efforts to develop their EI in areas where they need to be stronger.

Format

Each Competence has a brief description and a longer outline of typical behaviours expected.

Conclusion

This is an important benchmark which intuitively feels attuned to the development needs of the kind of leaders required to cope with the more complex environments they are managing in the 21st century.

It has significant implications for the Review of Management Standards in:

1. The review and status of the Personal Competency Model
2. A range of different approaches being appropriate in different circumstances to achieve a particular outcome
3. The requirement for managers to be able to deploy a variety of leadership styles.