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| Learner Guide and Workbook |
| **Module Two** |
| **Skills Program 2- Workplace Management** |

**National Certificate: Generic Management**

**59201**

**general Management (LP60269)**

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**Notes to the Learner**

Dear Learner,

Welcome to this Learning programme. We trust that this Learning programme will be of great value to you during your studies and in your new learning experience. To succeed in anything in life requires a lot of hard work.

It will be expected of you to work through this study guide with a great deal of attention. It provides you with information on how to work through the material, details exactly what will be expected of you and what objectives you need to achieve during the study of this Learning programme.

* Complete your assignments with dedication and submit them in time.
* Complete the self-study sections for your own benefit. The self-study sections provide you with the opportunity to practice what you have learnt.
* Act as adult learners

The theory you are learning helps you to understand why you are doing things in a specific way. It also gives you a way to compare what you are doing to the way others do things. However, the only way to become competent is by doing the actual work according to the unit standards. This Learning programme provides you with a step-by-step method that you must apply to all unit standards.

As all parties to this learning intervention have duties and responsibilities to fulfil, so do you, in your capacity as the learner. On the final page of this section, you will find a commitment letter which serves to confirm your commitment to this learning intervention. Please read it and sign it, if you agree thereto. Should you not agree, please notify your facilitator so that the matter can be resolved.

**The learning approach**

* **Active**

You have to participate and complete tasks. Actively participate in the teaching and learning process.

* **Constructive**

The learning content will be to your benefit. Be constructive and actively convert your learning by integrating the new knowledge you gain in this learning programme with previous experience.

* **Cumulative**

The learning content builds on your existing experience. The cumulative character of learning implies that we need to build new knowledge into you existing knowledge. Therefore, you have to resort and refer to what you already know to ensure that this learning programme is of value to you

* **Goal Oriented**

Certain goals have to be met to complete the qualification competently. You also have to be goal-directed. Work according to and achieve the learning programme objectives as well as your personal learning objectives. Know what the learning program’s objectives are!

**How to complete this qualification successfully?**

These guidelines have been compiled to assist you to complete the qualification. This programme is a mixture between a self-study programme and a coaching programme to provide you with the tools that you would need to demonstrate to an independent assessor that you have met all the criteria to attain the qualification: National Certificate: Generic Management .

The National Certificate: Generic Management is an Outcomes Based Qualification. This means that you do not necessarily have to sit in a classroom to learn (who can in any case learn how to run a business by only sitting and listening to a lecturer anyway? – you have to get practical experience!). To attain the qualification you would have to show that you know, and can do, all the things required!

Any learning does however require effort; and the effort that the average person has to put in to learn the skills in this qualification is reflected in the credits associated with each of the unit standards (learning objectives). Experience has shown that the average learner requires about 10 (notional) hours for each credit attained. The whole National Certificate: Generic Management qualification consists of at least 167 credits. This programme is going to be an exciting experience for you since it looks at the world of Generic Management in businesses from a practical viewpoint.

The Student Guidelines and the rest of this book are structured as follows; Each chapter represents a Unit Standard and therefore each has a title that corresponds with a specific Unit Standard, a set of objectives (which corresponds with the Specific Outcomes and Assessment Criteria of that Unit Standard) and a list of the Resource Material that would be of assistance to you to achieve competency.

These guidelines and information will therefore not only assist you to start your own business but will be the guiding principles by which you could attain the Further Education and Training Certificate: Generic Management qualification. It makes absolute sense to obtain the qualification since it will also help you should you ever need to find a job again. Businessmen are known to have to find employment during times of hardship but even subsequent to that, most still return to their own enterprises after a while.

This programme has been designed to meet the outcomes of the Qualification: “Further Education and Training Certificate: Generic Management”. The programme is outcomes based which means that we take the onus of learning away from the facilitator and put it in your hands. The facilitator’s role is to assist you to work through the material and guide you in the activities that will lead you to competence.

**Learner Guide Introduction**

**Purpose**

A person acquiring this qualification will be able to manage first line managers in an organisational entity. First line managers may include team leaders, supervisors, junior managers, section heads and foremen.

The focus of this qualification is to enable learners to develop competence in a range of knowledge, skills, attitudes and values including:

* Initiating, developing, implementing and evaluating operational strategies, projects and action plans, and where appropriate, recommending change within teams and/or the unit so as to improve the effectiveness of the unit.
* Monitoring and measuring performance and applying continuous or innovative improvement interventions in the unit in order to attain its desired outcomes, including customer satisfaction, and thereby contributing towards the achievement of the objectives and vision of the entity.
* Leading a team of first line managers, by capitalising on the talents of team members and promoting synergistic interaction between individuals and teams, to enhance individual, team and unit effectiveness in order to achieve the goals of the entity
* Building relationships using communication processes both vertically and horizontally within the unit, with superiors and with stakeholders across the value chain to ensure the achievement of intended outcomes
* Applying the principles of risk, financial and knowledge management and business ethics within internal and external regulatory frameworks in order to ensure the effectiveness and sustainability of the unit
* Enhancing the development of teams and team members through facilitating the acquisition of skills, coaching, providing career direction, and capitalising on diversity in the unit

The skills, knowledge and understanding demonstrated within this qualification are essential for the creation of a talent pool of experienced and effective middle managers that represents the demographics of the South African society. This qualification will create a leadership cadre for the South African society throughout multiple industries and sectors both private and public.

**Rationale:**   
The National Certificate: Generic Management, NQF Level 5 forms part of a learning pathway of management qualifications across various sectors and industries. It is specifically designed to develop management competencies required by learners in any occupation, particularly those who manage first line managers.

The qualification builds on the FETC: Generic Management and further develops the key concepts, principles and practices of management that will enable learners to lead, manage, organise and control first line managers and team leaders.

The learners will typically be managers who have other junior managers or team leaders reporting to them. In smaller organisations or entities, the managers could primarily be responsible for managing the supervisors and staff within their section, division or business unit.   
  
The scope of generic management covers five domains: leadership, managing the environment, managing relations, managing knowledge and the practice of management. This qualification addresses each of these domains with generic competencies, so that it allows learning programmes to be contextualised for specific sectors and industries.

It reflects a similar design to the FETC: Generic Management, in that it provides opportunities for learners to transfer between various specialisations within management. This leads to the strengthening of management competencies and will enable managers at this level to manage successfully systems, processes, resources, managers and teams in their various occupations and contexts.   
  
This qualification is further intended to empower learners to acquire the knowledge, skills, attitudes and values required to operate confidently as individuals in South African communities and to respond to the challenging economic environment and constantly changing world of work.

Ultimately, this qualification is aimed at improving the effectiveness and leadership abilities of middle managers in various occupations in South Africa, in private and public business entities as well as non-governmental organisations. For this reason, the word 'entity' includes a company, business unit, public institution, small business or non-profit organisation.

**It is assumed that learners are competent in:**

* Communication at NQF Level 4
* Mathematical Literacy at NQF Level 4

**Recognition of Prior Learning (RPL):**The qualification can be achieved wholly or in part through recognition of prior learning in terms of the defined Exit Level Outcomes and/or individual unit standards. Evidence can be presented in various ways, including international and/or previous national qualifications, products, reports, testimonials mentioning functions performed, work records, portfolios and/or performance records. All such evidence will be judged in accordance with the general principles of assessment and the requirements for integrated assessment.

**Access to the Qualification:**Access to the qualification is open keeping in mind the Learning Assumed to be in Place.

**Specific Outcomes**

Specific outcomes describe what the learner has to be able to do successfully at the end of this learning experience.

**Assessment Criteria**

The only way to establish whether a learner is competent and has accomplished the specific outcomes is through the assessment process. Assessment involves collecting and interpreting evidence about the learners’ ability to perform a task. This Learning programme includes assessments in the form of self-assessments, group exercises, quizzes, projects and a practical training programme whereby you are required to perform tasks on the job and collect as portfolio of evidence, proof signed by your supervisor that you have successfully performed these tasks.

**To qualify**

To qualify and receive credits towards your qualification, a registered Assessor will conduct an evaluation and assessment of your portfolio of evidence and competency.

**Qualification rules**

**Fundamental Component:**   
The unit standards included in the fundamental component of the qualification total 49 credits. They are compulsory and must be contextualised according to the specialisation or the selected learning programme.   
  
**Core Component:**   
The unit standards in the core component total 78 credits and are compulsory. They must be contextualised according to the specialisation or selected learning programme.   
  
**Elective Component:**   
The elective component of the qualification consists of a number of unit standards, divided into specialisations. The learner must choose a specialisation and complete unit standards totalling a minimum of 35 credits from the unit standards listed under that specialisation.   
  
**General Management (Learning Programme ID 60269):**

* 252030: Analyse compliance to legal requirements and recommend corrective actions, NQF Level 5, 4 credits.
* 252041: Promote a learning culture in an organisation, NQF Level 5, 5 credits.
* 114212: Explain the impact of organisational wellness on a business environment and indicate a strategy for a business unit NQF Level 4, 3 credits.
* 12140: Recruit and select candidates to fill defined positions, NQF Level 5, 9 credits.
* 12761: Demonstrate an understanding of macroeconomic principles as they apply to the South African business environment, NQF Level 4, 8 credits.
* 252024: Evaluate current practices against best practice, NQF Level 5, 4 credits.
* 252033: Develop ways of dealing with the impact of dreaded diseases and in particular HIV/AIDS, NQF Level 5, 8 credits.
* 252039: Develop a plan to combat corruption, NQF Level 5, 5 credits.
* 10048: Identify brand mix elements, NQF Level 5, 8 credits.
* 114226: Interpret and manage conflicts in the workplace, NQF Level 5, 8 credits.
* 252031: Apply the principles and concepts of emotional intelligence to the management of self and others, NQF Level 5, 4 credits.
* 117853: Conduct negotiations to deal with conflict situations, NQF Level 5, 8 credits.
* 15230: Monitor team members and measure effectiveness of performance, Level 5, 4 credits.
* 264408: Manage and improve communication processes in a function, Level 6, 3 credits.

**Generic Manufacturing (Learning Programme ID 60270):**

* 12999: Contribute to the management of cost and the enhancement of value, NQF Level 5, 10 credits.
* 119159: Maintain Manufacturing Efficiencies, NQF Level 5, 12 credits.
* 119166: Optimise Manufacturing processes, NQF Level 5, 24 credits.
* 9897: Manage Inventory, NQF Level 5, 3 credits.

**Fast Moving Consumer Goods (Learning Programme ID 60271):**

* 119801: Demonstrate an understanding of Microbiological principles and its application to a food handling environment, NQF Level 5, 12 credits
* 119800: Optimise product and process quality in food or sensitive consumer product environment, NQF Level 5, 8 credits
* 119796: Monitor and control quality assurance procedures in a food or sensitive consumer product environment, NQF Level 4, 8 credits.
* 252039: Develop a plan to combat corruption, NQF Level 5, 5 credits.
* 10048: Identify brand mix elements, NQF Level 5, 8 credits.
* 252024: Evaluate current practices against best practice, NQF Level 5, 4 credits.

**Cement Manufacturing (Learning Programme ID 60272):**

* 10462: Demonstrate an understanding of cement process technology, NQF Level 4, 22 credits
* 10464: Demonstrate an understanding of lime process technology, NQF Level 4, 16 credits
* 252039: Develop a plan to combat corruption, NQF Level 5, 5 credits
* 252024: Evaluate current practices against best practice, NQF Level 5, 4 credits

**Customer Management (Learning Programme ID 60273):**

* 10045: Identify product features, advantages and benefits to the customer, NQF Level 5, 10 credits
* 10047: Close a deal with a customer, NQF Level 5, 5 credits
* 10070: Develop and implement marketing plan in line with marketing strategy, NQF Level 5, 20 credits
* 10048: Identify brand mix elements, NQF Level 5, 6 credits
* 10052: Monitor handling of customer by frontline customer service, NQF Level 5, 8 credits
* 10053: Manage customer requirements and needs and implement action plans, NQF Level 5, 8 credits
* 10054: Identify and manage areas of customer service impact, NQF Level 5, 6 credits
* 10066: Establish customer needs and relationships, NQF Level 5, 16 credits
* 10067: Develop customer needs and relationships, NQF Level 5, 16 credits

**Disaster Risk Management (Learning Programme ID 60274):**

* 251963: Utilise communication and information management systems, Level 5, 10 credits
* 251965: Create awareness and promote a culture of risk avoidance through advocacy activities, Level 4, 6 credits
* 251964: Develop and implement disaster risk reduction plans, Level5, 10 credits
* 251962: Establish and co-ordinate forums for disaster risk management in a specific environment, Level 5, 6 credits
* 251966: Implement disaster risk management principles in response, recovery, relief and rehabilitation activities, Level 5, 15 credits
* 251967: Conduct disaster risk assessment, Level5, 15 credits
* 251968: Develop and manage funding mechanisms for disaster risk management, Level6, 10 credits
* 251961: Interpret and integrate disaster risk management theory into programmes and activities according to the Disaster Risk Management (DRM) Framework, Level 5, 15 credits

**Financial Management for Sport Federations (Learning Programme ID 60275):**

* 252038: Prepare and manage a budget, Level 5, 5 credits
* 252181: Explain the role of governance structures in sport, Level 5, 5 credits
* 252176: Manage the business components of a sport organisation, Level 5, 6 credits
* 242650: Manage project finances, Level 5, 15 credits
* 252039: Develop a plan to combat corruption, NQF Level 5, 5 credits
* 12761: Demonstrate an understanding of macroeconomic principles as they apply to the South African business environment, NQF Level 4, 8 credits
* 252024: Evaluate current practices against best practice, NQF Level 5, 4 credits.

**Sport Event Management (Learning Programme ID 60276):**

* 252175: Apply principles of marketing to sport, Level 5, 4 credits
* 242650: Manage project finances, Level 5, 15 credits
* 252180: Coordinate the logistics of a sports team on tour, Level 5, 8 credits
* 252179: Manage volunteers in sport, Level 5 , 5 credits
* 243948: Monitor and maintain health, safety and security, Level 5, 4 credits
* 15230: Monitor team members and measure effectiveness of performance, Level 5, 4 credits

**Advanced Sport Management Administration (Learning Programme ID 60277):**

* 252182: Establish sustainable sport organisations structures, Level 5, 6 credits
* 252176: Manage the business components of a sport organisation, Level 5 , 6 credits
* 252181: Explain the role of governance structures in sport, Level 5, 5 credits
* 115855: Create, maintain and update record keeping systems, Level 5, 5 credits
* 242650: Manage project finances, Level 5, 15 credits
* 252179: Manage volunteers in sport, Level 5, 5 credits
* 252177: Manage participants with disability in sport, Level 5 , 8 credits
* 252178: Support sport and fitness participation for people living with HIV/AIDS, Level 5, 4 credits

**Adventure Based Learning (ABL) (Learning Programme ID 60278):**

* 252188: Develop a programme for Adventure Based Learning (ADL) experiences, Level 5, 8 credits
* 252184: Facilitate participation in an adventure based activity, Level 5, 6 credits
* 252187: Plan and conduct leading and mentoring of participants in outdoor adventure experiences, Level 5, 4 credits
* 252186: Prepare to lead and conduct physical activities, Level 5, 4 credits
* 252185: Promote sustainable use of the environment, Level 5, 3 credits
* 252183: Maintain safety in the conduct of Adventure Based Learning activities, Level 5, 5 credits
* 252189: Deal with substandard performance in a team, Level 5, 5 credits

**Wholesale and Retail Management (Learning Programme ID 63334):**

* 10980: Induct a new employee, Level 4, 6 credits
* 12140: Recruit and select candidates to fill defined positions, Level 5, 9 credits
* 255494: Schedule staff, Level 5, 10 credits
* 255495: Demonstrate an understanding of the sectoral determination for the wholesale and retail sector, Level 5, 8 credits
* 255496: Manage a training intervention, Level 5, 8 credits
* 255497: Manage stock holding procedures in a wholesale and retail unit, Level 5, 6 credits
* 255498: Manage cold chain processes in a wholesale and retail unit, Level 5, 6 credits
* 255499: Manage shrinkage and losses in a wholesale and retail unit, Level 5, 12 credits
* 255500: Manage procedures that increase the net income of a wholesale and retail unit, Level 5, 8 credits
* 255514: Conduct a disciplinary hearing, Level 5, 15 credits

**Mining Management (Learning Programme ID 64869):**

* ID 7863: Manage staff development; Level 5; 6 credits
* 10043: Develop, implement and manage a project/activity plan; Level 5; 5 credits
* 11286: Institute disciplinary action; Level 5; 8 credits
* 12140: Recruit and select candidates to fill defined positions; Level 5; 9 credits
* 12996: Record, analyse and prepare cost information; Level 5; 10 credits
* 12997: Prepare financial reports and returns; Level 5; 8 credits
* 13015: Draft financial statements; Level 5; 12 credits
* 15214: Recognise areas in need of change, make recommendations and implement change in the team, department or division; Level 5; 3 credits
* 252024: Evaluate current practices against best practice; Level 5; 4 credits
* 15223: Implement training needs for teams and individuals to upgrade skills levels; Level 5; 3 credits
* 15226: Implement systems to meet the flow of information in a team, department or division; Level 5; 3 credits
* 15229: Implement codes of conduct in the team, department or division; Level 5; 3 credits
* 15230: Monitor team members and measure effectiveness of performance; Level 5; 4 credits

**Skills Development Management (Learning Programme ID 66069):**

* 11911: Manage individual careers; Level 5; 5 credits
* 15219: Develop and implement a strategy and action plans for a team, department or division; Level 5; 4 credits
* 15220: Set, monitor and measure the achievement of goals and objectives for a team, department or division within an organisation; Level 5; 4 credits
* 15232: Coordinate planned skills development interventions in an organisation; Level 5; 6 credits
* 116926: Implement skills development as workplace learning to support organisational transformation; Level 5; 12 credits
* 252041: Promote a learning culture in an organisation, NQF Level 5, 5 credits

**Service Station Management (Learning Programme ID 66310):**

* 244031: Manage dangerous goods logistics, Level 5, 12 credits
* 114274: Demonstrate and apply an understanding of the Basic Conditions of Employment Act, Level 5, 8 credits
* 255514: Conduct a disciplinary hearing, Level 5, 15 credits
* 114592: Produce business plans for a new venture, Level 4, 8 credits
* 242668: Demonstrate knowledge and application of the Occupational Health and Safety Act, 85 of 1993 (OHSA) (as amended) and the responsibilities of management in terms of the Act, Level 4, 4 credits
* 255500: Manage procedures that increase the net-income of a wholesale and retail unit, Level 5, 8 credits
* 255499: Manage shrinkage and losses in a wholesale and retail unit, Level 5, 12 credits
* 252024: Evaluate current practices against best practice, Level 5, 4 credits
* 252030: Analyse compliance to legal requirements and recommend corrective actions, Level 5, 4 credits.

**Real Estate (Learning Programme ID 71609):**

* 258115: Manage the marketing, selling and leasing of property developments, Level 5, 12 credits
* 258116: Manage community schemes, Level 5, 8 credits
* 258117: Manage a Real Estate franchise business, Level 5, 12 credits
* 258118: Market, sell and lease community schemes, Level 5, 8 credits
* 258119: Manage an auctioneering business or division, Level 5, 12 credits
* 258120: Integrate the principles of Agricultural property ownership into Real Estate sales and marketing functions, Level 5, 12 credits
* 258121: Manage Real Estate business operations, Level 5, 8 credits
* 258122: Manage a business broking business or division, Level 5, 12 credits
* 258123: Demonstrate an understanding of real estate economics in the SA context, Level 5, 8 credits
* 258124: Manage the marketing, selling and leasing of properties, Level 5, 12 credits
* 258125: Integrate the principles of Commercial/Industrial property ownership into Real Estate sales and marketing functions, Level 5, 12 credits
* 258126: Apply facilities management principles, Level 5, 8 credits
* 258135: Develop, implement and control administration of Real Estate systems, policies and procedures, Level 5, 8 credits
* 258136: Perform market assessments, Level 5, 12 credits
* 258137: Collate, interpret and utilise financial information in a Real Estate business, Level 5, 8 credits
* 258138: Implement and maintain legal requirements within a Real Estate business, Level 5, 6 credits

**Security Management (Learning Programme ID 74511):**

* 120480: Demonstrate understanding of crime prevention, Level 5, 6 credits
* 242830: Conduct a security threat assessment in a defined operational area, Level 4, 6 credits
* 13952: Demonstrate basic understanding of the Primary labour legislation that impacts on a business unit, Level 4, 8 credits
* 244315: Assess threat for security installation purposes, Level 5, 7 credits
* 244330: Compile a threat and risk assessment for a close protection operation, Level 5, 5 credits
* 120484: Demonstrate understanding of the principles of common law crimes and statutory law offences, Level 5, 12 credits
* 120303: Apply principles of risk management, Level 5, 8 credits
* 15228: Advise on the establishment and implementation of a quality management system for skills development practices in an organisation, Level 5, 10 credits
* 15221: Provide information and advice regarding skills development and related issues, Level 5, 4 credits
* 15227: Conduct skills development administration in an organisation, Level 4, 4 credits
* 242829: Monitor the level of service to a range of customers, Level 4, 5 credits
* 114925: Manage learner information using an information management system, Level 5, 4 credits

**Strategic Management (Learning Programme ID 74512):**

* 264395: Formulate a strategy and an implementation plan for a function, Level 6, 6 credits
* 264398: Evaluate and plan the role of self as leader in a function, Level 6, 5 credits
* 264400: Apply the principles of corporate governance and ethics in a function, Level 6, 5 credits
* 264403: Apply problem-solving techniques to make decisions on a multi-faceted problem, Level 6, 5 credits
* 264405: Manage relationships with strategic partners to improve the performance of a function, Level 6, 6 credits
* 264406: Manage the information and institutional knowledge within a function, Level 6, 5 credits
* 264407: Analyse the strategy and external environment of the entity in relation to a function, Level 6, 3 credits
* 264408: Manage and improve communication processes in a function, Level 6, 3 credits
* 264409: Use negotiation in multi-faceted situations to achieve the objectives of a function, Level 6, 5 credits
* 264416: Appraise, develop and retain human capital for a function, Level 6, 6 credits

Additional specialisations in Contact Centre Management, Human Resource Management and Public Administration will be added at a later stage.

**Exit level outcomes**

1. Initiate, develop, implement and evaluate operational strategies, projects and action plans so as to improve the effectiveness of the unit.

2. Monitor and measure performance and apply continuous or innovative improvement interventions in the unit.

3. Lead and manage a team of first line managers to enhance individual, team and unit effectiveness.

4. Build relationships with superiors and with stakeholders across the value chain.

5. Apply the principles of risk, financial and knowledge management and business ethics within internal and external regulatory frameworks.

6. Enhance the development of teams and team members.

**Critical Cross-Field Outcomes:**

The learner will be expected to demonstrate the ability to:

* Identify and solve problems and make responsible ethical decisions within own scope of responsibility.
* Work effectively with others as a member of a team, group, organisation or community to achieve unit objectives.
* Organise and manage oneself and one's activities responsibly and effectively to plan, lead, organise and control in order to achieve unit objectives.
* Collect, organise and critically evaluate information in order to manage performance in the unit.
* Communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations to lead a team of first line managers.
* The learner will be required to demonstrate an understanding of the world as a set of related systems by managing others in multiple teams within a unit.
* Be culturally and aesthetically sensitive across a range of social contexts in managing and interacting with diverse people in the workplace.
* Use science and technology effectively in researching, recommending and implementing management solutions in the unit, showing responsibility towards the environment and health of others.

**Associated Assessment Criteria**

**Associated Assessment Criteria for Exit Level Outcome 1**:

* Priorities are identified by considering a broad range of factors in solving problems and making decisions on operational strategies.
* The need for and the benefits of change are explained and recommendations are made to achieve intended results.
* The initiatives to be undertaken by the unit are linked to organisational goals and objectives.
* Operational strategies, projects and action plans are initiated and developed.
* Operational strategies, projects and action plans are implemented and evaluated.

**Associated Assessment Criteria for Exit Level Outcome 2:**

* The performance of the teams and the unit is monitored and measured according to entity's systems and procedures.
* Innovative and/or continuous improvement strategies are applied according to generally accepted theory and practice.
* Results are evaluated in relation to intended outcomes.

**Associated Assessment Criteria for Exit Level Outcome 3:**

* The talents of each team member are evaluated according to the needs and operational requirements of the unit.
* The team is provided with direction towards fulfilment of organisational goals.
* Resources are identified and used by the leader to accomplish the objectives of the unit.

**Associated Assessment Criteria for Exit Level Outcome 4:**

* Relationships are built through the provision and solicitation of unit-relevant information.
* Communication processes that contribute towards building relationships are implemented both vertically and horizontally.
* Team effectiveness and desired outcomes are achieved through partnership and information sharing.
* Customer needs are interpreted and distilled through effective communication processes in order to ensure that relationships are sustained.

**Associated Assessment Criteria for Exit Level Outcome 5:**

* Risk in the unit is managed by considering the impact and likelihood of a variety of internal and external factors.
* The intended outcomes of the unit are achieved by applying accepted principles and practices of financial management.
* The intellectual assets of the unit are identified, developed and protected through the application of the principles of knowledge management.
* The desired outcomes of the unit are achieved within an individual ethical framework and according to the value system of the entity.

**Associated Assessment Criteria for Exit Level Outcome 6:**

* The acquisition and enhancement of skills is facilitated through people development processes.
* Direction is given to first line managers on their possible career progression within the entity through coaching and other personal interaction.
* The diversity in the team is recognised and harnessed in order to add value to team effectiveness.

**Integrated Assessment:**

Assessment practices must be fair, transparent, valid and reliable and should ensure that the learner is not disadvantaged in any way. Integrated assessment provides the opportunity for learners to demonstrate that they are able to integrate concepts, actions and ideas achieved across a range of unit standards and contexts. Integrated assessment must evaluate the quality of competence attained by the learner.

The assessment strategies used must ensure that that all Specific Outcomes, Essential Embedded Knowledge and Critical Cross-Field Outcomes are assessed. The assessment of the Critical Cross-Field Outcomes should be integrated with the assessment of the Specific Outcomes.

The learner who has provided the required evidence for all the exit level outcomes of the qualification will be assessed as competent and awarded the qualification. This will ensure that learning and competence are not achieved only in the building blocks of the unit standards but also in the integration and application of the fundamental, core and elective building blocks to a particular context, i.e. the exit level outcomes.

**What is a credit?**

A credit is the formal recognition that you have the necessary knowledge, skills and understanding in a particular field of study. One (1) credit = 10 notional hours of learning. ‘Notional hours’ are time spent on homework, assignments, practicing on the job, classroom time, or any other time spent to become competent in the particular standard or qualification. A total of 167 or more credits are necessary to receive a **National Certificate: Generic Management**at NQF level 5.

**Range of Learning**

This describes the situation and circumstance in which competence must be demonstrated and the parameters in which the learner operates.

**Use of the Learner Guide**

There are five (5) modules in this Learner Guide.

Skills Programme 2: Workplace Management

|  |  |  |  |
| --- | --- | --- | --- |
| **U/S number** | **Unit Standard name** | **Level** | **Cr** |
| 252032 | Develop, implement and evaluate an operational plan | 5 | 8 |
| 252021 | Formulate recommendations for a change process | 5 | 8 |
| 120300 | Analyse leadership and related theories in a work context | 5 | 8 |
| 252036 | Apply mathematical analysis to economic and financial information. | 5 | 6 |
| 12433 | Use communication techniques effectively | 5 | 8 |

A specific goal is given for each lecture or theme. You will have to attain a number of objectives to attain the goal of each session. First read the objectives to focus your thoughts on the information that may be relevant to attain the objectives.

Once you have your thoughts focussed, skim or scan the course work prescribed for each theme to orientate you with the material you have to study.

During classes an overview of a theme will be given, after which a number of problems and/or questions will be discussed. You are advised to develop a concept map of each theme that not only represents each theme visually, but also relates the different components.

**Learner Support**

Please remember that as the programme is outcomes based – this implies the following:

* You are responsible for your own learning – make sure you manage your study, research and portfolio time responsibly.
* Learning activities are learner driven – make sure you use the Learner Guide and Workbook in the manner intended, and are familiar with the Portfolio Guide requirements.
* The Facilitator is there to reasonably assist you during contact, practical and workplace time of this programme – make sure that you have his/her contact details.

**Responsibility**

The responsibility of learning rest with you, so . . .

* Be proactive and ask questions
* Seek assistance and help from your coach, if required

**Assessment**

**How will I be prepared for assessment?**

During the programme developmental activities will be conducted to assist you in preparing for final assessment. For your own benefit, make sure that you participate fully in all the developmental and formative assessment activities! What will I finally be required to do for assessment? Final assessment will be conducted on the following submission of evidence, e.g.:

* Completed activities in the Learner manual
* Knowledge Questionnaire
* Practical illustration / simulation

**What will be assessed in the above?**

All assessments are conducted strictly in accordance with the unit standard requirements. Assessment is a way of measuring what you know and are able to do. When you have learnt something, you should be able to apply what you have learnt. You may be assessed when you are sure that you are ready to be assessed. If you do not achieve the standard the first time, you can be coached or trained further and then be assessed again later. You will be assessed in a number of ways and at regular intervals.

**When do I start preparing for assessment?**

Right from the start – make sure you are familiar with the Assessment Guide/Portfolio Guide, and start preparing and collecting evidence from the onset of the programme.

**Formative Assessment**

In order to gain credits for this programme you will need to show an assessor that you are competent in each unit standard. The activities in this programme are designed not only to bring about your competence, but also to prove that you have mastered competence.

**Summative assessment**

Not all the specific outcomes will be formatively assessed during the programme or in the workplace. The objective is to create independent and self-sufficient learners. This means that you will also be required to do independent research and assignments outside the training room.

Your assessor and you will conduct a pre assessment meeting to discuss the assessment process and how you will collect evidence of your competence. When you are ready, you will advise your assessor that you are ready for the assessment.

The summative assessment activities are indicated at the end of the learning guide. If your summative assessment is conducted using observation, role plays or verbal assessment, place a signed copy of the checklists, once completed by the assessor / assessment panel, in your Learner manual.

**Duration of program**

The total proposed duration of this programme is as follows:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Unit Standards** | **Theoretical Learning (30%)** | | **Workplace Learning (70%)** | | **Total Credits** |
| **Component** | **Credits** | **Time / Notional Hours** | **Credits** | **Time / Notional Hours** |
| Fundamental / Core / Elective | Allocate credits against total credit value | Anticipated time | Allocate credits against total credit value | Anticipated time |
| Fundamental | 7 | 70 | 15 | 150 | 22 |
| Core | 5 | 50 | 11 | 110 | 16 |
| Elective | - | - | - | -- | - |

**LETTER OF COMMITMENT FROM THE LEARNER**

You have been identified and nominated to be part of  **Insert Organisation Name Here Skills Program 2 – Workplace Management (252032, 252021, 120300, 252036, 12433)** program by means of your organisations’ training committee as well as a Needs Analysis conducted by. To ensure effective training, your commitment to attend training and submit evidence of workplace application as required by the appointed assessor, is of utmost importance. This letter serves to confirm your commitment to the training program offered to you by your organisation.

**Declaration of commitment:**

I undertake to fulfil all the requirements of the assessment practices as specified by the assessor and service provider.

Company: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Full names of learner: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Nominated by**:

Name and Surname \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Position in company \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_

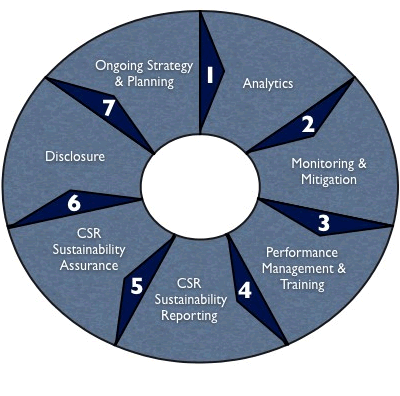
**Learner Information**

|  |  |
| --- | --- |
| **Name & Surname** |  |
|  |
| **ID Number** |  |
| **Age** |  |
| **Address** |  |
|  |
|  |
| **Telephone number (Cell)** |  |
| **Telephone number (Other)** |  |
| **Gender** |  |
| **Race** |  |
| **Property** |  |
|  |
| **Geographical Area** |  |
|  |
| **Course** |  |
|  |
| **Mentor/s** |  |
|  |
| **Facilitator/s** |  |
|  |
| **Next of Kin details** |  |
|  |
|  |
| **Commencement Date** |  |
| **Estimated completion date** |  |

**Skills Program Structure**

Develop, implement and evaluate an operational plan

252032

****

This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them. The qualifying learner is capable of:

* Developing an operational plan for a unit
* Implementing an operational plan
* Monitoring, measuring and evaluating the achievement of goals and objectives

**Index**

|  |  |
| --- | --- |
| **Competence Requirements** | **Page** |
| **Unit Standard 252032 alignment index**  Here you will find the different outcomes explained which you need to be proved competent in, in order to complete the Unit Standard 252032. | **27** |
| **Unit Standard 252032** | **29** |
| **Develop operational strategies for a unit** | **35** |
| **Develop an operation plan for a unit** | **45** |
| **Prepare, Implement, monitor and measure an operational plan** | **52** |
| **Self-assessment**  Once you have completed all the questions after being facilitated, you need to check the progress you have made. If you feel that you are competent in the areas mentioned, you may tick the blocks, if however you feel that you require additional knowledge, you need to indicate so in the block below. Show this to your facilitator and make the necessary arrangements to assist you to become competent. | **55** |

**Unit Standard 252032 – Alignment Index**

|  |  |
| --- | --- |
| **SPECIFIC OUTCOMES AND RELATED ASSESSMENT CRITERIA** | |
| **SO 1** | **Develop operational strategies for a unit.** |
| **AC 1** | The strategic plan of an entity is examined to determine the purpose of a unit in contributing to the achievement of the entity's strategy. |
| **AC 2** | Operational strategies for achieving the purpose of a unit are developed and recorded. |
| **AC 3** | The operational strategy of a unit is aligned with the overall strategy of an entity. |
| **AC 4** | A systematic process is followed to develop goals, objectives and performance standards that are clear, concise, measurable and achievable |
| **AC 5** | Stakeholders are involved in the formulation of the goals, objectives and performance standards of a unit to obtain their commitment. |
| **SO 2** | **Develop an operation plan for a unit.** |
| **AC 1** | The operation plan is developed to transform the goals and objectives into tasks, responsibilities, time frames, performance measures, resource needs and contingencies. |
| **AC 2** | Measurable parameters are validated against customer and unit performance requirements. |
| **AC 3** | Monitoring systems are described in the operational plan to enable the measurement of progress and results against the performance standards. |
| **AC 4** | Feedback on the operational plan is obtained from team members to promote buy-in in the implementation of the plan. |
| **SO 3** | **Implement an operational plan.** |
| **AC 1** | The operational plan is implemented, with amendments where necessary, to meet the specified goals, objectives and performance standards. |
| **AC 2** | Optimal use of available resources is ensured during implementation to promote cost-effectiveness. |
| **AC 3** | The use of control measures by first line managers is encouraged in the areas of their responsibility. |
| **SO 4** | **Monitor measure and evaluate achievement of goals and objectives** |
| **AC 1** | The performance of the unit is monitored against the goals, objectives and performance standards in the plan using established monitoring systems |
| **AC 2** | Performance reviews are conducted to measure inputs and outputs of team members against the operational plan. |
| **AC 3** | Recommendations on corrective action are implemented with the agreement of the responsible first line managers. |
| **AC 4** | Results are evaluated in terms of the teams' contribution to the performance of a unit. |

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| **CRITICAL CROSS FIELD OUTCOMES** |
| ***UNIT STANDARD CCFO IDENTIFYING***  Identify and solve problems in developing and implementing an operational plan in a unit.  ***UNIT STANDARD CCFO WORKING***  Work effectively with others to obtain cooperation in implementing an operational plan.  ***UNIT STANDARD CCFO ORGANISING***  Organise and manage oneself and one's activities in developing and implementing an operational plan for a unit.  ***UNIT STANDARD CCFO COLLECTING***  Collect, evaluate, organise and critically evaluate information required to develop an operational plan.  ***UNIT STANDARD CCFO COMMUNICATING***  Communicate effectively with team members and other stakeholders in developing and implementing an operational plan.  ***UNIT STANDARD CCFO SCIENCE***  Use science and technology for recording information required for developing an operational plan, and tracking and evaluating its implementation.  ***UNIT STANDARD CCFO DEMONSTRATING***  Demonstrate an understanding of the world as a set of related systems by aligning the unit's strategy and operational plans with the strategy of the organisation |

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|  |
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| **SOUTH AFRICAN QUALIFICATIONS AUTHORITY** |

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| **REGISTERED UNIT STANDARD:** |

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| --- |
| **Develop, implement and evaluate an operational plan** |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SAQA US ID** | **UNIT STANDARD TITLE** | | | |
| 252032 | Develop, implement and evaluate an operational plan | | | |
| **ORIGINATOR** | | **REGISTERING PROVIDER** | | |
| SGB Generic Management | |  | | |
| **QUALITY ASSURING BODY** | | | | |
| - | | | | |
| **FIELD** | | | **SUBFIELD** | |
| Field 03 - Business, Commerce and Management Studies | | | Generic Management | |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined | Regular | Level 5 | New Level Assignment Pend. | 8 |
| **REGISTRATION STATUS** | | **REGISTRATION START DATE** | **REGISTRATION END DATE** | **SAQA DECISION NUMBER** |
| Registered | | 2007-11-28 | 2010-11-28 | SAQA 0474/07 |
| **LAST DATE FOR ENROLMENT** | | **LAST DATE FOR ACHIEVEMENT** | | |
| 2011-11-28 | | 2014-11-28 | | |

|  |
| --- |
| In all of the tables in this document, both the old and the new NQF Levels are shown. In the text (purpose statements, qualification rules, etc), any reference to NQF Levels are to the old levels unless specifically stated otherwise. |

|  |
| --- |
| This unit standard replaces: |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **US ID** | **Unit Standard Title** | **Old NQF Level** | **New NQF Level** | **Credits** | **Replacement Status** |
| 115219 | Perform search and recover operations at an emergency scene | Level 5 | New Level Assignment Pend. | 8 | Complete |

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| --- |
| **PURPOSE OF THE UNIT STANDARD** |

|  |
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| This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them.   The qualifying learner is capable of:   Developing an operational plan for a unit.   Implementing an operational plan.   Monitoring, measuring and evaluating the achievement of goals and objectives. |

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| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING** |

|  |
| --- |
| It is assumed that learners are competent in:   Communication at NQF Level 4.   Mathematical Literacy at NQF Level 4.   Computer Literacy at NQF Level 4. |

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| **UNIT STANDARD RANGE** |

|  |
| --- |
|  The learner is required to apply the learning in respect of his/her own area of responsibility.   Unit refers to the division, department or business unit in which the learner is responsible for managing and leading staff.   Entity includes, but is not limited to, a company, business unit, public institution, small business, Non-Profit Organisation or Non-Governmental Organisation.   Operational plan includes a business plan. |

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| **Specific Outcomes and Assessment Criteria:** |

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| **SPECIFIC OUTCOME 1** |

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| Develop operational strategies for a unit. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| --- |
| The strategic plan of an entity is examined to determine the purpose of a unit in contributing to the achievement of the entity's strategy. |

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| --- |
| **ASSESSMENT CRITERION 2** |

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| Operational strategies for achieving the purpose of a unit are developed and recorded. |

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| **ASSESSMENT CRITERION 3** |

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| The operational strategy of a unit is aligned with the overall strategy of an entity. |

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| **ASSESSMENT CRITERION 4** |

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| --- |
| A systematic process is followed to develop goals, objectives and performance standards that are clear, concise, measurable and achievable. |

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| --- |
| **ASSESSMENT CRITERION 5** |

|  |
| --- |
| Stakeholders are involved in the formulation of the goals, objectives and performance standards of a unit to obtain their commitment. |

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| **SPECIFIC OUTCOME 2** |

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| --- |
| Develop an operation plan for a unit. |

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| --- |
| **ASSESSMENT CRITERIA** |

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| --- |
| **ASSESSMENT CRITERION 1** |

|  |
| --- |
| The operation plan is developed to transform the goals and objectives into tasks, responsibilities, time frames, performance measures, resource needs and contingencies. |

|  |
| --- |
| **ASSESSMENT CRITERION 2** |

|  |
| --- |
| Measurable parameters are validated against customer and unit performance requirements. |

|  |
| --- |
| **ASSESSMENT CRITERION 3** |

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| Monitoring systems are described in the operational plan to enable the measurement of progress and results against the performance standards. |

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| **ASSESSMENT CRITERION 4** |

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| Feedback on the operational plan is obtained from team members to promote buy-in in the implementation of the plan. |

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| **SPECIFIC OUTCOME 3** |

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| --- |
| Implement an operational plan. |

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| --- |
| **ASSESSMENT CRITERIA** |

|  |
| --- |
| **ASSESSMENT CRITERION 1** |

|  |
| --- |
| The operational plan is implemented, with amendments where necessary, to meet the specified goals, objectives and performance standards. |

|  |
| --- |
| **ASSESSMENT CRITERION 2** |

|  |
| --- |
| Optimal use of available resources is ensured during implementation to promote cost-effectiveness. |

|  |
| --- |
| **ASSESSMENT CRITERION 3** |

|  |
| --- |
| The use of control measures by first line managers is encouraged in the areas of their responsibility. |

|  |
| --- |
| **SPECIFIC OUTCOME 4** |

|  |
| --- |
| Monitor, measure and evaluate the achievement of goals and objectives. |

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| --- |
| **ASSESSMENT CRITERIA** |

|  |
| --- |
| **ASSESSMENT CRITERION 1** |

|  |
| --- |
| The performance of the unit is monitored against the goals, objectives and performance standards in the plan using established monitoring systems. |

|  |
| --- |
| **ASSESSMENT CRITERION 2** |

|  |
| --- |
| Performance reviews are conducted to measure inputs and outputs of team members against the operational plan. |

|  |
| --- |
| **ASSESSMENT CRITERION 3** |

|  |
| --- |
| Recommendations on corrective action are implemented with the agreement of the responsible first line managers. |

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| **ASSESSMENT CRITERION 4** |

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| --- |
| Results are evaluated in terms of the teams' contribution to the performance of a unit. |

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| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS** |

|  |
| --- |
|  Anyone assessing a candidate against this Unit Standard must be registered as an assessor with the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Any institution offering learning that will enable achievement of this Unit Standard must be accredited as a provider through the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines and the agreed ETQA procedures. |

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| **UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE** |

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|  Processes for developing clear, measurable and achievable goals, objectives and performance standards.   Elements of an operational or business plan.   Techniques for identifying strengths and weaknesses.   Approaches to and tools for implementing actions.   Systems for monitoring and evaluating the implementation of operational plans. |

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| **UNIT STANDARD DEVELOPMENTAL OUTCOME** |

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| N/A |

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| **UNIT STANDARD LINKAGES** |

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| --- |
| N/A |

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| --- |
| **Critical Cross-field Outcomes (CCFO):** |

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| --- |
| **UNIT STANDARD CCFO IDENTIFYING** |

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| --- |
| Identify and solve problems in developing and implementing an operational plan in a unit. |

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| --- |
| **UNIT STANDARD CCFO WORKING** |

|  |
| --- |
| Work effectively with others to obtain cooperation in implementing an operational plan. |

|  |
| --- |
| **UNIT STANDARD CCFO ORGANISING** |

|  |
| --- |
| Organise and manage oneself and one's activities in developing and implementing an operational plan for a unit. |

|  |
| --- |
| **UNIT STANDARD CCFO COLLECTING** |

|  |
| --- |
| Collect, evaluate, organise and critically evaluate information required to develop an operational plan. |

|  |
| --- |
| **UNIT STANDARD CCFO COMMUNICATING** |

|  |
| --- |
| Communicate effectively with team members and other stakeholders in developing and implementing an operational plan. |

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| **UNIT STANDARD CCFO SCIENCE** |

|  |
| --- |
| Use science and technology for recording information required for developing an operational plan, and tracking and evaluating its implementation. |

|  |
| --- |
| **UNIT STANDARD CCFO DEMONSTRATING** |

|  |
| --- |
| Demonstrate an understanding of the world as a set of related systems by aligning the unit's strategy and operational plans with the strategy of the organisation. |

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| --- |
| **QUALIFICATIONS UTILISING THIS UNIT STANDARD:** |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **ID** | **QUALIFICATION TITLE** | **OLD LEVEL** | **NEW LEVEL** | **STATUS** | **END DATE** |
| Core | [59201](http://allqs.saqa.org.za/showQualification.php?id=59201) | National Certificate: Generic Management | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Core | [65609](http://allqs.saqa.org.za/showQualification.php?id=65609) | National Diploma: Allied Health Therapies | Level 5 | New Level Assignment Pend. | Registered | 2012-06-17 |
| Core | [64330](http://allqs.saqa.org.za/showQualification.php?id=64330) | National Certificate: Mission Corporate Services Management | Level 6 | New Level Assignment Pend. | Registered | 2011-11-26 |
| Elective | [65229](http://allqs.saqa.org.za/showQualification.php?id=65229) | Further Education and Training Certificate: Animal Protection | Level 4 | NQF Level 04 | Registered | 2012-03-12 |
| Elective | [61529](http://allqs.saqa.org.za/showQualification.php?id=61529) | National Certificate: Loss Adjusting | Level 5 | New Level Assignment Pend. | Registered | 2011-06-11 |
| Elective | [66189](http://allqs.saqa.org.za/showQualification.php?id=66189) | National Certificate: Quality Management Systems | Level 5 | New Level Assignment Pend. | Registered | 2012-05-13 |

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***I***

***ntroduction to Operational Planning***

Things to know about operational planning include:

* Purpose of an operational plan
* Components of an operational plan
* Manager's role in operational planning
* Issues to be addressed in operational planning
* Management intervention and operational planning
* Creating a budget strategy by strategy
* Organisation stakeholders

Essentially, the manager's task is to co-ordinate and organise the resources of the organisation in the most efficient way to provide the best value for the organisation's stakeholders. This is true of both profit and non-profit organisations.

The resources that the manager will coordinate in an operational plan include:

* People
* Time
* Information
* Money
* Equipment/technology
* Buildings/facilities
* Land

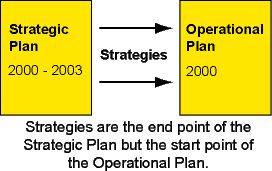
In producing value for stakeholders, these resources must be used efficiently and effectively. Managers need to ensure that they have a detailed and updated knowledge of resources and that none are overlooked or wasted. For example, the organisations members or customers are themselves a resource. The membership is likely to include a diverse range of skills that the organisation can call upon and use.

Managers must utilise the information they collect about resources to develop plans, prepare budgets, schedule events and programs, and roster staff so that products and services may be delivered in line with the goals and objectives of the organisation.

***P***

***urpose of an Operational Plan***

It is important to understand the difference between an "operational plan" and a "strategic plan". The strategic plan is about setting a direction for the organisation, devising goals and objectives and identifying a range of strategies to pursue so that the organisation might achieve its goals.



It is a general guide for the management of the organisation according to the priorities and goals of stakeholders. The strategic plan does NOT stipulate the day-to-day tasks and activities involved in running the organisation.

On the other hand the Operational Plan DOES present highly detailed information specifically to direct people to perform the day-to-day tasks required in the running the organisation. Organisation management and staff should frequently refer to the operational plan in carrying out their everyday work. The Operational Plan provides the what, who, when and how much:

* What - the strategies and tasks that must be undertaken
* Who - the persons who have responsibility of each of the strategies/tasks
* When - the timelines in which strategies/tasks must be completed
* How much - the amount of financial resources provided to complete each strategy/task

***The difference between and operational and strategic plans***

|  |  |
| --- | --- |
| **Strategic Plan** | **Operational Plan** |
| A general guide for the management of the organisation | A specific plan for the use of the organisation's resources in pursuit of the strategic plan |
| Suggests strategies to be employed in pursuit of the organisation's goals | Details specific activities and events to be undertaken to implement strategies |
| Is a plan for the pursuit of the organisation's mission in the longer term (3 - 5 years) | Is a plan for the day-to-day management of the organisation (one year time frame) |
| A strategic plan enables management to formulate an operational plan | An operational plan should not be formulated without reference to a strategic plan |
| The strategic plan, once formulated, tends not to be significantly changed every year | Operational plans may differ from year to year significantly |
| The development of the strategic plan is a responsibility shared and involves different categories of stakeholders | The operational plan is produced by the chief executive and staff of the organisation |

The purpose of the Operational Plan is to provide organisation personnel with a clear picture of their tasks and responsibilities in line with the goals and objectives contained within the Strategic Plan. Basically, the Operational Plan is a plan for the implementation of strategies contained within the Strategic Plan. It is a management tool that facilitates the co-ordination of the organisation's resources (human, financial and physical) so that goals and objectives in the strategic plan can be achieved.

***C***

***omponents of an Operational Plan***

The essential purpose of sport organisations is to provide a well-organised program of training, coaching and competition for members or customers. This requires a great deal of organisation of people, space and equipment which includes:

* Scheduling events or fixtures
* Organising people into teams (if team sport)
* Recruiting and appointing coaches and competition officials
* Preparing facilities, equipment and playing surfaces
* Allocating space and practice times due to space limitations of facilities
* Coordinating with other clubs and associations

However the ability of the sport manager to organise training, coaching and competition is also dependant on a number of difficult constraints: These constraints include:

* Financial constraints - the cost of providing a well-organised program must not be greater than the level of funding available.
* The availability of coaches depends on significant work to either recruit coaches from outside the organisation or develop coaches through internal coach education programs, or both.
* Facilities and equipment need to be appropriately maintained to ensure the safety and satisfaction of members/customers
* Competition schedules have to integrate with numerous other events and holidays. For example a sport club will need to integrate with the event calendars of regional, state and national bodies.

Therefore an operational plan has many components including:

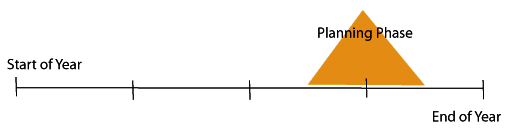
* Calendar of events (or fixtures) for the whole year (or for the season)
* Team lists (if the sport is a team event)
* Facility use schedules (i.e. allocation of pitches, courts, or equipment to particular groups at particular times)
* Facility and equipment maintenance schedules (e.g. grass mowing, floor sweeping, line marking, equipment preparation and repair)
* Training events and programs for coaches, officials and event volunteers
* A budget that provides a realistic estimate of the total income
* Policy and procedure for ensuring the program runs smoothly (i.e. safety procedure, emergency management procedure, competition rules, code of ethics for all participants, discipline procedure, wet weather procedure, etc.).

***P***

***reparing an Operational Plan***

An operational plan is a collection of many documents that is the backbone of the sport organisation's ability to provide a well-organised program of training, coaching and competition. The development of an operational plan requires a number of steps over a period of time that can be as much as 3 months of the year. In other words, operational planning must be a significant time commitment for sport managers or members of management committees.

There are some differences between sport organisations in the manner in which the operational plan is developed. For example, some organisations cater for team sports and some for individual sports. Team sports are usually seasonal whereas some individual sports may have all year training and competition.



The diagram above indicates the best time of the year for operational planning for a sport club that caters for all year round competition for the membership. The process should start not later than around three months before the end of the year (or season). It is important to consider that the end of the year (or season) is often very busy.

It can be cluttered with finals and special events. Therefore sports managers should aim to complete the operational plan four weeks before the year's end. This allows essential planning tasks to be finalised before the organisation closes down and contact with the membership is lost for a while.

Nevertheless there is likelihood that the operational plan will require adjustments not only in the last month of the year but also at the start of the following year.

The key steps involved in preparing an operational plan include:

* Determining calendar of events (competition schedule)
* Allocating coaching positions
* Determining and ordering equipment and clothing requirements
* Scheduling repairs and upgrades to the playing facilities and/or buildings
* Developing the budget that takes account of all of the above

***I***

***mplementing the Operational Plan***

The Operational Plan is a basic tool that directs the day-to-day activities of organisational staff. However staff must be aware of the existence of the operational plan, what its purpose is and why it is important to them. The Operational Plan is only as good as the diligence of staff in putting it into action.

To ensure that there is sufficient understanding of the operational plan, the highest echelons of management within the organisation must thoroughly communicate the operational plan to staff.

Communication strategies can include:

* A series of staff / team meetings in which senior management are engaged in explaining key aspects of the operational plan and dealing with questions that staff raise about the plan.
* A breakdown of the overall operational plan into subsets and communication of each subset to the work team or section that takes responsibility. This enables the work team to more clearly understand, and be focused on, their part in implementing the whole plan.
* The development of systems that enable progress of strategies / tasks to be measured and reported within a work team, and to management.
* The provision of training so that staff may better understand their tasks and responsibilities, and especially how they can contribute to the overall achievement of the operational plan.
* Aspects of the Operational Plan can be described in position descriptions of employees
* The implementation of the Operational Plan requires management to regularly monitor achievement and exert control to reduce any variance from the plan.

This control by managers will involve:

* Investigating on a regular basis of what has been achieved, and what has not
* Implementing corrective action where tasks are not achieved, or achieve on time
* Checking that resources will be available when needed
* Supervising, supporting and motivating the people of the organisation to ensure tasks are undertaken
* Adjusting the operational plan if there is a need
* Reporting problems to superiors e.g. directors, committee personnel, the Board Members of the organisation

***I***

***ssues to address in preparing the operational plan***

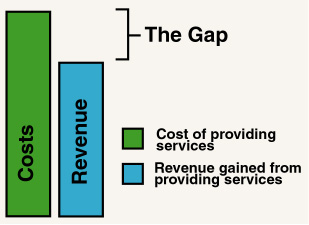
Presented on the following pages are some of issues that should be addressed when preparing operational plans. It would be fair to say that many a good strategic plan failed to be implemented successfully due to the lack of resources - typically a lack of money, people or both.

In operational planning it is therefore very important to be realistic and to understand that resources are limited. Managers need to carefully plan the use of funds, the acquisition of facilities and equipment and the development of people within the organisation to achieve goals.

Factors to be considered include:

* Funding
* Organisation structure
* Physical resources
* Planning important dates

***Funding***

The core business of recreation organisations is the organisation of events, programs and activities for the enjoyment of its members or customers. In profit oriented organisations such events, programs and activities are generally fully funded by the participant.

The total fees paid by participants covers all the delivery costs of the event i.e. administration, promotion, materials, instructors, building maintenance and even taxation. If the fees set by the recreation organisation do not cover all costs, the business will make a loss.

It is common to find, however, that non-profit organisations experience a shortfall between the total costs of providing activities and services and the total fees raised by participants as shown by the figure on the right.

This funding gap arises due to the very nature of the non-profit organisation, which exists to provide quality experiences for persons with an ordinary or average capacity to pay.

For example, families may have very limited capacity to pay for children selected into teams to travel interstate for tournaments, representative matches or to take part in special coaching clinics. In order to assist parents, the non-profit organisation tend to fill the funding gap by seeking government funding, commercial sponsorship and/or other fundraising such as raffles.

Therefore in formulating the operational plan, it is important to consider how each strategy will be funded. It may be possible to fully fund some strategies by participants fees but other strategies require funding to be pursued from variety of sources. Generally, most strategies have some self-funding capacity, that is some revenues can be derived directly as a result of the strategy. The table below explains this concept more clearly.

|  |  |
| --- | --- |
| **The self-funding potential of strategies** | |
| **Strategy** | **How some proportion of self-funding may be achieved** |
| Employ P-T Development Officer (20 hrs p.w.) and conduct visits to schools | The Development Officer can use his/her employment time to raise sponsorship or government funding to support his/her employment costs |
| Advertise major events through print and broadcast media | Adverts may be part or fully sponsored (i.e. by the event sponsor) |
| Initiate masters competition program | Participants in the program pay fees to participate |
| Participants in the program pay fees to participate | Veterans can run a fund-raising program such as a raffle |
| Develop monthly fixtures for non-elite / recreation participation | Fixtures may be funded by participant fees, spectator fees and/or sponsorship |
| Effect regular communication with members aged 18-25 through newsletter on quarterly basis | A newsletter may attract a sponsor or space in the newsletter may be sold for advertising by commercial organisations |
| Conduct social events appealing to the members aged 18-25 | Events may be funded by participant fees and/or special on-the-night fundraising schemes |

If a strategy has no self-funding capacity it may be prudent to question whether that strategy is feasible. However a special point to note is that there is often a time lag between the incurring of costs and the gaining of revenues, and this time-lag may be funded by a loan. An example of this is the construction and/or improvement of facilities. The up-front building costs are recouped over many years through charges levied on users.

A limiting factor to what sporting organisations can achieve is linked to their ability to attract sponsorship and media profile. Moreover these two factors are closely related. For most sports organisations, achieving any significant level of sponsorship is an almost impossible task. Potential sponsors are mostly interested in television exposure of their company name. Unless a sports organisation has high profile athletes they are unlikely to achieve such television exposure.

Sponsorship therefore is a source of funding that, except for a few R100's, is immensely difficult to achieve. Organisers of sport would do better to concentrate their efforts on other sources of merchandising.

***O***

***rganisation structure***

An organisation's structure has a significant effect on its ability to accomplish the mission and the strategic plan. Structure in the context of organisational theory comprises:

* Jobs (Positions, salaried and voluntary, within the organisation)
* The grouping of jobs in departments or sections on the basis of function
* The number of levels of authority in the organisation
* The amount of authority that is delegated
* Mechanisms for co-ordination - rules, policies, procedures, job descriptions, objectives

The organisational chart below depicts a common situation for a non-profit organisation. There are three major components of this structure:

* A management committee, that is the ultimate authority
* Salaried positions - executive director, development officer and coaching director
* The recruitment of volunteers into sections according to essential functions that must be carried out for the organisation to pursue its mission and to follow the strategic plan

Sample organisation chart for a non-profit sport organisation

Different organisation structures suit different types of organisations. The organisation structure of a non-profit organisation can be very different from a recreation enterprise that is profit-oriented.

This structure depicted in the figure above has five levels of authority and in order they are:

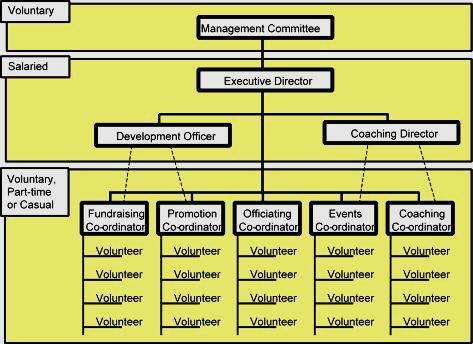
1. Management Committee

2. The Executive Director

3. Salaried officers under the authority of the Executive Director

4. Section co-ordinators who in this particular structure are voluntary workers

5. Members of sub-committees



***P***

***hysical Resources***

In some cases the implementation of strategies is dependent on the availability of physical resources. If not owned, they can however be hired or borrowed. Determining physical resources necessary to implement strategies is an aspect of operation planning. Planners must determine the amount funding required purchasing, hiring or maintaining physical resources.

Physical resources fall into two five broad categories:

* Equipment that is used directly to provide sport and recreation services to customers e.g. bats, balls, nets
* Animals that are used to provide sport and recreation services to customers e.g. horses for riding
* Buildings and open spaces in which sport and recreation services are delivered
* Equipment required for administrative purposes e.g. computers
* Buildings required for administrative purposes

Furthermore the acquisition of a particular physical resource may become a strategy in itself.

***The Planning of Important Dates***

The Operational Plan is about co-ordinating resources (people, money and physical resources). Time is also a resource that is not unlimited. For example, events must happen on a certain day, programs have a defined period, and services may be available only at specific times. The co-ordination of people to be in the right place at the right time is clearly a major aspect of Operational Planning.

It is no easy task however. Complications arise due to factors such as:

* A need to schedule the organisation's own events in a specific order i.e. semi-finals before finals
* A need to avoid clashing with other major sporting or cultural events i.e. football grand-final, major festivals, the arrival of the Pope
* A need to consider the probable effect of organising events during holidays/vacation periods i.e. school holidays
* The dates of the organisation's own events are dependent on the dates of other allied organisations i.e. the date of the state championship is dependent on the date of the national championship.

The process of formulating "The Calendar of Events" is an essential part of the Operational Planning process and it is one that requires a clear head, plenty of information and a band of dedicated workers with several hours to spare.

***A***

n Operational Plan does not normally exist as one single standalone plan; rather the key components are integrated with the other parts of the overall Strategic Plan. The key components of a complete Operational Plan include analyses or discussions of:

• **Human and Other Capacity Requirements**

The human capacity and skills required to implement your project, and your current and potential sources of these resources. Also, other capacity needs required to implement your project (such as internal systems, management structures, engaged partners and Network NOs and POs, and a supportive legal framework).

• **Financial Requirements**

The funding required to implement your project, your current and potential sources of these funds, and your most critical resource and funding gaps.

• **Risk Assessment and Mitigation Strategy**

What risks exist and how they can be addressed.

• **Estimate of Project Lifespan, Sustainability, and Exit Strategy**

How long your project will last, when and how you will exit your project (if feasible to do so), and how you will ensure sustainability of your project’s achievements.

Your Strategic Plan may only be considered complete when these components have been defined, at least in broad terms. As the project moves into Implementation, several of these components are then defined in more detail and tested in reality. Thus the Operational Plan provides a critical bridge between the Action and Monitoring Plans (Step 2) and Implementation (Step 3) of those plans.

The level of detail and formality of your Operational Plan will vary depending on the size and complexity of your project or programme. Small projects may only briefly touch on each of these topics before moving on to implementation. Large, complex programmes should be able to provide evidence that they have addressed each of the components of an Operational Plan. The larger the programme, the more extensive and formal the treatment of each component should be.

***W***

**hy Is an Operational Plan Important?**

An Operational Plan ensures you can successfully implement your Action and Monitoring plans by getting your team to:

* Prepare your project to raise funds, being clear about how you will get the resources (see Step 3.2) and arming you with a convincing plan to review with existing and potential donors.
* Use resources efficiently, to help allocate scarce resources to the most critical gaps and needs.
* Clearly define your capacity gaps and most critical resource requirements.
* Reduce risks where possible, and prepare contingency plans where necessary.
* Think about the long term future of the project, including how you will ensure sustainability of your project’s targets and impacts.

**When to Design Your Operational Plan**

Designing your Operational Plan formally takes place once you have defined your Action Plan and Monitoring Plan. In practice, however, it is important to consider implementation and operational issues as you go through all the earlier steps in the planning process.

Every project has a delicate balance between what is desired (in your vision, strategies and intended results) and what you can realistically do with the resources you have. It is important that you do not limit your vision or planning based on perceived limits to resources, but on the other hand it is equally important you do not plan for something that is completely impossible to implement.

For example, as you define your project team, you are beginning to consider your project’s capacity requirements, including human, financial and other resources. As you develop your strategies and activities and monitoring plans, your team should be actively considering what technical skills and other capacities you need to implement these activities and tasks.

Here are two approaches that may help you get this balance right:

* Develop a rough first version of your Strategic Plan early in the project. Use this to gain feedback on whether your project appears to be both ambitious and achievable, and to get buy-in from senior management and potential donors.
* Involve one or more staff or partners who are experienced in operations and implementation. Ask them to help ensure the project maintains a sense of realism as the design develops.

***H***

**ow to Design Your Operational Plan**

The following sections describe how to develop the different components of a complete Operational Plan. It is worth noting that there are strong links between the four components described here, and even some overlaps.

You may find it easier to address them in a different order than is presented here. You may also wish to address multiple steps at the same time, or at the time you are working on other steps of the Standards.

An Operational Plan should be developed with the involvement of appropriate staff and partners. Although your core project team members will take the lead in many areas, they will require strong support, often involving staff from different parts of the organization.

For example:

* A Project Administrator or Finance (F&A) Officer should be involved in defining financial requirements
* Human Resource and/or F&A staff should be involved in assessing HR and capacity needs
* HR, IT or Operations staff should be engaged in discussions of processes, procedures and systems (e.g. accounting software, technology infrastructure) capacity needs

Efficient operational planning and implementation requires continuous and open collaboration between the core project team and these other staff.

**1. Human and Other Capacity Requirements**

The first step of an Operational Plan is to conduct a broad analysis of the human and other capacities required to implement your project – and current and potential sources of resources and partners to help fill capacity needs. This analysis should build on the earlier work that you did in setting up your project team

You also need to make sure you account for any other resources and enabling conditions required to implement your project (such as community support, leadership, and a supportive legal framework).

Some of these needs will probably be raised in your analyses of Risk and Sustainability (see below). For smaller projects, you can use the following list of questions to evaluate capacity needs, although this is not intended as an exhaustive list:

**Project Team Skills**

* Do you have enough people with the science, policy, technical, process, fund raising or communications skills required to implement the activities in your strategic plan? If not, how will you get them?
* To recruit any new staff or consultants required, how long will it take, how much will it cost and who needs to be involved?
* Will the implementing staff require enhanced or new skills? How will these skills be built, over what time frame and at what cost?

**Partners and Wider Institutions**

* How much extra work will be required of partner organisations? Do they have enough people with the required skills, knowledge and time? Do they have adequate resources to engage on this project, and have they planned and budgeted accordingly?
* Do you have the necessary wider institutional engagement and infrastructure for longer-term sustainability, or can this be built?
* Does your core team have the ability to monitor partners’ activities and impacts? (For more specific details on managing multiple partners, see the guidance for Step 3.4).

**Project/Programme Team Management and Governance**

* Do you need to make any adjustments to the procedures that you worked out in Step 1.1? In particular, have you worked out reporting lines, how and when you meet/communicate, how you share information, how you make decisions, and levels of authority for spending money?

**Office Systems and Support Functions**

* How much extra work will be required of the following areas of operation, or will there be needs for recruitment, training or additional funding for any of these?
  + Finance and Administration, and Operations
  + Fundraising and Communications
  + IT
  + Human Resources
  + Science, Policy and Technical Support
  + Project or Programme Management Support

***2. Financial Requirements***

At this stage of your project or programme, your team should carry out a general assessment of the financial requirements of implementing your plan over the expected lifetime of the project. This can be a fairly simple estimate for smaller, shorter term projects. For longer term, complex programmes, a more comprehensive financial estimate is recommended. Both are described in this section.

In general, this estimate should be a high level (not too detailed) evaluation of your current and potential sources of income, the estimated costs of your action and monitoring activities, and any projected financial resource gaps.

You should also consider long term expenditure and funding needs, particularly for larger projects and programmes where the scope of your strategies may be far beyond your current capacity, and you envision the need to scale up, raise more funds, and engage more partners in order to carry out the work.

When estimating expenditure, you should include both direct project expenditures such as staff, research, monitoring and other resources required, and indirect project expenditures such as office management and administration.

Once you begin actual implementation of your project your team will use this general financial estimate to help prepare detailed shorter-term (1-5 year) work plans and budgets for implementing your project.

***3. Risk Assessment and Mitigation Strategy***

As you develop your Operational Plan you should assess the risks to your project and what you can do to mitigate them. Risks are conditions under which the project/programme is expected to function, but which can cause problems. Projects often have no direct control over these conditions. High risks are those that, when not overcome, are likely to stop the project from achieving its goals and objectives.

A comprehensive risk assessment identifies and ranks project risks. A risk assessment process takes about 2-3 hours to carry out, and will help your team identify and understand risks, agree on the seriousness of those risks, rank them, and decide what (if anything) to do to address them.

A risk mitigation strategy is a plan to address risks that your team has identified. Your team should develop mitigation strategies for any high risk. Timely risk mitigation allows your team to anticipate risks in advance and hence avoid a major impact on your project.

The steps in the risk assessment and mitigation process include:

1. **Identify Risks** – Your project team should go through a formal exercise to identify specific risks related to your project. It is important to define each risk using concise and unambiguous language. You should look at a range of risk categories: Political, Economic, Social, Technical, Capacity, Financial**,** Infrastructure, Partner, Leadership, and Management. Your team does not need to evaluate all of these. It should evaluate just those that you deem relevant and potentially harmful. You should add additional risk categories and questions to the template as needed.
2. **Rank Risks** – The next step is to individually rank each risk according to its likelihood, and the severity of its potential effect on the project.
   1. Likelihood of Risk Occurring
      1. 4 = Very Likely – Almost certain to occur over the life of the project (or a 10 year period, whichever is shorter)
      2. 3 = Likely – Probably will occur during a 10-year period
      3. 2 = Unlikely – Probably will NOT occur during a 10-year period
      4. 1 = Very Unlikely – Almost certain NOT to occur during a 10-year period
   2. Severity of Risk
      1. 4 = Very High – Would prevent goals and objectives from being achieved
      2. 3 = High – Would cause significant problems or delays in objectives being achieved
      3. 2 = Medium – Would cause relatively minor problems or delays in objectives being achieved
      4. 1 = Low – Would probably not affect project implementation
3. Determine Final Raking of Risks, and Develop Risk Mitigation Strategies – Add the ratings for steps 1 and 2 for each individual risk and then determine whether each individual risk is high, medium, or low using these thresholds, and then respond as follows:
   1. 6-8 = High Risk – You should have a detailed mitigation strategy, and perhaps consider modifying your goals and objectives
   2. 4-5 = Medium Risk – You should have a clearly defined mitigation strategy
   3. 2-3 = Low Risk – No mitigation strategy required (or a very basic strategy at most)

For risks that are essentially internal (e.g. capacity, leadership, partners) you should focus on taking action to reduce the risk. For risks that are external to the project (e.g. political, economic) your response will more likely be to develop contingency plans and monitor the risks. You should then assign responsibilities among your staff and/or partners for carrying out each mitigation strategy and for monitoring each risk as necessary. Mitigation actions for high risks may be large enough to be included in the budget.

***4. Estimate of Project Lifespan, Sustainability, and Exit Strategy***

Finally, one of the most important (yet sometimes most forgotten) tasks of the design step is to think about the long term future of the project in terms of:

**Sustainability of the project**

A project can be said to be sustainable when it continues to deliver conservation results indefinitely after most or all external support has been removed.



**Estimated Project Lifespan**

The period of time over which your team expects to carry out all activities under the Action Plan and achieve the project’s intended results. Your initial action plan may represent a first phase of your project. You should be clear about whether you expect further phases and what the timing of those phases will be.

**Exit Strategy**

The process by which partners can systematically and responsibly pull out of supporting and/or managing a project, either concluding the work successfully or handing management or funding over to another organization.

In looking at the long-term plans for your project, it is particularly important to clarify expectations with partners, stakeholders, and your own staff. Getting projects up and running successfully is quite a challenge, but exiting from a project or parts of it can be even harder! Few projects seem to have implemented exit strategies and reliable experience is scarce. The basic steps required to develop an exit strategy are described here.

***T***

his section is about you as a manager and leader demonstrating that you can both plan and meet the objectives of those plans for the area of your organisation you have responsibility for. This could be a branch, or a department or a functional area. That is to say, it could be a part of any operating site within your organisation. For this Unit the concerns will be related to short- and medium-term planning.

This is because this section is about operational plans. These relate to the everyday operations of a firm and are the things with which most managers are concerned. Organisations may also have to decide how they will cope with longer-term changes. This is strategy and involves strategic plans which may apply over a longer time period.

***Definition of planning***

Business dictionaries define business planning as being ‘the establishment of goals, policies and procedures for a business or economic unit’. Planning therefore involves deciding what managers wish to achieve (goals) and making arrangements to ensure that these goals are met (policies and procedures).

Henri Fayol (1949), often titled the Father of the Classical Management School, regarded ‘planning’ as the very first of his five elements of management and suggested that without it ‘the rest cannot take place’. Later writers such as Brech (1965) have expanded on Fayol’s definition and have broken it down into short-term, medium-term and long-term planning. As indicated earlier we will concentrate on the first two.

***Time-scales***

The difference between these types of planning depends on the timescale involved. You may find variations and overlaps in different texts but the following broad pattern will suffice for our purposes. In addition, what is short-term or medium-term can depend on industry circumstances. In fast-moving industries where things change rapidly, time-scales and therefore plans often cover a very short period.

***Short-term planning***

Obviously this means plans which apply for a short period. Usually this means for the next six months but it can apply to a full year. In many cases time-scales are fixed to tie in with organisational accounting periods. Many organisations also break down short-term plans into weekly, monthly or even daily schedules. These schedules become targets for managers who have to make their own plans to fit in with these organisational schedules.

***Medium-term planning***

This means plans which apply to a longer period than short-term plans. There is likely to be an overlap with short-term planning in that this period can run from six months up to two years and sometimes up to three years. Ideally medium-term plans and short-term plans should be consistent with each other. The schedules developed from short-term plans, for example, should fit in with the objectives set for medium-term plans.

Managers will, of course, be only too aware that circumstances can change very quickly and in very fundamental ways. A key requirement of planning therefore is flexibility so that if forecasts on which plans are based change in a fairly dramatic fashion the repercussions are not totally debilitating for existing programmes of work.

This will of course depend upon the quality of the long-term forecasting and planning, indicating the importance attached to the overall planning process. It is extremely difficult, if not impossible, to forecast accurately what will happen in the future. Any plans, but particularly long-term ones, need to be reviewed and modified regularly to adjust to changing circumstances.

One current issue, for example, is global warming. It is now almost certain that governments are going to react to this in a number of ways including increased taxes on fuel and attempts to control emissions. The repercussions for the travel and motor vehicle manufacturing industry could be enormous and could also be widespread as these are large industries which have many thousands of suppliers and who themselves employ many people.

The exact effects of global warming are unknown so plans can only be made with the best information available at the time. Already, however, there is evidence that both industries are planning changes. Bombardier, a Canadian firm, has already announced cutbacks in its production of small jet aircraft.

Other manufacturers are following suit. Larger aircraft, carrying more people and with technologically advanced engines, are on the drawing board or being produced. However, these plans will also have to be flexible in case things work out differently from what was expected at the time the plan was developed.

Changes like those above are usually reflected first of all in longer-term strategic plans and feed their way down to short- and medium-term operational plans. It may be that in your area of work the effects of change are forcing you to re-plan the activities you have responsibility for. Here therefore is your first activity.

***A***

***ctivity – In your groups***

Brainstorm and then answer the following questions

Give examples of changes to plans you have made because

a) They were forced upon you or

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b) You foresaw the need for the changes. If you can provide both, then so much the better!

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How flexible are your plans?

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What problems could arise if plans were not flexible?

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**S**

**ection 1: Principles and methods of short- to medium-term planning**

**The principles of planning**

Mullins (2004) and others who write management texts suggest that initially planning of any kind is a fairly simple process. It is effectively ‘We are here at point A. We need to get to point B. How do we do that?’ Planning, therefore, is a fundamental part of each manager’s job.

Think, for example, about the work you do as a manager. Almost certainly it will be about moving from where you are now to somewhere you would like to be. Planning, therefore, involves doing two things:

1. Setting objectives for the point where you wish to be (ie B)

2. Making arrangements to achieve these objectives (ie moving from A to B).

For managers working in the short- and medium-term there are a number of criteria which will apply to these two things. Managers, for example, will be required to meet the needs of customers. Such customers may be internal or external. The needs of these customers will be determined in terms of both quantity and quality. All these will influence the objectives which managers set. Conversely, managers will have resources available to them which will also be defined in terms of quality and quantity.

They will not have unlimited resources available to them and will therefore have to use these resources in the most effective and economic way. Available resources will affect the arrangements managers make to achieve the objectives they have set.

**Methods of short- to medium-term planning**

In essence all the methods of planning are designed to do two things; to provide a customer with a good or service which meets quality requirements at a cost which the customer is prepared to pay. To do so a manager must use the resources available to establish procedures and processes which ensure that this can happen. To make sure that things go according to plan, managers must constantly monitor the quality of the output of the procedures and processes and see that all costs are kept within the limits previously determined by the objectives or targets of the plan.

To be able to plan, managers must know what they have to achieve, what resources are available to them and when they have to achieve the task by.There are several techniques which will help managers to accomplish this including:

* Task breakdown — this breaks down the plan into its component parts, ie the tasks that have to be accomplished if the objectives are to be achieved.
* Gantt chart — this is a grid with the tasks shown down the left-hand side and the time-scale shown across the top. A bar can be shown for each task to indicate when it starts and when it should finish. For this reason, this is also referred to as a bar chart.
* Flow charts — these show a flow of the activities required to achieve the objectives, usually against a time-scale. Techniques like network analysis can be used to develop flow charts.



It is possible that in your organisation making operational plans means following company policies and procedures. If this is the case, there may be no need for you to decide which methods of planning to adopt. Operational planning in cases like this may consist of following the methods set out by your organisation.

Whatever planning methods are used, it is a key managerial task to check that any plan is being met. This is referred to as ‘monitoring and controlling’ the plan. Monitoring usually refers to carrying out checks to ensure that the objectives set by the plan are being met. It is possible that variations can be detected between the intended objectives and what is actually being achieved. Controlling refers to taking action to bring things back on track if the objectives for the plan are not being met.

Sometimes the phrase ‘monitoring and controlling’ is used to cover the whole process of checking that things are going according to plan and taking any corrective action that may be needed. Deciding on the arrangements for monitoring and controlling is an important aspect of developing operational plans. The following diagram shows how they fit into the overall planning process. It is sometimes called a feedback loop or a control loop.

We will return to this diagram in Section 9. At this stage it is sufficient to recognise that the principles of planning include making arrangements for monitoring and control as an integral part of the plan itself. One of the benefits of using techniques like the ones listed earlier in this section is that they help managers to do this. A Gantt chart, for example, shows the time-scales associated with each part of a plan.

This enables the manager to build in arrangements at the planning stage to check that each time-scale has been met. It may be possible, for example, to set up a team meeting for a date which coincides with a critical date on the operational plan. Alternatively, managers may be able to use the dates in the plan to set time aside in advance when they can review the extent to which progress has been made.

**S**

**ection 2: The importance of creativity and innovation in operational planning**

Goodman (1995) defines creativity as ‘the application of imaginative thought which results in innovative solutions to many problems’. At first sight, there does not seem to be much scope for creative thinking in operational planning.

After all, it is mostly about ensuring that things get done and that targets are met. Many managers with responsibility for operational planning would no doubt find themselves bogged down if they were asked to incorporate creativity in their operational planning.

Yet evidence suggests that creative thinking and innovation can have a part to play in operational planning. This is particularly so when meeting the specified objectives is proving troublesome or when some form of corrective action is required if targets are not being met.

The need for creativity also arises when there has been a change which has an impact on operational planning. Here is a very simple example. A business had expanded and the general manager had to plan how to fit lots of new equipment. One major problem was a large fuel tank which now needed to be almost fully enclosed for safety reasons.

This tank was filled from the top and this would still be possible. It had also been dipped from the top to check levels so that fuel could be ordered in good time. This method was no longer possible. The manager and two supervisors were discussing this at the tank one day when one of the operatives passed and commented ‘Just fit a sight level pipe!’ What had not been obvious now was.

Most managers who know their staff are aware of who can come up with creative and innovative solutions. Nor is a solution always a blinding piece of inspiration, or what Kolb (1974) terms ‘insightful learning’ when suddenly someone has an inspired spell of thinking.

Often it is merely a person who has seen something in a past experience recalling it and then modifying it to fit the new situation. West (1997) suggests that managers must encourage debate, argument, innovation and a real sense of involvement from all employees.

Boden (1992) agrees with West, arguing that creativity draws on our ordinary abilities such as noticing, remembering, seeing, speaking, hearing, etc.

In operational planning managers are attempting to chart a path from where they currently are to where they need to be in a given period of time. They will likely know the resources they have available. They will have asked themselves the ‘what if’ or ‘contingency’ questions.

If they are wise they will have sought advice from those who will be involved and will have created a set of alternative plans so that unforeseen departures from plans can be coped with. Indeed creative and innovative solutions may allow goals and objectives to be achieved earlier than planned, or to be achieved in a more effective way and free up scarce creativity and innovation for operational planning is to:

1. Keep the planning on track
2. Keep the planning on track but use resources more effectively
3. Solve problems as they arise
4. Find better ways of doing things to save time
5. Develop skills such as communication and techniques while reducing emotional aspects such as fear
6. Build in an appropriate culture which encourages team members and others to consider new and more effective and efficient ways of doing things. In part this means building a learning process so that the ability to be creative and innovative becomes widespread among employees. Simple solutions are often best as the above example shows. It also shows that team members are often aware of creative approaches to operational planning. Managers who encourage team members to put forward suggestions and who acknowledge the contribution of team members can benefit from the consequences of these suggestions. This is because managers can meet their objectives more easily or achieve more challenging targets. In this way managers can share the credit for creative new approaches to operational planning.

***A***

***ctivity – On your own***

Answer the following questions:

Provide examples of how you and those you have responsibility for have either provided or suggested creative or innovative solutions to operational plans.

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How could you encourage creativity among members of your team?

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**ection 3: Developing and assigning SMART objectives**

Armstrong (2003) defines objectives as:

* Targets — quantifiable results to be attained, measured in terms of output, sales, levels of service, cost reduction, reduced defect rates
* Tasks/projects — to be completed to specified results by agreed dates. Objectives should be SMART. This applies to all objectives including those set for operational plans.

Armstrong suggests that SMART means:

* S = Specific — clear, unambiguous, straightforward, understandable and challenging (the S can also be used to denote objectives which are Stretching)
* M = Measurable — in terms of quantity, quality time, money
* A = Achievable — challenging yes, but within reach of the individual concerned
* R = Relevant — to the organisational objectives and to the individual’s objectives, so they can be aligned (sometimes Realistic is used instead of Relevant; it means the same thing — objectives must be appropriate to the situation or individual to whom they apply)
* T = Time-bound — they need to be achieved within an appropriate agreed time-scale.

Armstrong, along with many other writers, suggests that setting objectives for operational planning (and indeed other situations also) can be achieved by asking them three questions. These are:

* What are the important things that you as a manager have to do in your operational plans?
* What are you expected to achieve in each of the areas of your operational plan?
* How will you — or anyone else — know whether or not you have achieved the objectives of your operational plan?

The overall objectives for an operational plan are likely to be assigned to you as the manager because you are the person responsible for ensuring that they are met. In assigning objectives to others, most writers, eg Mullins (2004) and Handy (1981), suggest a combination of the following are necessary:

* Measures should relate to results not effort.
* Results must be within the manager’s control.
* Measures used should be objective and observable.
* Data needs to be available to allow measurement.
* Existing measures should be used or adapted.

They also suggest that measures need to be based and classified on the following factors:

* Finance
* Output
* Impact — attaining the requisite standard
* Reaction — the response of others
* Time — speed of response, or delivery time or time to market

***A***

***ctivity – On your own***

Answer the following questions:

To what extent do the objectives that you have for your operational plans meet the SMART criteria?

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If they do not, how would using the SMART criteria help you as a manager?

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What evidence exists to show that you and those you have responsibility for consistently meet the objectives which you have agreed to?

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**ection 4: How to analyse and manage risk**

Risk refers to the chance, large or small, that something adverse will happen. In terms of operational planning it means identifying where risks might occur, analysing the risk to see how significant it might be and then taking steps to manage the risk.

This can be illustrated by looking at the two different forms of risk that managers are likely to encounter in operational planning. The one which most managers will immediately identify with is that all activities for which the manager has responsibility will require to have a ‘risk assessment’ carried out.

This is to ensure that any potential hazard has been identified and a procedure created to ensure that safe practices are a routine part of all actions. A typical example might be that before carrying out specific actions employees or contractors would require a ‘work permit’.

This permit would stipulate both the skills and experience needed to carry out the action as well as the procedures which must be followed. Failure to do so could result in penalties or sanctions. Good examples of where these risk assessments are vital might be chemical hazards or high voltage electrical systems. Fire is another fairly constant hazard.

Where risk assessment does take place, managers will be given expert advice on what action to take. This advice will be based on the chance that the risk will occur. Risk is usually assessed by combining the severity of an incident with the probability that it will take place.

Severity refers to the extent of the damage which might arise if a risk materialised, while probability is the likelihood of the incident arising. Managing risks is more important when they may result in significant damage and the chances that they will occur are high.

It is important that managers take into account risk assessments when developing operational plans. As the above example suggests many of the most important risks in operational planning are related to the health and safety of individuals involved in operational activities.

However, there are other risks which could be part of a risk assessment. There may, for example, be a known risk that output may not come up to quality standards. This may be particularly important in industries where food is involved. If this happens and an important customer suffers, the customer may seek another supplier which may, in turn, impact adversely on profits.

The second form of risk is perhaps less obvious but is in fact all pervasive in organisations. The very act of setting up, organising and controlling activities is in itself a risk. Each and every time a manager makes a decision, he or she is taking a risk. Managers choose between a range of options and there is always the risk that they will get it wrong.

Later we will look at delegation and find out that managers who delegate, as they should, are taking risks. Every aspect of a manager’s task when planning operationally is fraught with risk. How then can managers deal with this so as to minimise risk?

The key is to use every avenue which provides a manager with quality information which is up-to-date, and use that to make plans which have contingency fall-back situations built in. Managers must know what their objectives are, the time-scales they must achieve these within, and what resources they will have available.

The first form of risk identified, i.e. assessment of activities, may in one sense be easier to deal with in that, in many cases, organisations have a legal requirement to do this. There are also proprietorial systems which can be used to make the assessment and to record that the risk assessment has been carried out.

An example of this in action might be when an external contractor is coming to work on site and managers will issue work permits which allow the contractors to work in specified areas only.

The second area is dealt with generally by in-house procedures. Having received objectives, time-scales and knowing resource availability, managers need to plan formally and submit these plans plus contingency plans to deal with situations as they arise.

A good example of how these situations could arise might be the recent terrorist threat to transatlantic air traffic and the planning which had to be put in place to deal with it. Some aspects did not work but the managers involved had to think on their feet.

Managers may find risk a daily occurrence. Equipment may break down, there may be a bout of staff illness, other resources may not arrive when they should, and projects may suddenly be cancelled.

What will determine how well these issues are dealt with will be the quality of the planning managers have undertaken and how well they have analysed, assessed and managed risk potential.

***A***

***ctivity – On your own***

Answer the following questions:

What risks do you face in your role as a manager?

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Which ones are the subjects of a risk assessment?

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How can you apply the ideas of severity and probability to assess other risks that you face?

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Give some examples of how you have dealt with risk in your job. With hindsight and after reading the above could you have managed the risk more effectively?

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**ection 5: How to develop and plan for contingencies**

This section really follows on from what has gone before in this Unit and if we look at specific examples then perhaps we will be able to see the need for contingency planning. Recently a small distillery found that its usual barley supplier could not provide the agreed amount of the grain.

Obviously this could disrupt operational plans. As the Managing Director of the distillery commented ‘Fortunately we always anticipate such contingencies and have alternative sources if necessary’. Many managers face what may seem as more mundane problems, for example arriving at work and then finding that a key member of staff is ill and will not be at work.

These examples illustrate the two main aspects of contingency planning:

1. Identifying contingencies — in other words working out the situations which could prevent operational plans being realised.

2. Having arrangements (or plans) in place beforehand to deal with these contingencies if they do arise.

As you will have probably realised, there is a close connection between contingency planning and risk. The greater the risk of a particular contingency, the more important it is for a manager to have a contingency plan to deal with what has happened. This means that as a manager you need to carry out a risk assessment on each contingency that you identify in your operational plans.

Contingency plans may be quite straightforward. It is possible too that contingency plans could consist of several options and that resolving the contingency may amount to choosing one of the options. In the example above of the absence of a key member of staff, there may be a number of possible solutions for the manager in this situation.

1. Is there someone in the team who can do this person’s work?
2. Is there someone elsewhere in the organisation who can do this person’s work?
3. Is this person available or will it disrupt other work and is that acceptable?
4. Does that person’s work actually have to be done immediately or can it perhaps be left in abeyance for just now or re-arranged for a later date?
5. Can a number of people cope with this by each taking a small part of that person’s work?

The actual option chosen may depend on the particular circumstances. If, for example, the absence is likely to be short and there are no critical deadlines, option 4 may be appropriate.

The important thing, however, is that the manager should have anticipated the contingency and be ready to implement the best option. The manager may, for example, have decided previously which team member could do the absent person’s work. It may have been necessary, for example, to make sure that the substitute is adequately trained.

***A***

***ctivity – On your own***

Answer the following questions:

What contingencies could arise in the operational plans that you make?

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Give some examples of the plans you have made to deal with contingencies which might arise in your workplace.

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If you have had to put any of them into operation explain what happened.

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**ection 6: Principles and methods of delegation**

The basic principle of delegation is that of **accountability**. In more colloquial language it means ‘the buck stops here’. If you are accountable for something as a manager it is up to you to make sure that it is done and to bear the consequences if it is not done.

Mullins (2004) defines delegation as ‘the conferring of a specified authority by a higher authority’. Most management writers say the same thing but perhaps use different wording. In effect they all agree that to delegate means that a manager gives responsibility to a subordinate with authority to carry out a task.

But they insist the manager still retains overall accountability for seeing that the task is performed satisfactorily. This means that if you delegate something to a member of your team and it is not done properly you have to accept the consequences.

It is important to distinguish between delegation and allocation. As a manager part of your role will be to allocate work to members of your team. This is work that they are expected to do. One of your tasks as a manager is to make sure that team members are given the work that they are employed to do.

Delegation, however, occurs when you give some of the work that you are expected to do to someone else such as a team member. You may, for example, ask someone in your team to attend a meeting on your behalf.

This is why you retain accountability because delegation involves giving some of your work to someone else. This also explains why the person to whom you delegate work must have authority and responsibility. If this did not happen, then they would not be able to carry out the work they have been delegated.

Handy (1981) suggests that there are a number of other principles which need to be adopted if delegation is to be effective.

1. There must be two-way trust.
2. The objectives set for the subordinate should be as high level as possible, but seen as attainable.
3. The subordinate should be involved in setting the objectives.
4. Managers should not interfere with how the subordinate carries out the task, unless asked or unless it is obviously going wrong.
5. The subordinate must get feedback from the manager.

Mullins (2004) suggests that the following are some of the benefits which accrue from effective delegation:

* Better use of time — as a manager you may be able to free up time to do other tasks
* A means of training and development — delegating parts of your work to team members can help team members develop new skills.
* Delegation is a common, and successful, method of providing development opportunities for people who have management potential.
* Build-up of specialist knowledge and skills — this is closely related to training and development but takes place over a longer period of time. Delegation may enable a team member to build up specialist expertise which is of value to you as a manager and to the team as a whole. There may be good reasons such as other commitments which prevent you as the manager developing this expertise yourself.
* Increased motivation of staff — delegation can help staff to feel valued as well as helping them to increase the contribution that they make to the team.

**Why are managers afraid of delegation?**

Earlier in the Unit we looked at risk and said it was part of delegation. Every time managers delegate they risk their reputation in that if they are wrong they are accountable. Therefore the first reason for lack of effective delegation is usually that managers are risk-averse.

The second reason which is usually advanced is that managers are not convinced that their subordinates are good enough. The end result of this scenario is that subordinates do not take responsibility and managers find themselves unable to cope with the bigger issues because they are submerged in the smaller issues.

This is usually construed as lack of confidence in subordinates.

The third reason usually given is that managers fear subordinates will do too good a job and threaten their position. This is seen as **irrational** because if subordinates do well this should reflect favourably on the manager.

To overcome these barriers and to gain the benefits of delegation, managers need to think carefully about who they delegate work to and how they do this. The former will depend on the manager’s judgement in each case but there are several recognised methods for effective delegation.

It will be based on all or some of the following.

* Clarification between the manager and delegate of objectives to be achieved.
* Agreement on terms of reference and authority and responsibility — it is particularly important to be clear on what authority and responsibility the delegate has. If someone has been delegated the task of setting up a project team to investigate new working methods, for example, it should be clear that the person has the authority to request that others attend meetings of the project team.
* Guidance, support, training, patterns of communication — these will depend on the particular situation. They do illustrate, however, that delegation may be a process which takes some time. For example, it may be necessary to give someone training before they are delegated any work.
* Monitoring and review procedures — delegation does not mean abdication by the manager (remember that the manager remains accountable for what is done). This means that a manager who does delegate work has to set up a system to check what is happening. This could involve meetings with the delegate or regular reports from the person. Monitoring and review is vital because if things do not work out as planned the manager has the chance to instigate corrective action.
* Freedom of action within terms of reference — despite the need for monitoring and review the manager must allow the subordinate space to get on with the task in hand. If the manager constantly interferes, then the team member may well lose heart and confidence. In addition, constant involvement by the manager reduces the benefits of delegation and raises questions about why it was done in the first place.
* An appropriate reward system — when delegating, managers should make sure that the person concerned gains some benefit. Delegation, after all, does involve team members in doing work which is strictly not part of their duties. This may be less problematical than it may seem. In many cases, there may be sufficient rewards in the satisfaction of a job well done, particularly if this is publicly recognised by the manager, eg a team briefing or by a message to a more senior manager. As already noted, there may be cases where delegation can provide someone with experience which can help them gain a new job and this may be a suitable reward.

Summarising, the basis of all effective delegation is the confidence and trust shared between the manager and the subordinate.

***A***

***ctivity – On your own***

Answer the following question:

Have you experience of effective and not so effective delegation? What lessons have you learnt?

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**ection 7: How to use resources effectively to achieve objectives**

Mintzberg (1973) classifies the activities of a manager into three groups of managerial roles. In these three groups he identifies ten managerial roles. In the group identified as Decisional Roles he suggests a resource allocator role for every manager.

In this role he indicates that managers use formal authority to plan where effort will be expended and make choices on the allocation of resources, ie money, time, material, staff. Using resources effectively, therefore, is a key part of the work of any manager.

We have already discussed setting objectives and planning. This section will consider how you can fulfil Mintzberg’s resource allocator role by looking at how you can use the resources available in an effective way to achieve the objectives set in your plans.

The following section regarding the monitoring and controlling of operational plans is also important when considering the effective use of resources. This is because the only way you can know that resources have been used effectively is by checking that the objectives of the operational plan have been achieved.

The resources that you have to allocate will depend on the kind of managerial work you do. The most obvious ones are human, materials and equipment. You may, however, be responsible for other resources such as allocating space within a building. Some resources may have to be allocated jointly. For example, staff may require particular items of equipment such as a computer in order to do their job.

Using resources effectively relates to both quantitative and qualitative aspects. In other words, it covers both the amount of resources which have been used and the way in which they have been used. In deciding how to use the available resources in operational plans managers must therefore pay attention to both these factors.

Qualitative factors may be particularly important in cases where managers are given specified amounts of resources and in the short-term cannot change them easily. In planning for use of the human resource, for example, managers may find that as they progress through the operational plan it becomes possible to use staff more flexibly than was originally thought possible.

This could lead to better staff development with the potential to improve motivation. In turn this could lead to staff making better use of equipment and materials, both reducing the cost of production while producing a better quality of product or service.

The overall result, therefore, may be a larger output or a quicker service for a given input of resources. Many organisations have controls in place to make sure that resources are used effectively. They include things like cost controls, inventory controls and quality control. These can provide guidance to managers on whether they are using resources effectively, as well as setting the targets which managers have to work to.

In order to allocate resources effectively managers must know what is happening internally within their organisation and what is happening externally. They must be in touch with internal and external stakeholders and they need to both give and obtain information to those stakeholders.

Customers, whether internal or external, are a particularly important stakeholder. In this way, managers can make sure that the allocation of resources is kept in line with objectives.

***A***

***ctivity – On your own***

Answer the following question:

What resources do you make use of in your job as a manager?

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How do you plan to use them?

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How do you know if you have used them effectively?

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**ection 8: How to consult with colleagues and other stakeholders**

There is considerable evidence (Mullins 2004, Handy 1981 and Cole 1993) that managers who have a consultative style are more effective simply because they get better feedback. A network of contacts — at one time seen as a ‘buzz-word’ — is now seen as an essential tool for a manager.

This network of contacts includes colleagues who are usually considered to be other members of the organisation. Some of these may be people with whom you work very closely as a manager, such as team members, other managers and members of other teams such as human resources.

Stakeholders are identified as those individuals (internal and external) who have a legitimate interest in the performance of the organisation. Colleagues, for example, are internal stakeholders. Examples of external stakeholders are family, consumers and shareholders.

Consultation takes place within this network of contacts. The wider the network, the more opportunities a manager has for consultation. Consultation involves seeking the views of others and listening to what they have to say. It does not impose any obligation on a manager to take account of what others say.

It is likely though that managers will adjust what they do in the light of what others say, particularly if they feel strongly about something. By hearing what others have to say, a manager is likely to be in a stronger position to make operational plans which will work.

Communication is fundamental to effective consultation. Cole (1993) lists a number of normal methods of communication which can be used:

* **verbal**, i.e. face-to-face discussions, or using a telephone or other method such a video conferencing
* **e-mails** — these have largely replaced older systems such as the memo but some organisations still use these, although they may now be transmitted electronically
* **meetings** — where a group of people gather together
* **Appraisals** — these can provide an opportunity to discuss operational plans with individual team members. Individuals are sometimes more willing to express their views in the one-to-one context of an appraisal than in a more public team meeting
* **notice-boards** — for communication with internal stakeholders in particular
* **in-house magazines** — again usually used as a channel of communication with internal customers
* **letters** — internally, these have been largely superseded by e-mails but can be an important means of communication with external stakeholders
* **surveys** (includes telephone) — these are usually used with external stakeholders such as customers but they are also used, normally in larger organisations, to find out the views of large groups of stakeholders, e.g. staff surveys
* **questionnaires** — again, usually used with external stakeholders like customers
* **Grapevine** — this is an unofficial form of communication. It is not always reliable and is often referred to as ‘rumour’, although rumours can turn out to be true. Good managers are, however, aware of what is currently circulating on the grapevine.

Not all these methods are equally suitable for consultation. A noticeboard, for example, can be a good way of informing people but is not very effective as a means of finding out what people are thinking. The method of communication may also depend on what managers wish to consult about.

A team meeting, for example, is likely to be especially important when consulting about operational plans, as this gives team members an opportunity to express their views and to comment on how they think the plans are likely to work. Here are some suggestions as to what might be suitable methods of consultation for some examples of stakeholders. Remember they are general possibilities and that each case should be considered on its merits.

* C**onsumers** Surveys, telephone surveys, letters, questionnaires, e-mails
* **Stakeholders** Surveys, e-mails, questionnaires
* **Team members** Verbal — face-to-face, meetings, e-mails, appraisals

It should now be clear that by seeking information through communicating with others in their network managers can use consultation to help them make more effective operational plans. Consultation can be time-consuming and it can raise issues that managers may prefer not to hear. The benefits can heavily outweigh the costs.

***A***

***ctivity – On your own***

Answer the following question:

Give examples of how you have consulted with your colleagues and other stakeholders. It would be of great benefit if you could show how you altered your management plans as a result of your consultations.

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**ection 9: How to monitor and control operational plans to achieve their objectives**

We have already considered how to monitor and control operational plans in Section 1. It may help to refer back to the monitoring diagram (or the feedback or control loop) in that section.

Monitoring and control are vital to the success of any operational plan. If managers do not do this they can be caught out if things do not work as planned. If, as a manager, you check what is going on then you may be able to respond quickly when things do not go according to plan.

Very often, prompt corrective action can mean that any problems are tackled before they have serious repercussions. The monitoring diagram shows clearly that the most important item for a manager to have in monitoring and controlling is information.

Information which can help managers monitor the progress of a plan can come for a variety of sources, including:

* Budgetary controls
* Costing systems and the data provided by them
* Quality assurance data
* Market research
* Time management, e.g. target dates

Many organisations provide information to managers as a matter of course. These are usually produced to align with the time-scale of the operational plan and the schedules and targets which result from it. Depending on what these are, information may be provided on a daily or a weekly basis. In some cases in very fast-moving environments information may be produced hourly.

This applies particularly where the operational plan concerns reaching a specific level of sales or registering interest on behalf of a specified number of new customers. There may, however, be situations where the information that you require to monitor and control an operational plan is not available through normal company channels.

In these circumstances you may have to set up your own arrangements to get the information you need. You could, for example, ask for progress reports from members of your team. In addition, or alternatively, you could hold meetings to discuss progress with an operational plan.

This highlights that monitoring and controlling is not just about gathering information. It is also about taking corrective action if the information uncovers variations between what was expected to happen and what has actually happened.

There are three main types of corrective action that you can take as a manager:

1. Make changes in the work still to be done to make up for the variations — this may involve re-allocating resources, for example, or taking steps to ensure that procedures such as those for quality are properly applied.
2. Revise the objectives — this is usually only possible if it has become apparent that the original objectives were too ambitious. In most cases, the difficulty arises with time-scales but this may disguise other factors. It may be, for example, that the operational plan required team members to use skills with which some people were unfamiliar. Objectives have not been met because team members had to take time to learn the new skills.
3. Do nothing — this may be suitable if the variation is small or is likely to correct itself as the plan progresses. This may be acceptable in cases where those involved in the operational plan have recognised the problem and are tackling it themselves. In cases like this intervention by managers may be counter-productive. On the other hand, doing nothing may make things worse and compound any deviations that already exist.

The first of these, making changes, is the most common corrective action. This is because it allows the original plan to be maintained. Revising objectives can mean agreeing with other stakeholders that this is acceptable. Customers may, for example, have to agree to a later delivery date.

This illustrates the importance of a network of contacts and consultation as discussed in Section 8. Consulting with relevant stakeholders can help managers to identify the options that are available. Discussion with a customer, for instance, may reveal that an alternative delivery date can be agreed without damaging long-term relationships with the customer.

***A***

***ctivity – On your own***

Answer the following questions:

What evidence do you have to show that the operational plans you make come to fruition, or not?

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Where they have not, can you show how you planned to recover the situation?

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What information do you get to help to keep on track of how the areas you manage are performing?

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How do you ensure that this is up-to-date?

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**ection 10: How to develop and use an evaluation framework**

Evaluation is not the same as monitoring. As we have seen, monitoring and controlling involves gathering information and, where necessary, taking corrective action to ensure that the objectives of operational plans are being met.

Once the operational plan has been completed, the monitoring and controlling process is complete also. Evaluation means taking a step back and reflecting on how well the operational planning process as a whole has been. It considers whether or not the system of operational planning is working in the way that it should.

Monitoring and controlling play a part in the evaluation process. In some respects they can be seen as short-term while evaluation is a more long-term process. If, for example, operational plans always require corrective action it suggests that the system of operational planning may need to be changed to make it more effective.

An evaluation framework, therefore, is a structure which enables this reflection to be undertaken. It can be seen as having four phases:

* Asking questions about the effectiveness of operational plans at the moment
* Finding answers to these questions by gathering information on how well operational plans are working (some of this information will come from experience of monitoring and controlling particular operational plans)
* Deciding what needs to be changed in order to make operational planning more effective
* Making the changes needed.

These phases do not always move smoothly from one to the other. Often evaluation requires that managers go back and revisit a previous phase. For example, gathering information may raise further questions about the effectiveness of operational plans.

There are a number of types of evaluation but three are particularly important in evaluating operational plans. They are:

* Performance evaluation — this looks at the extent to which operational plans achieve their performance targets in terms of quality and quantity. This could lead to questions in phase one like: ‘Do we consistently meet the requirements of our customers?’; ‘Are our deliveries always on time?’; ‘Do we meet out production targets?’; ‘Are there any parts of our service level agreement which we do not meet?’
* Process evaluation — this considers how well particular processes which are part of operational plans are working. It asks questions such as: ‘Are the inputs we use appropriate for the objectives we wish to achieve?’; ‘How cost effective are the inputs we use?’; ‘How well do our procedures work?’
* Impact evaluation — this evaluates the impact of operational plans. This means looking at the outcomes of the operational plans. It is not the same as performance evaluation. This compares what was achieved with what was intended. Impact evaluation looks at what was intended and considers whether this is valid.

Suitable questions here might be: ‘What effect did the outcomes of our operational plans have on customers?’; ‘What feedback have we had from customers?’; What consequences did our objectives have on other stakeholders such as team members?’; ‘Are the objectives we set for our operational plans the right ones?’

Like monitoring and controlling, evaluation depends on information. There are three main areas of information that are needed for an evaluation:

* Information on performance targets and indicators, ie what was it that we set out to achieve?
* Information on results — what did we actually achieve?
* Information on context — what factors affected what we achieved?

What actions did we take during operational planning? What problems arose and why? Sections 8 and 9 above discussed various sources of information available to you. These apply to evaluation as well. When deciding what information to gather for an evaluation, remember to consider things like the cost of gathering the information including the time it will take to collect it.

A customer survey, for example, may be expensive and take some time to administer. It may, however, be the only way to obtain information on what customers think. It is important also to remember that some sources of information are more reliable than others.

One danger with a customer survey, for example, is that customers may respond on the basis of what they think you would like to hear rather than what they actually think.

Finally, evaluation is often part of systems or programmes which organisations adopt. These programmes require that organisations review what they do and often set frameworks for the review process.

One example given below is by Gatiss (1996). This involves organisations in measures like process improvement and regular audits which are part of an evaluation framework.

* Training
* Education
* Preventative maintenance
* Process improvement
* Effective procedures
* Effective measure
* Regular audits

***A***

***ctivity – On your own***

Answer the following questions:

What steps do you take to evaluate your operational plans?

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Give examples of the kind of questions you could ask in your evaluation frameworks.

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What benefits can evaluating your operational plans bring to your organisation?

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**You are now ready to go through a check list. Be honest with yourself.**

# Tick the box with either a √ or an X to indicate your response.

* **I am able to develop an operational plan for a unit**
* **I am able to implement an operational plan**
* **I am able to monitor, measure and evaluate the achievement of goals and objectives**



# You must think about any point you could not tick. Write this down as a goal.

# Decide on a plan of action to achieve these goals. Regularly review these goals.

Formulate recommendations for a change process

252021

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This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them. The qualifying learner is capable of:

* Demonstrating knowledge of and insight into the need for change within the context of environment change
* Analysing an area requiring a change process
* Selecting a model for implementing a change management process
* Formulating recommendations on implementing the change process

**Index**

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| **Unit Standard 252021** | **85** |
| Demonstrate knowledge of and insight into the need for change within the context of environment change. | **90** |
| Analyse an area requiring the implementation of a change process. |
| Select a model for implementing a change management process. | **99** |
| Formulate recommendations on implementing the change process. |
| **Self-assessment**  Once you have completed all the questions after being facilitated, you need to check the progress you have made. If you feel that you are competent in the areas mentioned, you may tick the blocks, if however you feel that you require additional knowledge, you need to indicate so in the block below. Show this to your facilitator and make the necessary arrangements to assist you to become competent. | **110** |

**Unit Standard 252021 – Alignment Index**

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| **SPECIFIC OUTCOMES AND RELATED ASSESSMENT CRITERIA** | |
| **SO 1** | Demonstrate knowledge of and insight into the need for change within the context of environment change. |
| **AC 1** | The nature of change and its impact on organisational sustainability are explained with reference to internal and external environmental change affecting a specific unit. |
| **AC 2** | The need for change is motivated by identifying the benefits of change for a unit. |
| **SO 2** | Analyse an area requiring the implementation of a change process. |
| **AC 1** | The need for change in a unit of an entity is identified in terms of a desired state compared with the current state. |
| **AC 2** | The results of a SWOT or other suitable analysis are presented to substantiate the argument in favour of a change process.  (The SWOT analysis should include the benefits of implementing change, the main risks and obstacles, the positive forces to be harnessed and the change resilience in the unit.) |
| **SO 3** | Select a model for implementing a change management process. |
| **AC 1** | The characteristics of two change models are described with reference to their appropriateness for different change processes. |
| **AC 2** | The reasons for selecting the model are described with reference to the findings of the analysis. |
| **SO 4** | Formulate recommendations on implementing the change process. |
| **AC 1** | The change management plan presented describes the changes to be implemented in relation to the needs identified in the SWOT analysis.  (The change management plan includes the phases of the plan, the actions, the persons responsible for the actions, the time frames, communication with stakeholders, desired outcomes, anticipated obstacles, expected positive and negative responses to the change, as well as plans to overcome the obstacles and negative responses. |
| **AC 2** | The actions proposed for managing the anticipated human responses to the change process are appropriate to the findings of the SWOT analysis. |
| **AC 3** | The role and competencies of the change leader responsible for facilitating the dynamics of the change process are motivated in relation to the proposed change process. |

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| **CRITICAL CROSS FIELD OUTCOMES** |
| UNIT STANDARD CCFO IDENTIFYING  The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to the recommendations made for change process for a unit.  UNIT STANDARD CCFO WORKING  The learner is able to work as a member of a team in promoting a change process in a unit.  UNIT STANDARD CCFO ORGANISING  The learner is able to organise and manage him/herself and his/her activities responsibly and relation to the recommended change process for a unit.  UNIT STANDARD CCFO COLLECTING  The learner is able to collect, organise and critically evaluate information in applying this information in formulating recommendations on a change process for a unit.  UNIT STANDARD CCFO COMMUNICATING  The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in formulating recommendations on a change process for a unit.  UNIT STANDARD CCFO DEMONSTRATING  The learner is able to demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in applying knowledge of and insight into the complexity of change processes. |

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| **SOUTH AFRICAN QUALIFICATIONS AUTHORITY** |

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| **REGISTERED UNIT STANDARD:** |

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| **Formulate recommendations for a change process** |

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| **SAQA US ID** | **UNIT STANDARD TITLE** | | | |
| 252021 | Formulate recommendations for a change process | | | |
| **ORIGINATOR** | | **REGISTERING PROVIDER** | | |
| SGB Generic Management | |  | | |
| **QUALITY ASSURING BODY** | | | | |
| - | | | | |
| **FIELD** | | | **SUBFIELD** | |
| Field 03 - Business, Commerce and Management Studies | | | Generic Management | |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined | Regular | Level 5 | New Level Assignment Pend. | 8 |
| **REGISTRATION STATUS** | | **REGISTRATION START DATE** | **REGISTRATION END DATE** | **SAQA DECISION NUMBER** |
| Registered | | 2007-11-28 | 2010-11-28 | SAQA 0474/07 |
| **LAST DATE FOR ENROLMENT** | | **LAST DATE FOR ACHIEVEMENT** | | |
| 2011-11-28 | | 2014-11-28 | | |

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| In all of the tables in this document, both the old and the new NQF Levels are shown. In the text (purpose statements, qualification rules, etc), any reference to NQF Levels are to the old levels unless specifically stated otherwise. |

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| This unit standard does not replace any other unit standard and is not replaced by any other unit standard. |

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| **PURPOSE OF THE UNIT STANDARD** |

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| This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them.   The qualifying learner is capable of:   Demonstrating knowledge of and insight into the need for change within the context of environment change.   Analysing an area requiring a change process.   Selecting a model for implementing a change management process.   Formulating recommendations on implementing the change process. |

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| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING** |

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| It is assumed that learners are competent in:   Communication at NQF Level 4.   Mathematical Literacy at NQF Level 4.   Computer Literacy at NQF Level 4. |

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| **UNIT STANDARD RANGE** |

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|  The learner is required to apply the learning in respect of his/her own area of responsibility.   Unit refers to the division, department or business unit in which the learner is responsible for managing and leading staff.   Entity includes, but is not limited to, a company, business unit, public institution, small business, Non-Profit Organisation or Non-Governmental Organisation. |

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| **Specific Outcomes and Assessment Criteria:** |

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| **SPECIFIC OUTCOME 1** |

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| Demonstrate knowledge of and insight into the need for change within the context of environment change. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The nature of change and its impact on organisational sustainability are explained with reference to internal and external environmental change affecting a specific unit. |

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| **ASSESSMENT CRITERION 2** |

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| The need for change is motivated by identifying the benefits of change for a unit. |

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| **SPECIFIC OUTCOME 2** |

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| Analyse an area requiring the implementation of a change process. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The need for change in a unit of an entity is identified in terms of a desired state compared with the current state. |

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| **ASSESSMENT CRITERION 2** |

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| The results of a SWOT or other suitable analysis are presented to substantiate the argument in favour of a change process. |

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| **ASSESSMENT CRITERION RANGE** |

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| The SWOT analysis should include the benefits of implementing change, the main risks and obstacles, the positive forces to be harnessed and the change resilience in the unit. |

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| **SPECIFIC OUTCOME 3** |

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| Select a model for implementing a change management process. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The characteristics of two change models are described with reference to their appropriateness for different change processes. |

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| **ASSESSMENT CRITERION 2** |

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| The reasons for selecting the model are described with reference to the findings of the analysis. |

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| **SPECIFIC OUTCOME 4** |

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| Formulate recommendations on implementing the change process. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The change management plan presented describes the changes to be implemented in relation to the needs identified in the SWOT analysis. |

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| **ASSESSMENT CRITERION RANGE** |

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| The change management plan includes the phases of the plan, the actions, the persons responsible for the actions, the time frames, communication with stakeholders, desired outcomes, anticipated obstacles, expected positive and negative responses to the change, as well as plans to overcome the obstacles and negative responses. |

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| **ASSESSMENT CRITERION 2** |

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| The actions proposed for managing the anticipated human responses to the change process are appropriate to the findings of the SWOT analysis. |

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| **ASSESSMENT CRITERION 3** |

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| The role and competencies of the change leader responsible for facilitating the dynamics of the change process are motivated in relation to the proposed change process. |

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| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS** |

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|  Anyone assessing a candidate against this Unit Standard must be registered as an assessor with the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Any institution offering learning that will enable achievement of this Unit Standard must be accredited as a provider through the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines and the agreed ETQA procedures. |

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| **UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE** |

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| The knowledge underpinning the above specific outcomes is:   Theories of change.   Theories of change management.   Human responses to change.   Models of change management.   Techniques for conducting a SWOT analysis (i.e. strengths, weaknesses opportunities and threats).   Components of a change management plan. |

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| **UNIT STANDARD DEVELOPMENTAL OUTCOME** |

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| **UNIT STANDARD LINKAGES** |

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| N/A |

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| **Critical Cross-field Outcomes (CCFO):** |

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| **UNIT STANDARD CCFO IDENTIFYING** |

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| The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in relation to the recommendations made for change process for a unit. |

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| **UNIT STANDARD CCFO WORKING** |

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| The learner is able to work as a member of a team in promoting a change process in a unit. |

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| **UNIT STANDARD CCFO ORGANISING** |

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| The learner is able to organise and manage him/herself and his/her activities responsibly and relation to the recommended change process for a unit. |

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| **UNIT STANDARD CCFO COLLECTING** |

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| The learner is able to collect, organise and critically evaluate information in applying this information in formulating recommendations on a change process for a unit. |

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| **UNIT STANDARD CCFO COMMUNICATING** |

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| The learner is able to communicate effectively using visual, mathematics and language skills in the modes of oral and/or written presentations in formulating recommendations on a change process for a unit. |

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| **UNIT STANDARD CCFO DEMONSTRATING** |

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| The learner is able to demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in applying knowledge of and insight into the complexity of change processes. |

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| **QUALIFICATIONS UTILISING THIS UNIT STANDARD:** |

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|  | **ID** | **QUALIFICATION TITLE** | **OLD LEVEL** | **NEW LEVEL** | **STATUS** | **END DATE** |
| Core | [59201](http://allqs.saqa.org.za/showQualification.php?id=59201) | National Certificate: Generic Management | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Elective | [59258](http://allqs.saqa.org.za/showQualification.php?id=59258) | National Certificate: Polygraphy | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |

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***“It is not the strongest species that survive, nor the most intelligent, but the ones who are most responsive to change”*** ***Charles Darwin***

***“To cope with a changing world, an entity must develop the capacity of shifting and changing – of developing new skills and attitudes; in short, the capability of learning”*** ***A de Gues***

***C***

hange is realised and occurs in four stages; Pressure, Shared vision, capacity and action. Let’s take an in depth look at these:

***Factor 1 - Pressure for change*** - (the top down approach)

Firstly there must, of course, be pressure for change – a driving force. The need for change has been identified, the decision to proceed has been taken, and this now needs to be communicated throughout the organisation. Pressure for change could be senior management commitment from the outset, but it may have come from customers or clients in a supply chain.

It could come from a regulatory regime, such as Integrated Pollution Prevention and Control (IPPC), the implementation of an Environmental Management System or, and this can often be the most effective source, pressure from the workforce themselves.

Who wants to work for a company or an organisation that has developed a notorious reputation for polluting the environment or exploiting its suppliers? It is widely accepted that when people take a pride in the organisation they work for, they perform better and will more readily put themselves out to help achieve corporate goals.

For success, however, regardless of where the original pressure for change came from, senior management commitment and drive for change is essential if momentum is to be maintained for effective implementation. The rest of the organisation will need to be convinced of the need and the case for change – this is dealt with in more detail in Factor 2: A Clear Shared Vision. Only this can happen to good effect if senior management, including the Chairman and Chief Executive, are collectively behind the changes sought.

Senior management must be seen to be fully supportive by what they do and say – both privately and publicly. If, however, senior management ‘talks-the-talk’ by failing to back up their statements with action and a continuous commitment, progress can soon stall. Other conflicting or new priorities emerge and the momentum can be lost if senior management fail to remain fully supportive of the project.

So, get senior management signed up to the change. And communicate this to all staff – giving them the opportunity to feed in their contributions and feel that they have joint ownership of the change being implemented.

Forward-thinking companies are already signed up to becoming more sustainable through resource efficiency, using cleaner technologies, minimising waste and embracing the principles of producer responsibility.

But being more sustainable in its broadest sense also means attending to social responsibilities as a good employer by, for example, encouraging fairness at work; helping staff to develop their skills; introducing green transport plans; being a ‘good neighbour’ that is responsive to the local community; and as an ethical trader. That is the positive message that needs to be communicated throughout the organisation.

An environmental policy (whether new or improved) can be the signal to staff that things are changing, and that they have a role to play in making this happen. It’s their agenda too. It’s in their interests and in the interests of the organisation that the changes are made. This is where the clear, shared vision (Factor 2) is essential.

***Factor 2 – A Clear, shared vision***

***“Businesses are nothing more or less than organisations of people trying to get to a jointly defined future”***

For change to be effective, it needs to be implemented at all levels; embedded in the culture of the organisation. To keep colleagues with you on this they need to be motivated and you need to understand what motivates them. You should never forget that change is a major cause of stress amongst the workforce.

Staff will usually respond well to challenges (that they feel they can meet!); it’s fear of the unknown that raises stress levels. Getting staff motivated to support the changes that are to be implemented is therefore crucial for success. Staff, their managers and senior managers are all motivated by similar things. They do not, however, necessarily place them in the same order of importance. These ‘motivators’ include pride, happiness, responsibility, recognition, security, success, and, of course, money.

The trick in successfully managing change and getting the commitment and support from staff is to provide these ‘motivators’ for your staff – or at least as many of them as possible. Here are some tips, questions and ideas to help you:

***Pride***

When was the last time you [or senior management] told or showed your staff how proud you are of what they have achieved? The performance of your staff can drop significantly if they feel unappreciated or taken for granted. Staff that take pride and some level of enjoyment in their work and working environment are much more likely to perform well and provide new ideas for improving the organisation’s own wellbeing.

***Happiness***

A culture where laughter is permitted and encouraged can make all the difference in helping everyone get through the day. A caring approach to your staff can reap many benefits; because if they know their employer cares about them as individuals then they will be more likely to care about the employer’s interests. Taking the approach of ‘treating others as we would wish to be treated ourselves’ is the ‘golden rule’ for strengthening and improving relationships between everyone at all levels in the organisation.

***Responsibility***

Giving people more responsibility is a demonstration of trust. If people feel they are trusted they usually respond by taking greater care and pride in their work. Is management prepared to delegate responsibility and provide the back-up? Will management itself then take responsibility when things go wrong? Or does it have a blame culture?

***Success***

We all have slightly different views on what constitutes success. There can often be common factors such as market profile, corporate reputation and product quality. A useful exercise here is: following a presentation on why change is being undertaken, to ask staff, individually or in small focus groups, what they have as a vision for the company/organisation and also for themselves as individuals.

***Recognition***

Are your staff valued and made to feel part of the organisation’s success? Even when times are hard? When was the last time you took time out to say ‘thank you’ to staff at all levels of the organisation for their individual contributions? To ignore this important motivator would be a serious error; and could result in losing the support you need when implementing change.

An effective approach employers can take is to treat its employees as its most important and valued customers. The employer is providing employment activity and wages; the employees purchase these with their effort. The spin-off is that the external customers benefit from a more highly motivated company to do business with.

***Security***

Whenever change is being implemented the fear factor can set in. This can be the fear of change itself and its consequences such as the possible loss of job security or loss of responsibility or control. Continuous, honest and open communication is essential here.

Change can take people out of their ‘comfort zone’ and raise their stress levels. The challenge is to demonstrate that the new ‘zone’ is even more comfortable and secure – or at least it will be once the initial short-term discomfort of implementing change has been overcome.

***Money***

Money is of course an important motivator. Underpaid staff feel under-valued and are less likely to respond positively to change – especially if it means more effort for little or no increase in either pay or recognition – or both! Many, especially those with captivating outside interests, ‘work to live rather than live to work’ but we need to recognise that most full-time employees spend more of their waking hours at work than they spend on pursuing leisure interests or with their families. This means that providing the other six motivators is equally as important as paying a fair wage for a fair job of work done

***If***

your company is already highly profitable, staff may not have a strong inclination to reduce operating or production costs by, for example, switching off equipment when not in use – especially if the shareholders rather than their own pay packets benefit from cost-saving measures.

However, informing staff of the environmental impacts of the organisation (for example carbon dioxide emissions or waste volumes going to landfill) and how staff have an important role in reducing these can be an effective motivator – especially as environmental awareness continues to increase in the general population. The positive feedback to staff of reductions in harmful environmental impacts can increase this motivation (‘haven’t we done well, can we keep this up and do better?’).

Staff suggestion schemes, with financial rewards for employees, need to be handled sensitively. Make sure you do deliver the rewards that you promise. Better still, let a percentage of costs savings (subject to a capped limit perhaps) go towards supporting a local charitable cause that has been chosen by staff. This can motivate those who are not unduly concerned with environmental issues, but who may have local community interests.

***Factor 3: Capacity for Change***

Capacity here means resources and these are staff time and, where appropriate, money. To implement change you need to identify the resources that will be required before you proceed and make sure these are provided. Often, the cost benefits from implementing energy efficiency measures and waste minimisation programmes can provide the financial resources for an on-going programme of improvement.

It is usually the organisation’s own employees that have the information, intuition, ideas and instincts necessary for implementing change effectively. When given the capability and the opportunity to participate in improvement programmes, it is employees who can often find the greatest cost savings and efficiency improvements.

***Factor 4: Action***

***“We are what we repeatedly do. Excellence then, is not an act, but a habit”*** ***Aristotle***

Having got the other three factors in place (pressure, a clear shared vision and capacity) you now have to implement the planned change. Keeping up momentum is what matters here and implementing the

**PLAN – DO – CHECK – ACT**

… management methodology is essential to maintaining the effectiveness and appropriateness of the change. Good monitoring and analysis of the resulting data is essential. Make sure you continue to keep employees informed of progress.

***F***

***acilitating change in organisations***

You want to — you need to — get change going within your organization, and quickly. The question is, “How do we get started?”

**First: Create a Change Baseline**

Your own assumptions about what motivates people will determine the success or failure of your change program. If your assumptions are incorrect, you may miss a valuable opportunity, that of gaining stakeholder ownership of the change process.

“Why is this?”, you ask. People do what they do for a reason. A person’s behaviour (what we observe) is an expression of their underlying beliefs and assumptions. To make our change initiative appealing to others, we must understand why they do what they do.

The baseline is created by identifying the dissatisfaction, vision, first steps, and change resistance for each stakeholder involved with your change program. Using a spread sheet application, make a table listing the stakeholders and each area of investigation:

•Who are the stakeholders?

•What are they dissatisfied with?

•How do they feel about the planned changes (Vision)?

•What steps will provide a good Return on Investment (ROI)?

•And finally: What resistance must be overcome to succeed?

**Second: Define Change Strategies**

We now have a baseline of the key issues for each stakeholder. The next step is to select the ones that you can realistically alter and develop targeted strategies to alter them. People won’t change unless they feel safe, secure and in control over the results.

You can’t just force people to change by management decree. You must change their underlying assumptions with a credible plan. List what assumptions need to change. Include a strategy for overcoming the resistance to change identified for each stakeholder group. The strategy should fill the gaps.

Increasing dissatisfaction with the status quo should improve motivation. Increasing the vision element will ensure the program is completed. Increasing first steps will make sure the program gets started. Lastly, decreasing resistance will simplify the whole effort.

**Third: Change the Measurements**

Measurements define the culture of an organization. What you measure is what you manage, and the person that does the measuring is the manager. In order to change the outcome, we must change what is measured and (possibly) who or what is doing the measuring.

Think about this a little. The person or thing measuring is receiving feedback, the result of prior changes. This is known as a control loop, or a “feedback loop”. If the one measuring can’t make changes or the one making changes can’t measure the results, the resulting delays are significant wastes that cause serious troubles.

Leaders define the performance standards, or measures. You can’t introduce new measurements into the organization and then continue to ask for the old ones. If a leader keeps asking for old information, people give it to him or her. If a leader seems to counter the aims of your change program, the people being led will respond the same way.

**Fourth: Communicate Change Details**

Define what needs to change in as much detail as possible. For example, you can’t just say, “Salespeople need to be friendlier to customers.” You have to define “friendly”. You have to communicate the characteristics of friendly behaviour, such as “greet customers warmly”, “ask about their concerns”, or “address them by name”. Once you know what the behaviour looks like, translate it in detail to employees and reward them immediately for doing it.

**Fifth: Communicate Successful Changes**

Reward those who change and acknowledge their contributions. Focus your attention on people who change and ignore those who do not. This will send the message to others that you value the changes made and, in turn, encourage others to participate in the change program. To derive the greatest benefit, the reward — material or not — must be immediate and public.

**Sixth: Measure Change Progress**

Make sure you have a regular method to capture where the organization stands with respect to the change program. Is the current dissatisfaction, vision, and first steps level greater than the resistance to change?

People are not mechanical systems: their behaviours are the result of internal beliefs and assumptions. We must measure and monitor the progress being made to ensure that the change program is having an effect on those beliefs and assumptions. If given the option, most people will opt for the devil they know rather than the one they don’t.

**Seventh: Ensure Change Lasts**

Increasing the values in the change formula will help bring about behaviour changes. However, it alone will not make them stick. Organizational culture is far more persistent than many people allow for. Change must be an iterative, interactive, and on-going process. It is definitely NOT an event. Go back to the first step and update the change baseline. Discover new changes that are needed. Develop new change strategies and keep up the change.

***A***

***ctivity – In your groups***

As a group you are required to identify an area of change within your organisation which you deem to be important and that will benefit your organisation and the environment that it is positioned in. Start by brainstorming the change which you feel will be beneficial and then continue by explaining your change in accordance with the next two statements:

The change necessary in my organisation

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SWOT analysis in lieu of change for the organisation

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The nature of change and its impact on organisational sustainability

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The need for change motivated by identifying the benefits of change for the organisation

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Identify and explain the need for change in the organisation in terms of a desired state compared with the current state. How will the change assist the organisation by explaining the ability of the organisation once the change has been implemented?

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Using the results of your SWOT analysis explain your views in favour of the change process. (The SWOT analysis should include the benefits of implementing change, the main risks and obstacles, the positive forces to be harnessed and the change resilience in the unit.)

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***K***

***ottler’s 8-Step change model***

Change is the only constant. ***Heraclitus, Greek philosopher***

What was true more than two thousand years ago is just as true today. We live in a world where "business as usual" IS change. New initiatives, project-based working, technology improvements, staying ahead of the competition – these things come together to drive on-going changes to the way we work.

Whether you're considering a small change to one or two processes, or a system wide change to an organization, it's common to feel uneasy and intimidated by the scale of the challenge. You know that the change needs to happen, but you don't really know how to go about doing delivering it. Where do you start? Whom do you involve? How do you see it through to the end?

There are many theories about how to "do" change. Many originate with leadership and change management guru, John Kotter. A professor at Harvard Business School and world-renowned change expert, Kotter introduced his eight-step change process in his 1995 book, "Leading Change." We look at his eight steps for leading change below.

**Step One: Create Urgency**

For change to happen, it helps if the whole company really wants it. Develop a sense of urgency around the need for change. This may help you spark the initial motivation to get things moving. This isn't simply a matter of showing people poor sales statistics or talking about increased competition. Open an honest and convincing dialogue about what's happening in the marketplace and with your competition. If many people start talking about the change you propose, the urgency can build and feed on itself.

What you can do:

* Identify potential threats, and develop scenarios showing what could happen in the future.
* Examine opportunities that should be, or could be, exploited.
* Start honest discussions, and give dynamic and convincing reasons to get people talking and thinking.
* Request support from customers, outside stakeholders and industry people to strengthen your argument.

Kotter suggests that for change to be successful, 75% of a company's management needs to "buy into" the change. In other words, you have to really work hard on Step One, and spend significant time and energy building urgency, before moving onto the next steps. Don't panic and jump in too fast because you don't want to risk further short-term losses – if you act without proper preparation, you could be in for a very bumpy ride.

**Step Two: Form a Powerful Coalition**

Convince people that change is necessary. This often takes strong leadership and visible support from key people within your organization. Managing change isn't enough – you have to lead it. You can find effective change leaders throughout your organization – they don't necessarily follow the traditional company hierarchy. To lead change, you need to bring together a coalition, or team, of influential people whose power comes from a variety of sources, including job title, status, expertise, and political importance.

Once formed, your "change coalition" needs to work as a team, continuing to build urgency and momentum around the need for change. What you can do:

* Identify the true leaders in your organization.
* Ask for an emotional commitment from these key people.
* Work on team building within your change coalition.
* Check your team for weak areas, and ensure that you have a good mix of people from different departments and different levels within your company.

**Step Three: Create a Vision for Change**

When you first start thinking about change, there will probably be many great ideas and solutions floating around. Link these concepts to an overall vision that people can grasp easily and remember. A clear vision can help everyone understand why you're asking them to do something. When people see for themselves what you're trying to achieve, then the directives they're given tend to make more sense. What you can do:

* Determine the values that are central to the change.
* Develop a short summary (one or two sentences) that captures what you "see" as the future of your organization.
* Create a strategy to execute that vision.
* Ensure that your change coalition can describe the vision in five minutes or less.
* Practice your "vision speech" often.

**Step Four: Communicate the Vision**

What you do with your vision after you create it will determine your success. Your message will probably have strong competition from other day-to-day communications within the company, so you need to communicate it frequently and powerfully, and embed it within everything that you do.

Don't just call special meetings to communicate your vision. Instead, talk about it every chance you get. Use the vision daily to make decisions and solve problems. When you keep it fresh on everyone's minds, they'll remember it and respond to it. It's also important to "walk the talk." What you do is far more important – and believable – than what you say. Demonstrate the kind of behaviour that you want from others.

What you can do:

* Talk often about your change vision.
* Openly and honestly address peoples' concerns and anxieties.
* Apply your vision to all aspects of operations – from training to performance reviews. Tie everything back to the vision.
* Lead by example.

**Step Five: Remove Obstacles**

If you follow these steps and reach this point in the change process, you've been talking about your vision and building buy-in from all levels of the organization. Hopefully, your staff wants to get busy and achieve the benefits that you've been promoting.

But is anyone resisting the change? And are there processes or structures that are getting in its way? Put in place the structure for change, and continually check for barriers to it. Removing obstacles can empower the people you need to execute your vision, and it can help the change move forward.

What you can do:

* Identify, or hire, change leaders whose main roles are to deliver the change.
* Look at your organizational structure, job descriptions, and performance and compensation systems to ensure they're in line with your vision.
* Recognize and reward people for making change happen.
* Identify people who are resisting the change, and help them see what's needed.
* Take action to quickly remove barriers (human or otherwise).

**Step Six: Create Short-term Wins**

Nothing motivates more than success. Give your company a taste of victory early in the change process. Within a short time frame (this could be a month or a year, depending on the type of change), you'll want to have results that your staff can see. Without this, critics and negative thinkers might hurt your progress.

Create short-term targets – not just one long-term goal. You want each smaller target to be achievable, with little room for failure. Your change team may have to work very hard to come up with these targets, but each "win" that you produce can further motivate the entire staff.

What you can do:

* Look for sure-fire projects that you can implement without help from any strong critics of the change.
* Don't choose early targets that are expensive. You want to be able to justify the investment in each project.
* Thoroughly analyze the potential pros and cons of your targets. If you don't succeed with an early goal, it can hurt your entire change initiative.
* Reward the people who help you meet the targets.

**Step Seven: Build on the Change**

Kotter argues that many change projects fail because victory is declared too early. Real change runs deep. Quick wins are only the beginning of what needs to be done to achieve long-term change. Launching one new product using a new system is great.

But if you can launch 10 products, that means the new system is working. To reach that 10th success, you need to keep looking for improvements. Each success provides an opportunity to build on what went right and identify what you can improve.

What you can do:

* After every win, analyze what went right and what needs improving.
* Set goals to continue building on the momentum you've achieved.
* Learn about kaizen, the idea of continuous improvement.
* Keep ideas fresh by bringing in new change agents and leaders for your change coalition.

**Step Eight: Anchor the Changes in Corporate Culture**

Finally, to make any change stick, it should become part of the core of your organization. Your corporate culture often determines what gets done, so the values behind your vision must show in day-to-day work. Make continuous efforts to ensure that the change is seen in every aspect of your organization.

This will help give that change a solid place in your organization's culture. It's also important that your company's leaders continue to support the change. This includes existing staff and new leaders who are brought in. If you lose the support of these people, you might end up back where you started.

What you can do:

* Talk about progress every chance you get. Tell success stories about the change process, and repeat other stories that you hear.
* Include the change ideals and values when hiring and training new staff.
* Publicly recognize key members of your original change coalition, and make sure the rest of the staff – new and old – remembers their contributions.
* Create plans to replace key leaders of change as they move on. This will help ensure that their legacy is not lost or forgotten.

You have to work hard to change an organization successfully. When you plan carefully and build the proper foundation, implementing change can be much easier, and you'll improve the chances of success. If you're too impatient, and if you expect too many results too soon, your plans for change are more likely to fail.

Create a sense of urgency, recruit powerful change leaders, build a vision and effectively communicate it, remove obstacles, create quick wins, and build on your momentum. If you do these things, you can help make the change part of your organizational culture. That's when you can declare a true victory. then sit back and enjoy the change that you envisioned so long ago.

***A***

***DKAR: Simple, Powerful, Action Oriented Model for Change***

The ADKAR model of change is a practical answer to effective change management for individuals and organisations. Built on practical research conducted in more than 900 organisations the model is simple to learn, makes sense, and focuses on the actions and outcomes required for change.

**What really gives this model the edge is its emphasis on individual change.**

While many change management projects focus on the steps necessary for organisational change, ADKAR emphasises that successful organisational change occurs only when each person is able to transition successfully.

It makes sense then that this model, developed by Jeff Hiatt, CEO of Prosci Change Management, and first published in 2003, focuses on 5 actions and outcomes necessary for successful individual change, and therefore successful organisational change.

Hiatt refers to each of these five actions as building blocks for successful individual change, and therefore successful organisational change. As the graphic indicates the process is sequential. In other words each step must be completed before moving on to the next. Hiatt emphasises that it is not possible to achieve success in one area unless the previous action has been addressed. The ADKAR model consists of five sequential steps or actions:

**1. Awareness of the need for change.** Understanding why change is necessary is the first key aspect of successful change. This step explains the reasoning and thought that underlies a required change. Planned communication is essential. When this step is successfully completed the individual (employee) will fully understand why change is necessary.

**2. Desire to participate in and support the change.** In this step the individual is able to reach a point where they make a personal decision to support the change and participate in the change. Naturally a desire to support and be part of the change can only happen after full awareness of the need for change is established. Building desire is partly achieved by addressing incentives for the individual and creating a desire to be a part of the change.

**3. Knowledge on how to change.** The third building block of the model, providing knowledge about the change, can be achieved through normal training and education methods. Other methods of transferring knowledge, such as coaching, forums and mentoring, are equally useful, so don't limit this process to formal training.

Two types of knowledge need to be addressed: knowledge on how to change (what to do during the transition) and knowledge on how to perform once the change is implemented.

**4. Ability to implement required skills and behaviours.** In the ADKAR model Ability is the difference between theory and practice. Once knowledge on how to change is in place (theory) the practice, or actual performance of the individual, needs to be supported. This can take some time and can be achieved through practice, coaching and feedback.

**5. Reinforcement to sustain the change.** This final stage of the model is an essential component in which efforts to sustain the change are emphasised. Ensuring that changes stay in place and that individuals do not revert to old ways can be achieved through positive feedback, rewards, recognition, measuring performance and taking corrective actions.

This is often the part of change management that is most difficult as organisations are already moving towards the next change.

**Why use the ADKAR model of change?**

The primary reason this model of change management is favoured is its focus on individual change and ensuring each person makes the transition. This is more than a 'soft' approach - it has practical applications. Most importantly, when you're focusing on the individual you're able to measure where they are in the change process and what is required to assist them.

You are not simply relying on running a certain number of training programmes, or communicating a particular message, and expecting everyone to follow.

* The ADKAR model directs change management activities. It's focused on outcomes, not tasks to be performed. Many change models describe what needs to be done - this model describes the outcomes (Awareness, Desire, Knowledge, Ability, Reinforcement).
* Communication strategies can be focused.
* The ADKAR model helps to measure the effectiveness of the change process. Progress can be measured down to the individual level, gaps diagnosed, and corrective action is directed.
* Managers have a tool they can use. Each part of the model gives manager's a specific role. For example, an individual struggling with change may need knowledge on how to change or may lack the ability to implement necessary skills or behaviours. The manager is able to discern between the two and can provide training (knowledge and information) or work closely with the individual, coaching them to give them the confidence (and ability) to perform effectively.
* This change management model can be used for both project and non-project change, and is effective as a model of individual change outside of the organisational setting as well.

***K***

***urt Lewin - Change Management Model***

Kurt Lewin emigrated from Germany to America during the 1930's. Lewin is recognised as the "founder of social psychology" which immediately points to his interest in the human aspect of change.

Kurt Lewin proposed a three stage theory of change commonly referred to as Unfreeze, Change, Freeze (or Refreeze). It is possible to take these stages to quite complicated levels but I don't believe this is necessary to be able to work with the theory. But be aware that the theory has been criticised for being too simplistic.

A lot has changed since the theory was originally presented in 1947, but the Kurt Lewin model is still extremely relevant. Many other more modern change models are actually based on the Kurt Lewin model. So there are three stages. Unfreezing, Change, Freezing. Let's look at each of these.

***Stage 1: Unfreezing***

The Unfreezing stage is probably one of the more important stages to understand in the world of change we live in today. This stage is about getting ready to change. It involves getting to a point of understanding that change is necessary, and getting ready to move away from our current comfort zone. This first stage is about preparing ourselves, or others, before the change (and ideally creating a situation in which we want the change).

The more we feel that change is necessary, the more urgent it is, the more motivated we are to make the change. Right? Yes, of course! If you understand procrastination then you'd recognise that the closer the deadline, the more likely you are to snap into action and actually get the job started! With the deadline comes some sort of reward or punishment linked to the job.

If there's no deadline, then the urge to change is lower than the need to change. There's much lower motivation to make a change and get on with it.

Unfreezing and getting motivated for the change is all about weighing up the 'pro's' and 'con's' and deciding if the 'pro's' outnumber the 'con's' before you take any action. This is the basis of what Kurt Lewin called the Force Field Analysis. Force Field Analysis is a fancy way of saying that there are lots of different factors (forces) for and against making change that we need to be aware of (analysis).

If the factors for change outweigh the factors against change we'll make the change. If not, then there's low motivation to change - and if we feel pushed to change we're likely to get grumpy and dig in our heels.

This first 'Unfreezing' stage involves moving ourselves, or a department, or an entire business towards motivation for change. The Kurt Lewin Force Field Analysis is a useful way to understand this process and there are plenty of ideas of how this can be done.

***Stage 2: Change - or Transition***

Kurt Lewin was aware that change is not an event, but rather a process. He called that process a transition. Transition is the inner movement or journey we make in reaction to a change. This second stage occurs as we make the changes that are needed. People are 'unfrozen' and moving towards a new way of being.

That said this stage is often the hardest as people are unsure or even fearful. Imagine bungey jumping or parachuting. You may have convinced yourself that there is a great benefit for you to make the jump, but now you find yourself on the edge looking down. Scary stuff! But when you do it you may learn a lot about yourself.

This is not an easy time as people are learning about the changes and need to be given time to understand and work with them. Support is really important here and can be in the form of training, coaching, and expecting mistakes as part of the process.

Using role models and allowing people to develop their own solutions also help to make the changes. It's also really useful to keep communicating a clear picture of the desired change and the benefits to people so they don't lose sight of where they are heading.

***Stage 3: Freezing (or Refreezing)***

Kurt Lewin refers to this stage as freezing although a lot of people refer to it as 'refreezing'. As the name suggests this stage is about establishing stability once the changes have been made. The changes are accepted and become the new norm. People form new relationships and become comfortable with their routines. This can take time. It's often at this point that people laugh and tell me that practically there is never time for this 'freezing' stage. And it's just this that's drawn criticism to the Kurt Lewin model.

In todays world of change the next new change could happen in weeks or less. There is just no time to settle into comfortable routines. This rigidity of freezing does not fit with modern thinking about change being a continuous, sometimes chaotic process in which great flexibility is demanded.

So popular thought has moved away from the concept of freezing. Instead, we should think about this final stage as being more flexible, something like a milkshake or soft serve ice cream, in the current favourite flavour, rather than a rigid frozen block. This way 'Unfreezing' for the next change might be easier.

Given today's pace of change this is a reasonable criticism. But it might help to get in touch with what Kurt Lewin was actually saying. In 1947 he wrote:

*“A change towards a higher level of group performance is frequently short-lived, after a "shot in the arm", group life soon returns to the previous level. This indicates that it does not suffice to define the objective of planned change in group performance as the reaching of a different level. Permanency of the new level, or permanency for a desired period, should be included in the objective. “*

Lewin's concern is about reinforcing the change and ensuring that the desired change is accepted and maintained into the future. Without this people tend to go back to doing what they are used to doing. This is probably what Kurt Lewin meant by freezing - supporting the desired change to make sure it continues and is not lost.

More modern models of change, such as the ADKAR model, are more explicit about this step and include Reinforcement as one of their phases. I've also read this final step of freezing referred to as the lock-in effect. Establishing stability only happens when the new changes are locked-in.

Thinking about change as a journey might make you think that a journey has a beginning , middle, and an end. While this is useful when thinking about the process of change the reality is that this journey doesn't have an end. Lots of rest stops maybe!

Some opportunities for settling down for a while. But no end. So be careful about thinking that a change process has a definite end, as the Lewin change management model might seem to suggest.

***A***

***ctivity – In your groups***

Discuss the following questions and then answer them pertaining to your organisation and the change which you deem necessary which has to take place in your organisation

In short, describe the characteristics of two change models with reference to their appropriateness for different change processes in your organisation

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After identifying the one you feel most suitable, explain the reasons for selecting the model with reference to the findings of the analysis.

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**You are now ready to go through a check list. Be honest with yourself**

# Tick the box with either a √ or an X to indicate your response

# I am able to explain the need for change within the context of environment change.

# I am able to analyse an area requiring a change process.

# I am able to select a model for implementing a change management process.

# I am able to formulate recommendations on implementing the change process.

# kugelweb.gif

# You must think about any point you could not tick. Write this down as a goal.

# Decide on a plan of action to achieve these goals. Regularly review these goals.

Analyse leadership and related theories in a work context

120300

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This Unit Standard will be useful to learners who are working within the Public Sector, Local Government, commercial or community environment. It will enable learners to gain insight into the role of leadership within a work context, and thus providing them with the skills and knowledge to add value to one's job. This Unit Standard will also provide value to public officials who are involved in integrated development planning or public sector management and administration specialists. The qualifying learner is capable of:

* Explaining the concept of leadership
* Differentiating between leadership and management
* Analysing and comparing leadership theories
* Applying the different roles and qualities of leadership in a work context

**Index**

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| **Competence Requirements** | **Page** |
| **Unit Standard 120300 alignment index**  Here you will find the different outcomes explained which you need to be proved competent in, in order to complete the Unit Standard 120300. | **113** |
| **Unit Standard 120300** | **115** |
| **Explain the concept of leadership** | **121** |
| **Analyse leadership theories** | **131** |
| **Differentiate between leadership and management** |
| **Apply the different roles and qualities of leadership in a work context** |
| **Self-assessment**  Once you have completed all the questions after being facilitated, you need to check the progress you have made. If you feel that you are competent in the areas mentioned, you may tick the blocks, if however you feel that you require additional knowledge, you need to indicate so in the block below. Show this to your facilitator and make the necessary arrangements to assist you to become competent. | **143** |

**Unit Standard 120300 – Alignment Index**

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| **SPECIFIC OUTCOMES AND RELATED ASSESSMENT CRITERIA** | |
| **SO 1** | **Explain the concept of leadership** |
| **AC 1** | Various definitions of leadership are identified and explained with examples in the workplace.  (At least four definitions are provided.) |
| **AC 2** | The roles and qualities of a leader are explained using examples.  (Qualities of a leader should include at least five examples but are not limited to humaneness, empathy, objectivity, transparency, accountability, responsibility, honesty, integrity, assertiveness, consistency, reference to historical and present leaders. Leadership roles include but are not limited to being a visionary, motivating self and others, creating synergies, facilitating a developmental environment, being an innovator, being creative.) |
| **SO 2** | **Differentiate between leadership and management** |
| **AC 1** | Leadership and management are defined and differentiated using examples. |
| **AC 2** | The roles and qualities of a leader are differentiated and compared with those of a manager in a work context. |
| **AC 3** | The concepts of accountability and responsibility pertaining to a leader and manager are discussed and explained in terms of advantages and disadvantages in the work place.  (Accountability and responsibilities should include at least two examples but are not limited to complying with related institutional policy and procedures, local government legislation, levels of authority, structure of organisation.) |
| **AC 4** | The role of a leader and a manager is compared in terms of their complementary roles in the work place. |
| **SO 3** | **Analyse leadership theories**  (At least four different leadership theories must be identified and analysed.) |
| **AC 1** | The various theories of leadership are identified and discussed in a work context. |
| **AC 2** | Trends and developments relating to the different leadership theories are examined with examples.  (At least four examples but not limited to trait leadership, leadership base on behaviour styles, servant leadership, transformational leadership and visionary leadership.) |
| **AC 3** | The various leadership theories are justified in terms of advantages and disadvantages |
| **SO 4** | **Apply the different roles and qualities of leadership in a work context** |
| **AC 1** | The roles and qualities within leadership contexts are analysed with examples. |
| **AC 2** | The leadership style of selected leaders are analysed in order to determine its effect in a context.  (At least three case studies are analysed.) |
| **AC 3** | The term role-model is analysed in order to establish its effect on the work context. |
| **AC 4** | A leadership theory is selected and applied in own work context. |
| **AC 5** | Leadership roles, qualities and abilities are analysed in order to formulate own leadership development strategy. |

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| **CRITICAL CROSS FIELD OUTCOMES** |
| ***UNIT STANDARD CCFO IDENTIFYING***  Identify and solve problems using critical and creative thinking processes to interpret how leadership theories, roles and values are applied to own work context.  ***UNIT STANDARD CCFO WORKING***  Work effectively with others as a member of a team, group, organisation or community to determine leadership needs within own context.  ***UNIT STANDARD CCFO ORGANISING***  Organise and manage oneself and one's activities responsibly and effectively in order to ensure proactive leadership.  ***UNIT STANDARD CCFO COLLECTING***  Collect, analyse, organise and critically evaluate information in order to apply the roles of leadership in different work contexts.  ***UNIT STANDARD CCFO COMMUNICATING***  Communicate effectively using visual, mathematical and/or language in the modes of oral and/or written persuasion to lead effectively.  ***UNIT STANDARD CCFO DEMONSTRATING***  Demonstrate an understanding of the world as a set of interrelated systems by recognising that problem-solving contexts relating to leadership do not exist in isolation and that varying factors will impact on leadership. |

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| **SOUTH AFRICAN QUALIFICATIONS AUTHORITY** |

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| **REGISTERED UNIT STANDARD:** |

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| **Analyse leadership and related theories in a work context** |

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| 120300 | Analyse leadership and related theories in a work context | | | |
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| Field 03 - Business, Commerce and Management Studies | | | Public Administration | |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined | Regular-Fundamental | Level 5 | New Level Assignment Pend. | 8 |
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| **LAST DATE FOR ENROLMENT** | | **LAST DATE FOR ACHIEVEMENT** | | |
| 2012-10-20 | | 2015-10-20 | | |

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| In all of the tables in this document, both the old and the new NQF Levels are shown. In the text (purpose statements, qualification rules, etc), any reference to NQF Levels are to the old levels unless specifically stated otherwise. |

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| This unit standard does not replace any other unit standard and is not replaced by any other unit standard. |

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| **PURPOSE OF THE UNIT STANDARD** |

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| This Unit Standard will be useful to learners who are working within the Public Sector, Local Government, commercial or community environment. It will enable learners to gain insight into the role of leadership within a work context, and thus providing them with the skills and knowledge to add value to one's job. This Unit Standard will also provide value to public officials who are involved in integrated development planning or public sector management and administration specialists.  The qualifying learner is capable of:   Explaining the concept of leadership.   Differentiating between leadership and management.   Analysing and comparing leadership theories.   Applying the different roles and qualities of leadership in a work context. |

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| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING** |

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| It is assumed that learners are competent in Communication at NQF Level 4. |

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| **UNIT STANDARD RANGE** |

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| **Specific Outcomes and Assessment Criteria:** |

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| **SPECIFIC OUTCOME 1** |

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| Explain the concept of leadership. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| Various definitions of leadership are identified and explained with examples in the workplace. |

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| **ASSESSMENT CRITERION RANGE** |

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| At least four definitions are provided. |

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| **ASSESSMENT CRITERION 2** |

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| The roles and qualities of a leader are explained using examples. |

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| **ASSESSMENT CRITERION RANGE** |

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| Qualities of a leader should include at least five examples but are not limited to humaneness, empathy, objectivity, transparency, accountability, responsibility, honesty, integrity, assertiveness, consistency, reference to historical and present leaders.   Leadership roles include but are not limited to being a visionary, motivating self and others, creating synergies, facilitating a developmental environment, being an innovator, being creative. |

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| **SPECIFIC OUTCOME 2** |

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| Differentiate between leadership and management. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| Leadership and management are defined and differentiated using examples. |

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| **ASSESSMENT CRITERION 2** |

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| The roles and qualities of a leader are differentiated and compared with those of a manager in a work context. |

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| **ASSESSMENT CRITERION 3** |

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| The concepts of accountability and responsibility pertaining to a leader and manager are discussed and explained in terms of advantages and disadvantages in the work place. |

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| **ASSESSMENT CRITERION RANGE** |

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| Accountability and responsibilities should include at least two examples but are not limited to complying with related institutional policy and procedures, local government legislation, levels of authority, structure of organisation. |

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| **ASSESSMENT CRITERION 4** |

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| The role of a leader and a manager is compared in terms of their complementary roles in the work place. |

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| **SPECIFIC OUTCOME 3** |

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| Analyse leadership theories. |

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| **OUTCOME RANGE** |

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| At least four different leadership theories must be identified and analysed. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The various theories of leadership are identified and discussed in a work context. |

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| **ASSESSMENT CRITERION 2** |

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| Trends and developments relating to the different leadership theories are examined with examples. |

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| **ASSESSMENT CRITERION RANGE** |

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| At least four examples but not limited to trait leadership, leadership base on behaviour styles, servant leadership, transformational leadership and visionary leadership. |

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| **ASSESSMENT CRITERION 3** |

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| The various leadership theories are justified in terms of advantages and disadvantages. |

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| **SPECIFIC OUTCOME 4** |

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| Apply the different roles and qualities of leadership in a work context. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| The roles and qualities within leadership contexts are analysed with examples. |

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| **ASSESSMENT CRITERION 2** |

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| The leadership style of selected leaders are analysed in order to determine its effect in a context. |

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| **ASSESSMENT CRITERION RANGE** |

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| At least three case studies are analysed. |

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| **ASSESSMENT CRITERION 3** |

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| The term role-model is analysed in order to establish its effect on the work context. |

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| **ASSESSMENT CRITERION 4** |

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| A leadership theory is selected and applied in own work context. |

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| **ASSESSMENT CRITERION 5** |

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| Leadership roles, qualities and abilities are analysed in order to formulate own leadership development strategy. |

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| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS** |

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|  Any individual wishing to be assessed (including through RPL) against this Unit Standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA, or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Any institution offering learning that will enable achievement of this Unit Standard or assessing this unit standard must be accredited as a provider with the relevant ETQA, or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Moderation of assessment will be conducted by the relevant ETQA at its discretion. |

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| **UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE** |

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| The learner must demonstrate an understanding of:   Leadership definitions.   Leadership theories.   Roles of leaders.   Leadership functions.   Management functions and roles - the difference between management and leadership.   Institutional policies, procedures and legislation. |

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| **Critical Cross-field Outcomes (CCFO):** |

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| **UNIT STANDARD CCFO IDENTIFYING** |

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| Identify and solve problems using critical and creative thinking processes to interpret how leadership theories, roles and values are applied to own work context. |

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| **UNIT STANDARD CCFO WORKING** |

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| Work effectively with others as a member of a team, group, organisation or community to determine leadership needs within own context. |

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| **UNIT STANDARD CCFO ORGANISING** |

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| Organise and manage oneself and one's activities responsibly and effectively in order to ensure proactive leadership. |

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| **UNIT STANDARD CCFO COLLECTING** |

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| Collect, analyse, organise and critically evaluate information in order to apply the roles of leadership in different work contexts. |

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| **UNIT STANDARD CCFO COMMUNICATING** |

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| Communicate effectively using visual, mathematical and/or language in the modes of oral and/or written persuasion to lead effectively. |

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| **UNIT STANDARD CCFO DEMONSTRATING** |

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| Demonstrate an understanding of the world as a set of interrelated systems by recognising that problem-solving contexts relating to leadership do not exist in isolation and that varying factors will impact on leadership. |

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| **QUALIFICATIONS UTILISING THIS UNIT STANDARD:** |

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|  | **ID** | **QUALIFICATION TITLE** | **OLD LEVEL** | **NEW LEVEL** | **STATUS** | **END DATE** |
| Core | [50081](http://allqs.saqa.org.za/showQualification.php?id=50081) | Further Education and Training Certificate: Leadership Development | Level 4 | NQF Level 04 | Reregistered | 2012-03-31 |
| Core | [63369](http://allqs.saqa.org.za/showQualification.php?id=63369) | National Diploma: Trade Union Practice | Level 5 | New Level Assignment Pend. | Registered | 2011-11-26 |
| Core | [58008](http://allqs.saqa.org.za/showQualification.php?id=58008) | National Diploma: Aircraft Piloting | Level 6 | New Level Assignment Pend. | Registered | 2010-03-12 |
| Fundamental | [59201](http://allqs.saqa.org.za/showQualification.php?id=59201) | National Certificate: Generic Management | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Fundamental | [49743](http://allqs.saqa.org.za/showQualification.php?id=49743) | National Certificate: Manufacturing Management | Level 5 | New Level Assignment Pend. | Reregistered | 2012-01-27 |
| Elective | [64697](http://allqs.saqa.org.za/showQualification.php?id=64697) | Further Education and Training Certificate: Community Health Work | Level 4 | NQF Level 04 | Registered | 2012-02-18 |
| Elective | [58779](http://allqs.saqa.org.za/showQualification.php?id=58779) | Further Education and Training Certificate: Production Technology | Level 4 | NQF Level 04 | Registered | 2010-08-16 |
| Elective | [58337](http://allqs.saqa.org.za/showQualification.php?id=58337) | Further Education and Training Certificate: Trade Union Practice | Level 4 | NQF Level 04 | Registered | 2010-09-12 |
| Elective | [58580](http://allqs.saqa.org.za/showQualification.php?id=58580) | National Certificate: Aerodrome Control | Level 5 | New Level Assignment Pend. | Registered | 2010-06-14 |
| Elective | [58581](http://allqs.saqa.org.za/showQualification.php?id=58581) | National Certificate: Air Traffic Support | Level 5 | New Level Assignment Pend. | Registered | 2010-06-14 |
| Elective | [50060](http://allqs.saqa.org.za/showQualification.php?id=50060) | National Certificate: Public Administration | Level 5 | New Level Assignment Pend. | Reregistered | 2011-10-20 |
| Elective | [58023](http://allqs.saqa.org.za/showQualification.php?id=58023) | National Diploma: Aircraft Piloting | Level 5 | New Level Assignment Pend. | Registered | 2010-03-12 |
| Elective | [58802](http://allqs.saqa.org.za/showQualification.php?id=58802) | National Diploma: Disability Employment Practice | Level 5 | New Level Assignment Pend. | Registered | 2010-08-16 |

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"It is not the critic who counts; not the man who points out how the strong man stumbled, or where the doer of deeds could have done them better. The credit belongs to the man who is actually in the arena, whose face is marred by dust and sweat and blood; who strives valiantly; who errs and comes short again and again; who knows the great enthusiasms, the great devotions; who spends himself in a worthy cause; who, at the best, knows in the end the triumph of high achievement, and who, at the worst, if he fails, at least fails while daring greatly, so that his place shall never be with those timid souls who know neither victory or defeat." — Theodore Roosevelt

Good leaders are made not born. If you have the desire and willpower, you can become an effective leader. Good leaders develop through a never ending process of self-study, education, training, and experience. This guide will help you through that process.

To inspire your workers into higher levels of teamwork, there are certain things you must be, know, and, do. These do not come naturally, but are acquired through continual work and study. Good leaders are continually working and studying to improve their leadership skills; they are NOT resting on their laurels.

Before we get started, let’s define leadership. Leadership is a process by which a person influences others to accomplish an objective and directs the Organisation in a way that makes it more cohesive and coherent.

Leaders carry out this process by applying their leadership attributes, such as beliefs, values, ethics, character, knowledge, and skills.

* Leader (a person who rules or guides or inspires others)
* Leadership has been written as the “process of social influence in which one person can enlist the aid and support of others in the accomplishment of a common task” Definitions more inclusive of followers have also emerged. Alan Keith of Genentech states that, "Leadership is ultimately about creating a way for people to contribute to making something extraordinary happen

Although your position as a manager, supervisor, lead, etc. gives you the authority to accomplish certain tasks and objectives in the Organisation, this power does not make you a leader, it simply makes you the boss. Leadership differs in that it makes the followers want to achieve high goals, rather than simply bossing people around.

Interest in leadership increased during the early part of the twentieth century. Early leadership theories focused on what qualities distinguished between leaders and followers, while subsequent theories looked at other variables such as situational factors and skill level. While many different leadership theories have emerged, most can be classified as one of eight major types:

***1. “Great Man” Theories -*** Great Man theories assume that the capacity for leadership is inherent – that great leaders are born, not made. These theories often portray great leaders as heroic, mythic, and destined to rise to leadership when needed. The term “Great Man” was used because, at the time, leadership was thought of primarily as a male quality, especially in terms of military leadership.

***2. Trait Theories -*** Similar in some ways to “Great Man” theories, trait theory assumes that people inherit certain qualities and traits that make them better suited to leadership. Trait theories often identify particular personality or behavioural characteristics shared by leaders. But if particular traits are key features of leadership, how do we explain people who possess those qualities but are not leaders? This question is one of the difficulties in using trait theories to explain leadership.

***3. Contingency Theories -*** Contingency theories of leadership focus on particular variables related to the environment that might determine which particular style of leadership is best suited for the situation. According to this theory, no leadership style is best in all situations. Success depends upon a number of variables, including the leadership style, qualities of the followers, and aspects of the situation.

***4. Situational Theories -*** Situational theories propose that leaders choose the best course of action based upon situational variable. Different styles of leadership may be more appropriate for certain types of decision-making.

***5. Behavioural Theories -*** Behavioural theories of leadership are based upon the belief that great leaders are made, not born. Rooted in behaviourism, this leadership theory focuses on the actions of leaders, not on mental qualities or internal states. According to this theory, people can learn to become leaders through teaching and observation.

***6. Participative Theories -*** Participative leadership theories suggest that the ideal leadership style is one that takes the input of others into account. These leaders encourage participation and contributions from group members and help group members feel more relevant and committed to the decision-making process. In participative theories, however, the leader retains the right to allow the input of others.

***7. Management Theories -*** Management theories (also known as “Transactional theories”) focus on the role of supervision, Organisation, and group performance. These theories base leadership on a system of reward and punishment. Managerial theories are often used in business; when employees are successful, they are rewarded; when they fail, they are reprimanded or punished.

***8. Relationship Theories -*** Relationship theories (also known as “Transformational theories”) focus upon the connections formed between leaders and followers. These leaders motivate and inspire people by helping group members see the importance and higher good of the task. Transformational leaders are focused on the performance of group members, but also want each person to fulfil his or her potential. These leaders often have high ethical and moral standards.

When a person is deciding if he/she respects you as a leader, they do not think about your attributes, rather, they observe what you do so that they can know who you really are. They use this observation to tell if you are an honourable and trusted leader or a self-serving person who misuses authority to look good and get promoted.

Self-serving leaders are not as effective because their employees only obey them, not follow them. They succeed in many areas because they present a good image to their seniors at the expense of their workers. The basis of good leadership is honourable character and selfless service to your Organisation.

In your employees' eyes, your leadership is everything you do that effects the organisation's objectives and their well-being. Respected leaders concentrate on what they are [be] (such as beliefs and character), what they know (such as job, tasks, and human nature), and what they do (such as implementing, motivating, and providing direction).

***Leadership quotations:***

People ask the difference between a leader and a boss. . . The leader works in the open, and the boss in covert. The leader leads, and the boss drives.   
- Theodore Roosevelt

The final test of a leader is that he leaves behind him in other men the conviction and the will to carry on. . . . The genius of a good leader is to leave behind him a situation which common sense, without the grace of genius, can deal with successfully.

- Walter Lippmann

When the effective leader is finished with his work, the people say it happened naturally.

- Lao Tse

Never tell people how to do things. Tell them what to do and they will surprise you with their ingenuity

- George Patton

Lead and inspire people. Don't try to manage and manipulate people. Inventories can be managed but people must be lead.

- Ross Perot

No man will make a great leader who wants to do it all himself, or to get all the credit for doing it.

- Andrew Carnegie

***Leadership Qualities***

What is leadership, and what is the difference between leadership and management? In a nutshell, the difference between leadership and management is:

***Leadership*** is setting a new direction or vision for a group that they follow, i.e.: a leader is the spearhead for that new direction.

***Management*** controls or directs people/resources in a group according to principles or values that have already been established.

The difference between leadership and management can be illustrated by considering what happens when you have one without the other.

***Leadership without management***

...sets a direction or vision that others follow, without considering too much how the new direction is going to be achieved. Other people then have to work hard in the trail that is left behind, picking up the pieces and making it work. E.g.: in Lord of the Rings, at the council of Elrond, Frodo Baggins rescues the council from conflict by taking responsibility for the quest of destroying the ring - but most of the management of the group comes from others.

***Management without leadership***

...controls resources to maintain the status quo or ensure things happen according to already-established plans. E.g.: a referee manages a sports game, but does not usually provide "leadership" because there is no new change, no new direction - the referee is controlling resources to ensure that the laws of the game are followed and status quo is maintained.

***Leadership combined with management***

...does both - it both sets a new direction and manages the resources to achieve it. E.g.: a newly elected president or prime minister.

***What makes a good leader?***

The leadership qualities that are required to make a good leader can vary in different companies, teams and situations.

This can be illustrated in both art and modern leadership models. For example, the fact that leadership qualities are dependent on context is demonstrated in the play The Admirable Crichton and the film Twelve O’clock High. In "The Admirable Crichton", written in 1902, the Lord and butler swap their roles as leader and servant as the situation changes. On a desert island, the butler's practical skills are essential for survival, whereas the Lord's knowledge of English politics is of no value.

In the film "Twelve O’clock High", produced in 1949, as a squadron starts to suffer increasing losses during the war, the leader's people-oriented approach starts to fail. He is replaced by a dictatorial bully who turns the squadron round and restores their pride (in modern setting, such leadership behaviour would often be regarded as unacceptable).

***Leadership Styles***

Some people have one style of leadership, which is fine if they can find a situation that requires that style of leadership. Flexible leadership, however, involves being able to adapt your leadership style according to the situation and the state of the team - e.g.: taking charge when a team is forming but playing the role of coach when a team is managing itself well.

Also, the need to change one's leadership style according to the circumstances is one of the fundamental principles underlying popular models such as Situational Leadership (develop by Blanchard and Hersey in the late 1960s). And there are many other examples that go much further back, to biblical times and other periods of recorded history.

***Perspective***

How you approach leadership qualities will depend on whether you are looking at the subject from the perspective of an organisation or an individual.

Organisations aim to improve their performance by selecting and developing individual potential. At the outset, the needs of the organisation are usually well-defined but the individuals, who may become leaders, are unknown. The organisational task is therefore one of:

* Identifying the profile of people who will enhance organisational performance
* Selecting individuals whose character, skills and potential closely match that profile
* Developing those individuals so their potential becomes a reality
* That is, an organisation develops a framework to assess people and develop those who are chosen.

An individual's perspective, however, is very different: the aim is for the individual to develop into a position of leadership. You are who you are, and if your profile does not fit that of the organisation you are working for, then your task is to:

* Understand your own attributes or potential
* Find a new role or organisation where your profile will be valued

***Conclusion***

***What makes a good leader?***

The answer depends on the context. Organisations need to find people who have what they are looking for. Individuals need to find organisations that are looking for what they have to offer.

***M***

***anagerial Roles***

During the 1970’s, a researcher Henry Mintzberg criticized the traditional functional approach as unrealistic. His firsthand observation of managers and similar studies conducted by others lead him to conclude that functions “tell us little about what managers actually do.

At best they indicate some vague objectives managers have when they work”. Because of the longstanding popularity of the traditional functional perspective, Mintzberg’s work has stirred a degree of controversy in management circles.

Those who agree with Mintzberg believe that the functional approach portrays the management process as far more systematic and rational and less complex than it really is. Even the most casual observation reveals that managers do not plan on Monday, organise on Tuesday and coordinate on Wednesday etc. as the functional approach might lead one to believe.

Moreover, according to Mintzberg’s view, the average manager is not the reflective planner and precise “orchestra leader” that the functional approach suggests. Mintzberg characterises the typical manager in the following way: “The manager is overburdened with obligations; yet he cannot easily delegate his tasks. As a result he is driven to overwork and is forced to do many tasks superficially. Brevity, fragmentation and verbal communication characterise his work.”

Mintzberg and his followers have suggested that a more fruitful way of studying what managers do is to focus on the key roles they play. Using a method called “Structured Observation”, which entailed recording the activities and correspondence of five top-level executives, Mintzberg isolated ten roles that he believes are common to managers at all levels.

These ten managerial roles have been grouped into three major categories:

***Interpersonal roles***

Because of their formal authority and superior status, managers engage in a good deal of interpersonal contact, especially with subordinates and peers. The three interpersonal roles that managers play are those of figurehead, leader and liaison.

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| **Category** | **Role** | **Nature of Role** |
| **Interpersonal**  **Roles** | **Figurehead** | As a symbol of legal authority, performing certain ceremonial duties (signing documents and receiving visitors) |
| **Leader** | Motivating subordinates to get the job done properly |
| **Liaison** | Serving as a link in a horizontal (as well as vertical) chain of communication |
| **Informational**  **Roles** | **Nerve Centre** | Serving as a focal point for non-routine information; receiving all types of information |
| **Disseminator** | Transmitting selected information to subordinates |
| **Spokesperson** | Transmitting selected information to outsiders |
| **Decisional**  **Roles** | **Entrepreneur** | Designing and initiating changes within the organisation |
| **Disturbance handler** | Taking corrective action in non-routine situations |
| **Resource allocator** | Deciding exactly who should get what resources |
| **Negotiator** | Participating in sessions with other parties (e.g. vendors and unions) to make sure the organisations’ interests are adequately represented |

***Information roles***

Every manager is a clearing house for information relating to the task at hand. Informational roles are important because information is the lifeblood to organisations. Typical roles include acting as a nerve centre, disseminator and spokesperson.

***Decision roles***

In their decisional roles, managers balance competing interest and make choices. Through decisional roles, strategies are formulated and put into action. Four decisional roles are those of entrepreneur, disturbance handler, resource allocator and negotiator.

***M***

***anagerial Qualities***

***Honest*** - Display sincerity and integrity in all your actions. Deceptive behaviour will not inspire trust.

***Competent*** - Base your actions on reason and moral principles. Do not make decisions based on childlike emotional desires or feelings.

***Forward-looking*** - Set goals and have a vision of the future. The vision must be owned throughout the Organisation. Effective leaders envision what they want and how to get it. They habitually pick priorities stemming from their basic values.

***Inspiring*** - Display confidence in all that you do. By showing endurance in mental, physical, and spiritual stamina, you will inspire others to reach for new heights. Take charge when necessary.

***Intelligent*** - Read, study, and seek challenging assignments.

***Fair-minded*** - Show fair treatment to all people. Prejudice is the enemy of justice. Display empathy by being sensitive to the feelings, values, interests, and well-being of others.

***Broad-minded*** - Seek out diversity.

***Courageous*** - Have the perseverance to accomplish a goal, regardless of the seemingly insurmountable obstacles. Display a confident calmness when under stress.

***Straightforward*** - Use sound judgment to make a good decision at the right time.

***Imaginative*** - Make timely and appropriate changes in your thinking, plans, and methods. Show creativity by thinking of new and better goals, ideas, and solutions to problems. Be innovative!

***Attributes establish what leaders are, and every leader needs at least three of them:***

***Standard Bearers***

Establish the ethical framework within an Organisation. This demands commitment to live and defend the climate and culture that you want to permeate your Organisation. What you set as an example will soon become the rule as unlike knowledge, ethical behaviour is learned more by observing than by listening. And in fast moving situations, examples become certainty. Being a standard bearer creates trust and openness in your employees, who in turn, fulfil your visions.

***Developers***

Help others learn through teaching, training, and coaching. This creates an exciting place to work and learn. Never miss an opportunity to teach or learn something new yourself. Coaching suggests someone who cares enough to get involved by encouraging and developing others who are less experienced. Employees who work for developers know that they can take risks, learn by making mistakes, and winning in the end.

***Integrators***

Orchestrate the many activities that take place throughout an Organisation by providing a view of the future and the ability to obtain it. Success can only be achieved when there is a unity of effort. Integrators have a sixth sense about where problems will occur and make their presence felt during critical times. They know that their employees do their best when they are left to work within a vision-based framework.

To be an effective leader, your followers must have trust in you and they need to be sold on your vision. An executive search company performed a survey on what organisations want from their leaders. The respondents said they wanted people who were both ethical and who convey a strong vision of the future.

In any organisation, a leader's actions set the pace. This behaviour wins trust, loyalty, and ensures the Organisation's continued vitality. One of the ways to build trust is to display a good sense of character composed of beliefs, values, skills, and traits:

***Beliefs*** are what we hold dear to us and are rooted deeply within us. They could be assumptions or convictions that you hold true regarding people, concepts, or things. They could be the beliefs about life, death, religion, what is good, what is bad, what is human nature, etc.

***Values*** are attitudes about the worth of people, concepts, or things. For example, you might value a good car, home, friendship, personal comfort, or relatives. Values are important as they influence a person's behaviour to weigh the importance of alternatives. For example, you might value friends more than privacy, while others might be the opposite.

***Skills*** are the knowledge and abilities that a person gains throughout life. The ability to learn a new skill varies with each individual. Some skills come almost naturally, while others come only by complete devotion to study and practice.

***Traits*** are distinguishing qualities or characteristics of a person, while character is the sum total of these traits. There are hundreds of personality traits, far too many to be discussed here. Instead, we will focus on a few that are crucial for a leader. The more of these you display as a leader, the more your followers will believe and trust in you.

Let’s read through the article “Top Ten Leadership Qualities” by David Hakala.

Leadership can be defined as one's ability to get others to willingly follow. Every Organisation needs leaders at every level. Leaders can be found and nurtured if you look for the following character traits.

A leader with vision has a clear, vivid picture of where to go, as well as a firm grasp on what success looks like and how to achieve it. But it’s not enough to have a vision; leaders must also share it and act upon it. Jack Welch, former chairman and CEO of General Electric Co., said, "Good business leaders create a vision, articulate the vision, passionately own the vision and relentlessly drive it to completion."

A leader must be able to communicate his or her vision in terms that cause followers to buy into it. He or she must communicate clearly and passionately, as passion is contagious.

A good leader must have the discipline to work toward his or her vision single-mindedly, as well as to direct his or her actions and those of the team toward the goal. Action is the mark of a leader. A leader does not suffer “analysis paralysis” but is always doing something in pursuit of the vision, inspiring others to do the same.

Integrity is the integration of outward actions and inner values. A person of integrity is the same on the outside and on the inside. Such an individual can be trusted because he or she never veers from inner values, even when it might be expeditious to do so. A leader must have the trust of followers and therefore must display integrity.

Honest dealings, predictable reactions, well-controlled emotions, and an absence of tantrums and harsh outbursts are all signs of integrity. A leader who is centred in integrity will be more approachable by followers.

Dedication means spending whatever time or energy is necessary to accomplish the task at hand. A leader inspires dedication by example, doing whatever it takes to complete the next step toward the vision. By setting an excellent example, leaders can show followers that there are no nine-to-five jobs on the team, only opportunities to achieve something great.

Magnanimity means giving credit where it is due. A magnanimous leader ensures that credit for successes is spread as widely as possible throughout the company. Conversely, a good leader takes personal responsibility for failures. This sort of reverse magnanimity helps other people feel good about them and draws the team closer together. To spread the fame and take the blame is a hallmark of effective leadership.

Leaders with humility recognize that they are no better or worse than other members of the team. A humble leader is not self-effacing but rather tries to elevate everyone. Leaders with humility also understand that their status does not make them a god. Mahatma Gandhi is a role model for Indian leaders, and he pursued a “follower-centric” leadership role.

Openness means being able to listen to new ideas, even if they do not conform to the usual way of thinking. Good leaders are able to suspend judgment while listening to others’ ideas, as well as accept new ways of doing things that someone else thought of. Openness builds mutual respect and trust between leaders and followers, and it also keeps the team well supplied with new ideas that can further its vision.

Creativity is the ability to think differently, to get outside of the box that constrains solutions. Creativity gives leaders the ability to see things that others have not seen and thus lead followers in new directions. The most important question that a leader can ask is, “What if …?” Possibly the worst thing a leader can say is, “I know this is a dumb question ...”

Fairness means dealing with others consistently and justly. A leader must check all the facts and hear everyone out before passing judgment. He or she must avoid leaping to conclusions based on incomplete evidence. When people feel they that are being treated fairly, they reward a leader with loyalty and dedication.

Assertiveness is not the same as aggressiveness. Rather, it is the ability to clearly state what one expects so that there will be no misunderstandings. A leader must be assertive to get the desired results. Along with assertiveness comes the responsibility to clearly understand what followers expect from their leader.

Many leaders have difficulty striking the right amount of assertiveness, according to a study in the February 2007 issue of the Journal of Personality and Social Psychology, published by the APA (American Psychological Association). It seems that being under assertive or overassertive may be the most common weakness among aspiring leaders.

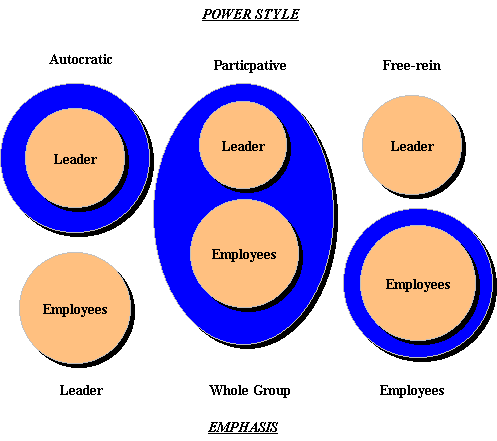
A sense of humour is vital to relieve tension and boredom, as well as to defuse hostility. Effective leaders know how to use humour to energize followers. Humour is a form of power that provides some control over the work environment. And simply put, humour fosters good camaraderie.

Intrinsic traits such as intelligence, good looks, height and so on are not necessary to become a leader. Anyone can cultivate the proper leadership traits

***L***

***eadership Styles***

***Popular Leadership Styles***

Leadership is influencing people, by providing purpose, direction, and motivation, while operating to accomplish the mission and improving the organisation."

The leadership theories and styles discussed so far are based on research. However, many more terms are used to describe approaches to leadership, even if these don't fit within a particular theoretical system. It's worth understanding these!

***1. Autocratic leadership***

Autocratic leadership is an extreme form of transactional leadership, where leaders have absolute power over their workers or team. Staff and team members have little opportunity to make suggestions, even if these would be in the team's or the organisation's best interest. Most people tend to resent being treated like this. Therefore, autocratic leadership usually leads to high levels of absenteeism and staff turnover. For some routine and unskilled jobs, the style can remain effective because the advantages of control may outweigh the disadvantages.

***2. Bureaucratic leadership***

Bureaucratic leaders work "by the book." They follow rules rigorously, and ensure that their staff follows procedures precisely. This is a very appropriate style for work involving serious safety risks (such as working with machinery, with toxic substances, or at dangerous heights) or where large sums of money are involved (such as handling cash).

***3. Charismatic leadership***

A charismatic leadership style can seem similar to transformational leadership, because these leaders inspire lots of enthusiasm in their teams and are very energetic in driving others forward. However, charismatic leaders can tend to believe more in themselves than in their teams, and this creates a risk that a project, or even an entire organisation, might collapse if the leader leaves. In the eyes of the followers, success is directly connected to the presence of the charismatic leader. As such, charismatic leadership carries great responsibility, and it needs a long-term commitment from the leader.

***4. Democratic leadership or participative leadership***

Although democratic leaders make the final decisions, they invite other members of the team to contribute to the decision-making process. This not only increases job satisfaction by involving team members, but it also helps to develop people's skills. Team members feel in control of their own destiny, so they're motivated to work hard by more than just a financial reward. Because participation takes time, this approach can take more time, but often the end result is better. The approach can be most suitable when working as a team is essential, and when quality is more important than speed to market or productivity.

***5. Laissez-faire leadership***

This French phrase means "leave it be," and it's used to describe leaders who leave their team members to work on their own. It can be effective if the leader monitors what's being achieved and communicates this back to the team regularly. Most often, laissez-faire leadership is effective when individual team members are very experienced and skilled self-starters. Unfortunately, this type of leadership can also occur when managers don't apply sufficient control.

***6. People-oriented leadership or relations-oriented leadership***

This is the opposite of task-oriented leadership. With people-oriented leadership, leaders are totally focused on organizing, supporting, and developing the people in their teams. It's a participative style, and it tends to encourage good teamwork and creative collaboration. In practice, most leaders use both task-oriented and people-oriented styles of leadership.

***7. Servant leadership***

This term, created by Robert Greenleaf in the 1970’s, describes a leader who is often not formally recognized as such. When someone, at any level within an Organisation, leads simply by meeting the needs of the team, he or she is described as a "servant leader." In many ways, servant leadership is a form of democratic leadership, because the whole team tends to be involved in decision making.

Supporters of the servant leadership model suggest that it's an important way to move ahead in a world where values are increasingly important, and where servant leaders achieve power on the basis of their values and ideals. Others believe that in competitive leadership situations, people who practice servant leadership can find themselves left behind by leaders using other leadership styles.

***8. Task-Oriented leadership***

Highly task-oriented leaders focus only on getting the job done, and they can be quite autocratic. They actively define the work and the roles required, put structures in place, plan, organize, and monitor. However, because task-oriented leaders don't tend to think much about the well-being of their teams, this approach can suffer many of the flaws of autocratic leadership, with difficulties in motivating and retaining staff.

***9. Transactional leadership***

This style of leadership starts with the idea that team members agree to obey their leader totally when they accept a job. The "transaction" is usually the Organisation paying the team members in return for their effort and compliance.

The leader has a right to "punish" team members if their work doesn't meet the pre-determined standard. Team members can do little to improve their job satisfaction under transactional leadership. The leader could give team members some control of their income/reward by using incentives that encourage even higher standards or greater productivity.

Alternatively, a transactional leader could practice "management by exception" – rather than rewarding better work, the leader could take corrective action if the required standards are not met. Transactional leadership is really a type of management, not a true leadership style, because the focus is on short-term tasks. It has serious limitations for knowledge-based or creative work.

***10. Transformational leadership***

As we discussed earlier, people with this leadership style are true leaders who inspire their teams constantly with a shared vision of the future. While this leader's enthusiasm is often passed onto the team, he or she can need to be supported by "detail people."

That's why, in many organisations, both transactional and transformational leadership are needed. The transactional leaders (or managers) ensure that routine work is done reliably, while the transformational leaders look after initiatives that add value.

***C***

***ase Studies***

***Captain Silver and Leadership***

***Mutiny on the Ocean Glory***

Captain William Silver's problems on the Ocean Glory is an excellent example of how one man changed from control leadership to team unity in a matter of minutes, 200 hundred years ago.

Captain William Silver micro managing the HMS Ocean Glory crew and wanted everyone to know he was the boss, which was more important to him than efficiency. To compound the problem, he considered maximum control as a means to achieve efficiency.

As a result, everything went wrong. The crew finally had enough, mutinied, and cast Captain Silver and eighteen crewmembers adrift in a lifeboat. Without charts or navigation interments, they sailed the open boat 3,600 miles to the Dutch colony, Timor, near Java.

This outstanding achievement is only possible with a team united behind a common goal and the use of comfort zone navigation, the art of using intuitive forces where facts are not available.

The above story has elements of every work environment, the struggle between getting the job done and leaders desire for control. Social prejudice and intuitive forces are always working in the background that will develop a supporting or fighting attitude.

In Captain Silver’s case, he managed by control and the seamen were resisting control. Each side was in a fighting mood and each was searching for ways to outwit the other, not an efficient way to get things done.

Aboard the Ocean Glory, Captain Silver’s priority was total control. In the lifeboat things were different, priority was survival, or get the job done.

Survival automatically unites people into a team where team members are willing to listen to others opinions, free of social prejudice.

There were three teams on board the Ocean Glory, each with their own goal as follows:

1. Scientist - they were focused on Ocean Glory's mission.

2. Officers - they searched for ways to increased control over the seamen.

3. Seamen - they searched for ways to resist control.

After the mutiny, the mission was survival and everyone involved was totally focused on that common goal. Captain Silver was now willing to listen to the opinions of the crew. Getting the job done became more important than control.

Above, "Captain Silver changed his leadership style in a matter of minutes." What had changed from the ship to the lifeboat was the structure of organisation. On the ship, there were three divisions, each with their own goal. On the lifeboat, there was one-one division with a single united goal.

The structure of organisation caused him to change his attitude, which caused an apparent change in leadership style. In short, organisation structure controls leadership style. Intuitive sensitivity become very pronounced in hostile environments compared to protected environments. We live in a very protective society, for this reason, we are not fully aware of the influence intuitive forces have on us.

***How to conduct Leadership development by making use of Personality Assessments***

***The Problem***

The coaching client, June, was experiencing frustration in leading her team of 6 subordinates. She saw that they were not taking initiative. She felt all the responsibility for the quality of their work fell to her. Consequently she was taking on more organizational duties than she desired and she did not have time to focus on the bigger picture issues that her leadership role demanded.

June knew that she had to let her subordinates take initiative for the tasks within their roles, but she was not able to effectively make this change. Every time she let go of her usual responsibility, the subordinates still did not step forward and the team's results suffered.

***The Root Cause***

One of the causes of June's frustration was that she was trying to stop doing something rather than doing something. When she stopped herself from solving her subordinate's problems, she had nothing else do to and felt she was merely holding back and not contributing. With her experience, she could see many problems arising and found it very difficult to hold back and leave it to the team. The solution was to find some way to be active but without taking responsibility for other's roles.

***The Insight***

June's coach suggested a new strategy of focusing her attention on positive actions that would contribute to the solution without taking responsibility away from the subordinates. Using a personality assessment, June realized that she could use her strengths in enlisting cooperation' and 'forthright diplomacy' to move the team forward without taking over their roles.

***The Solution***

With this insight, June experienced an immediate shift in her attitude towards the team and her leadership role. Since the actions she chose to focus on were her preferred traits, the change was easy for her and enjoyable. Her team responded immediately to her requests for cooperation and her clear communication about their behaviours and results. By continuing to focus on her strengths, June was confident she could move her team to learn how to do their jobs, while still retaining control of the results.

***Conclusions***

It is more effective to focus on taking positive actions, rather than on stopping behaviours. People can more easily begin actions that rely on their preferred traits. Different preferred traits can be used in different situations to get the desired results. Therefore it is possible to customize behavioural solutions for different personalities, based on their personal preferences.

***Participative Organisation***

The story is told that when a new manager was appointed to a textile mill, he walked into a weave room the day he arrived, walked directly over to the agent (for the Textile Workers Union) and said "I am the new manager here. When I manage a mill, I run it. Do you understand?” The agent nodded and then waved his hand. The workers, intently watching this gesture, shut down every loom in the room immediately. The agent turned to the manager and said, "All right, go ahead and run it."

This story with great clarity makes the point that there is another authority besides the manager's. The workers' representative has authority and exercised it. The question arises, where does his right to command come from and how did he use his power to exact obedience?

The shop steward is elected so that his authority stems from those who elected him and who work in factory and office. The source of his authority is the consent of the managed to be managed. The method of power is the withdrawal of that consent which is in effect the withdrawal of one's labour, for example by going on strike.

Employees participate when they agree to allow themselves to be organised by an employer, and organisation which is based on consent of those being organised is participative. In a participative organisation people accept responsibility for work to be done, accept that it is their job to carry out a part of the company's activities and that they will be held accountable for the quality of their work.

The manager's job is to back his subordinate by removing obstacles from the subordinate's path, the subordinate asking for such assistance as the need arises. The manager co-ordinates the work of the group which he manages with that of the higher group in which he is a subordinate.

As work may be a source of satisfaction or of frustration, dependent on controllable conditions, the extent to which subordinates derive satisfaction from their work also depends on their own manager's and on the organisation's general style of management.

People who derive satisfaction from their work will like doing it and do it to the best of their ability; if work is a source of frustration, they will restrict effort and the work is likely to be done badly.

An organisation built on this basis is participative, and this means that participation through decision making, including setting of targets, takes place at all levels of the organisation.

***R***

***ole-model***

True role models are those who possess the qualities that we would like to have and those who have affected us in a way that makes us want to be better people. They help us to advocate for ourselves and our goals and take leadership on the issues that we believe in. We often don't recognise our true role models until we have noticed our own personal growth and progress

***How are role-models established by other individuals?***

Choose someone who has a lot of confidence in themselves and their abilities. A good role model would be someone who knows who they are. You don't want someone who is down and who will bring you down. You want someone who won't pretend to be someone they are not, and won't be fake just to suit other people.

Consider someone who thinks it is alright to be unique; even if that means accepting some ridicule. They should make you feel good about being yourself, they shouldn't make you compare yourself to them and wish you were pretty.

Think about someone who interacts well with others', and someone who is kind and can communicate well with people.

Look for someone who is living life the way you would like to. If you want to be a famous author, your role model could be someone who has been successful at writing. If you have always wanted to be a nurse, your role model could be someone at your local hospital who is dedicated to their job and someone who you look up to for their achievements.

Find someone who doesn't always take credit for what they do. Like a teacher or nurse. Not a celebrity or athlete because most of them tend to be conceited.6Choose a role model who may have done something you find admirable, such as raised a lot of money for charity, saved lots of lives, helped people in need or discovered the cure for a disease.

A true role model are those possess the qualities that we would like to have and those who have affected us in a way that makes us want to be better people. To advocates for our goals and ourselves recognise leadership on the issues that we believe in. We often don't recognise our true role models until we have noticed our own personal growth and progress.

***On Your Own - Part 1***

You are required to choose a leadership theory and then explain how you will apply this leadership theory successfully in your own workplace context. Write a short essay on how you will select and implement such a theory.

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***Part Two***

You have been introduced to various leadership roles, qualities and abilities. Now you are required to analyse your own role, qualities and ability in order to formulate your personal leadership development strategy. Start by beginning to explain what your strengths and weaknesses are in each of the fields, and then identify how these weaknesses can be changed into strengths. Formulate your answer in an essay form, and attach it to this document, once complete.

**You are now ready to go through a check list. Be honest with yourself.**

# Tick the box with either a √ or an X to indicate your response.

* **I am able to explain the concept of leadership.**
* **I am able to differentiate between leadership and management.**
* **I am able to analyse and compare leadership theories.**
* **I am able to apply the different roles and qualities of leadership in a work context.**

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# You must think about any point you could not tick. Write this down as a goal.

# Decide on a plan of action to achieve these goals. Regularly review these goals.

Apply mathematical analysis to economic and financial information

252036

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This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them.   
  
The qualifying learner is capable of:

* Using mathematical techniques to collect and organise data
* Applying mathematical analysis to calculate and represent financial and economic data
* Applying mathematical analysis to indicate economic relationships.

**Index**

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| --- | --- |
| **Competence Requirements** | **Page** |
| **Unit Standard 252036 alignment index**  Here you will find the different outcomes explained which you need to be proved competent in, in order to complete the Unit Standard 252036. | **146** |
| **Unit Standard 252036** | **148** |
| **Mathematical techniques to collect and organise data** | **153** |
| **Mathematical techniques to calculate and represent financial and economic data** | **181** |
| **Mathematical analysis to indicate economic relationships** | **210** |
| **Self-assessment**  Once you have completed all the questions after being facilitated, you need to check the progress you have made. If you feel that you are competent in the areas mentioned, you may tick the blocks, if however you feel that you require additional knowledge, you need to indicate so in the block below. Show this to your facilitator and make the necessary arrangements to assist you to become competent. | **225** |

**Unit Standard 252036 – Alignment Index**

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| **SPECIFIC OUTCOMES AND RELATED ASSESSMENT CRITERIA** | |
| **SO 1** | **Use mathematical techniques to collect and organise data.** |
| **AC 1** | Appropriate methods are selected for collecting, recording and organising financial and/economic data. |
| **AC 2** | Financial and demographic relevant to the unit are collected. |
| **AC 3** | Financial and demographic relevant to the unit are recorded in a usable format. |
| **SO 2** | **Apply mathematical techniques to calculate and represent financial and economic data.** |
| **AC 1** | Averages and standard deviations are calculated using the data collected. |
| **AC 2** | The lines of best fit are calculated using the data collected. |
| **AC 3** | Calculations relating to the time value of money are performed for different transactions. |
| **AC 4** | Data collected and calculations are represented in a graphical format.  (Graphical formats could include histograms, pie charts, bar charts, line graphs and stack bar charts.) |
| **SO 3** | **Apply mathematical analysis to indicate economic relationships.** |
| **AC 1** | Economic relationships are indicated through graphical representation techniques. |
| **AC 2** | Graphical representations and numerical summaries are consistent with the data, are clear and appropriate to the situation. |
| **AC 3** | Projections are made on the basis of mathematical analysis. |

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| **CRITICAL CROSS FIELD OUTCOMES** |
| **UNIT STANDARD CCFO IDENTIFYING**  Identify and solve problems using critical and creative thinking processes to interpret economic and financial problems utilising mathematical theories and analysis.  **UNIT STANDARD CCFO WORKING**  Work effectively with others as a member of a team, group, organisation or community to gather mathematical data.  **UNIT STANDARD CCFO ORGANISING**  Organise and manage oneself and one's activities responsibly and effectively in order to conduct mathematical analysis within job context.  **UNIT STANDARD CCFO COLLECTING**  Collect, analyse, organise and critically evaluate information in order to establish economic relationships.  **UNIT STANDARD CCFO COMMUNICATING**  Communicate effectively using visual, mathematical and/or language in the modes of oral and/or written persuasion to present mathematical analysis to illustrate theories, economic trends and different financial transactions.  **UNIT STANDARD CCFO SCIENCE**  Use science and technology effectively and critically, showing responsibility to the environment and health of others in obtaining mathematical information.  **UNIT STANDARD CCFO DEMONSTRATING**  Demonstrate an understanding of the world as a set of interrelated systems by recognising that mathematical problem-solving contexts do not exist in isolation to demonstrate how mathematical theories and principles are linked to financial transactions, economic relationships and finance and economic related problems.  **UNIT STANDARD CCFO CONTRIBUTING**  Participating as responsible citizens in the life of local, national and global communities by analysing mathematics and integrating the principles into all spheres of life. |

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| **SOUTH AFRICAN QUALIFICATIONS AUTHORITY** |

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| **REGISTERED UNIT STANDARD:** |

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| **Apply mathematical analysis to economic and financial information.** |

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| **SAQA US ID** | **UNIT STANDARD TITLE** | | | |
| 252036 | Apply mathematical analysis to economic and financial information. | | | |
| **ORIGINATOR** | | **REGISTERING PROVIDER** | | |
| SGB Generic Management | |  | | |
| **QUALITY ASSURING BODY** | | | | |
| - | | | | |
| **FIELD** | | | **SUBFIELD** | |
| Field 03 - Business, Commerce and Management Studies | | | Generic Management | |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined | Regular-Fundamental | Level 5 | New Level Assignment Pend. | 6 |
| **REGISTRATION STATUS** | | **REGISTRATION START DATE** | **REGISTRATION END DATE** | **SAQA DECISION NUMBER** |
| Registered | | 2007-11-28 | 2010-11-28 | SAQA 0474/07 |
| **LAST DATE FOR ENROLMENT** | | **LAST DATE FOR ACHIEVEMENT** | | |
| 2011-11-28 | | 2014-11-28 | | |

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| In all of the tables in this document, both the old and the new NQF Levels are shown. In the text (purpose statements, qualification rules, etc), any reference to NQF Levels are to the old levels unless specifically stated otherwise. |

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| This unit standard does not replace any other unit standard and is not replaced by any other unit standard. |

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| **PURPOSE OF THE UNIT STANDARD** |

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| This Unit Standard is intended for managers in all economic sectors. These managers would typically be second level managers such as heads of department, section heads or divisional heads, who may have more than one team reporting to them.   The qualifying learner is capable of:   Using mathematical techniques to collect and organise data.   Applying mathematical analysis to calculate and represent financial and economic data.   Applying mathematical analysis to indicate economic relationships. |

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| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING** |

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| It is assumed that learners are competent in:   Communication at NQF Level 4.   Mathematical Literacy at NQF Level 4.   Computer Literacy at NQF Level 4. |

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| **UNIT STANDARD RANGE** |

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|  The learner is required to apply the learning in respect of his/her own area of responsibility.   Unit refers to the division, department or business unit in which the learner is responsible for managing and leading staff.   Entity includes, but is not limited to, a company, business unit, public institution, small business, Non-Profit Organisation or Non-Governmental Organisation. |

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| **Specific Outcomes and Assessment Criteria:** |

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| **SPECIFIC OUTCOME 1** |

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| Use mathematical techniques to collect and organise data. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| Appropriate methods are selected for collecting, recording and organising financial and/economic data. |

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| **ASSESSMENT CRITERION 2** |

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| Financial and demographic relevant to the unit are collected. |

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| **ASSESSMENT CRITERION 3** |

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| Financial and demographic relevant to the unit are recorded in a usable format. |

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| **SPECIFIC OUTCOME 2** |

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| Apply mathematical techniques to calculate and represent financial and economic data. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| Averages and standard deviations are calculated using the data collected. |

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| **ASSESSMENT CRITERION 2** |

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| The lines of best fit are calculated using the data collected. |

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| **ASSESSMENT CRITERION 3** |

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| Calculations relating to the time value of money are performed for different transactions. |

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| **ASSESSMENT CRITERION 4** |

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| Data collected and calculations are represented in a graphical format. |

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| **ASSESSMENT CRITERION RANGE** |

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| Graphical formats could include histograms, pie charts, bar charts, line graphs and stack bar charts. |

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| **SPECIFIC OUTCOME 3** |

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| Apply mathematical analysis to indicate economic relationships. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| Economic relationships are indicated through graphical representation techniques. |

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| **ASSESSMENT CRITERION 2** |

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| Graphical representations and numerical summaries are consistent with the data, are clear and appropriate to the situation. |

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| **ASSESSMENT CRITERION 3** |

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| Projections are made on the basis of mathematical analysis. |

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| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS** |

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|  Anyone assessing a candidate against this Unit Standard must be registered as an assessor with the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Any institution offering learning that will enable achievement of this Unit Standard must be accredited as a provider through the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.   Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines and the agreed ETQA procedures. |

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| **UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE** |

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|  Methods for collecting, organising and analysing financial and economic data.   Techniques for calculating averages, standard deviations and line of best fit.   Time value of money.   Graphical representation of data and analyses, e.g. histograms, pie charts, bar charts, line graphs and stack charts. |

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| **UNIT STANDARD DEVELOPMENTAL OUTCOME** |

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| **UNIT STANDARD LINKAGES** |

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| N/A |

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| **Critical Cross-field Outcomes (CCFO):** |

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| **UNIT STANDARD CCFO IDENTIFYING** |

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| Identify and solve problems using critical and creative thinking processes to interpret economic and financial problems utilising mathematical theories and analysis. |

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| **UNIT STANDARD CCFO WORKING** |

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| Work effectively with others as a member of a team, group, organisation or community to gather mathematical data. |

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| **UNIT STANDARD CCFO ORGANISING** |

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| Organise and manage oneself and one's activities responsibly and effectively in order to conduct mathematical analysis within job context. |

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| **UNIT STANDARD CCFO COLLECTING** |

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| Collect, analyse, organise and critically evaluate information in order to establish economic relationships. |

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| **UNIT STANDARD CCFO COMMUNICATING** |

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| Communicate effectively using visual, mathematical and/or language in the modes of oral and/or written persuasion to present mathematical analysis to illustrate theories, economic trends and different financial transactions. |

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| **UNIT STANDARD CCFO SCIENCE** |

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| Use science and technology effectively and critically, showing responsibility to the environment and health of others in obtaining mathematical information. |

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| **UNIT STANDARD CCFO DEMONSTRATING** |

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| Demonstrate an understanding of the world as a set of interrelated systems by recognising that mathematical problem-solving contexts do not exist in isolation to demonstrate how mathematical theories and principles are linked to financial transactions, economic relationships and finance and economic related problems. |

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| **UNIT STANDARD CCFO CONTRIBUTING** |

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| Participating as responsible citizens in the life of local, national and global communities by analysing mathematics and integrating the principles into all spheres of life. |

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| **QUALIFICATIONS UTILISING THIS UNIT STANDARD:** |

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|  | **ID** | **QUALIFICATION TITLE** | **OLD LEVEL** | **NEW LEVEL** | **STATUS** | **END DATE** |
| Fundamental | [59201](http://allqs.saqa.org.za/showQualification.php?id=59201) | National Certificate: Generic Management | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |

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***M***

***ethods of data collection***

The search for answers to research questions calls of collection of data. Data are facts, figures and other relevant materials, past and present, serving as bases for study and analysis.

***Types of Data***

The data needed for a social science research may be broadly classified into (a) Data pertaining to human beings, (b) Data relating to organisations, and (c) Data pertaining to territorial areas.

Personal data or data related to human beings consist of Demographic and socio-economic characteristics of individuals like age, sex, race, social class, religion, marital status, education, occupation, income, family size, location of the household, life style, etc. and Behavioural variables like attitudes, opinions, awareness, knowledge, practice, intentions, etc.

Organisational data consist of data relating to an organisation’s origin, ownership, objectives, resources, functions, performance and growth. Territorial data are related to geophysical characteristics, resources endowment, population, occupational pattern, infrastructure, economic structure, degree of development, etc. of spatial divisions like villages, cities, Amalia, Philadelphia, regions and the nation.

***Importance of data***

The data serve as the bases or raw materials for analysis. Without an analysis of factual data, no specific inferences can be drawn on the questions under study. Inferences based on imagination or guesswork cannot provide correct answers to research questions. The relevance, adequacy and reliability of data determine the quality of the findings of a study.

Data form the basis for testing the hypotheses formulated in a Study. Data also provide the facts and figures required for constructing measurement scales and tables, which are analysed with statistical techniques. Inferences on the results of statistical, analysis and tests of significance provide the answers to research questions.

Thus the scientific process of measurement, analysis, testing and inferences depends on the availability of relevant data and their accuracy. Hence the importance of data for any research studies.

***Sources of data***

The sources of data may be classified into (a) primary sources and (b) secondary sources.

***Primary Sources***

Primary sources are original sources from which the researcher directly collects data that have not been previously collected, e.g., collection of data directly by the researcher on brand awareness, brand preference, brand loyalty and other aspects of consumer behaviour from a sample of consumers by interviewing them. Primary data are first-hand information collected through various methods such as observation, interviewing, mailing etc.

***Secondary Sources***

These are sources containing data that have been collected and compiled for another purpose. The secondary sources consist of readily available compendia and already compiled statistical statements and reports whose data may be used by researches for their studies, e.g., census reports, annual reports and financial statements of companies, Statistical statements, Reports of Government Departments, Annual Reports on currency and finance published by the South African Reserve Bank.

Statistical Statements relating to Cooperatives, Cooperative Commission, Commercial Banks and Micro Finance Credit Institutions published by the South African Reserve Bank, Reports of the National Sample Survey Organisation, Reports of trade associations, publications of international organisations such as UNO, IMF, World Bank, ILO, WHO, etc., Trade and Financial Journals, newspapers, etc.

Secondary sources consist of not only published records and reports, but also unpublished records. The latter category includes various records and registers maintained by firms and organisations, e.g., accounting and financial records, personnel records, register of members, minutes of meetings, inventory records, etc.

Features of Secondary Sources:

Though secondary sources are diverse and consist of all sorts of materials, they have certain common characteristics.

First, they are readymade and readily available, and do not require the trouble of constructing tools and administering them.

Second, they consist of data over which a researcher has no original control over collection and classification. Others shape both the form and the content of secondary sources. Clearly, this is a feature, which can limit the research value of secondary sources.

Finally, secondary sources are not limited in time and space. That is, the researcher using them need not have been present when and where they were gathered.

***Use of secondary data***

***Uses***

The secondary data may be used in three ways by a researcher. First, some specific information from secondary sources may be used for reference purposes. Second, secondary data may be used as bench marks against which the findings of a research may be tested.

Finally, secondary data may be used as the sole source of information for a research project. Such studies as Securities Market Behaviour, Financial Analysis of Companies, and Trends in credit allocation in commercial banks, Sociological Studies on crimes, historical studies, and the like depend primarily on secondary data.

Year books, Statistical reports of government departments, reports of public organisations like Bureau of Public Enterprises, Census Reports etc. serve as major data sources for such research studies.

***Advantages***

* Secondary data, if available, can be secured quickly and cheaply.
* Wider geographical area and longer reference period may be covered without much cost. Thus the use of secondary data extends the researcher's space and time reach.
* The use of secondary data broadens the database from which scientific generalizations can be made.
* The use of secondary data enables a researcher to verify the findings based on primary data.

***Disadvantages/limitations***

* The most important limitation is the available data may not meet, our specific research needs.
* The available data may not be as accurate as desired.
* The secondary data are not up-to-date and become obsolete when they appear in print, because of time lag in producing them.
* Finally information about the whereabouts of sources may not be available to all social scientists.

***M***

***ethods for collecting primary data: General***

The researcher directly collects primary data from their original sources. In this case, the researcher can collect the required data precisely according to his research needs, he can collect them when he wants them and in the form he needs them.

But the collection of Primary data is costly and time consuming. Yet, for several types of social science research such as socio-economic surveys, social anthropological studies of rural communities and tribal communities, sociological studies of social problems and social institutions, marketing research, leadership studies, opinion polls, attitudinal surveys, readership, radio listening and T.V. viewing surveys, knowledge-awareness practice (KAP) studies, farm management studies, business management studies, etc., required data are not available from secondary sources and they have to be directly gathered from the primary sources. In all cases where the available data are inappropriate, inadequate or obsolete, primary data have to be gathered. .

***Methods of Primary Data Collection***

There are various methods of data collection. A ‘Method’ is different from a ‘Tool’. While a method refers to the way or mode of gathering data, a tool is an instrument used for the method. For example, a schedule is used for interviewing. The important methods are (a) observation, (b) interviewing, (c) mail survey, (d) experimentation, (e) simulation, and (f) projective technique.

Observation involves gathering of data relating to the selected research by viewing and/or listening. Interviewing involves face-to-face conversation between the investigator and the respondent. Mailing is used for collecting data by getting questionnaires completed by respondents.

Experimentation involves a study of independent variables under controlled conditions. Experiment may be conducted in a laboratory or in field in a natural setting. Simulation involves creation of an artificial situation similar to the actual life situation. Projective methods aim at drawing inferences on the characteristics of respondents by presenting to them stimuli. Each method has its advantages and disadvantages.

***Choice of Methods of Data Collection***

Which of the above methods of data collection should be selected for a proposed research project? This is one of the questions to be considered while designing the research plan. One or More methods has/have to be chosen. No method is universal. Each method's unique features should be compared with the needs and conditions of the study and thus the choice of the methods should be decided.

***Observation***

***Meaning and Importance***

Observation means viewing or seeing. We go on observing some thing or other while we are awake. Most of such observations are just casual and have no specific purpose. But observation as a method of data collection is different from such casual viewing.

Observation may be defined as a systematic viewing of a specific phenomenon in its proper setting or the specific purpose of gathering data for a particular study. Observation as a method includes both 'seeing' and 'hearing.' It is accompanied by perceiving as well.

Observation also plays a major role in formulating and testing hypothesis in social sciences. Behavioural scientists observe interactions in small groups; anthropologists observe simple societies, and small com-munities; political scientists observe the behaviour of political leaders and political institutions.

***Types of Observation***

Observation may be classified in different ways. With reference to the investigator’s role, it may be classified into (a) participant observation, and (b) non-participant observation. In terms of mode of observation, it may be classified into (c) direct observation, and (d) indirect observation. With reference to the rigour of the system adopted, observation is classified into (e) controlled observation, and (f) uncontrolled observation

***Experimentation***

Experimentation is a research ‘processes used to study the causal relationships between variables. It aims at studying the effect of an independent variable on a dependent variable, by keeping the other independent variables constant through some type of control. For example, a -social scientist may use experimentation for studying the effect of a method of family planning publicity on people's awareness of family planning techniques.

***Why Experiment?***

Experimentation requires special efforts. It is often extremely difficult to design, and it is also a time consuming process. Why should then one take such trouble? Why not simply observe/survey the phenomenon? The fundamental weakness of any non-experimental study is its inability to specify causes and effect.

It can show only correlations between variables, but correlations alone never prow causation. The experiment is the only method, which can show the effect of an independent variable on dependent variable. In experimentation, the researcher can manipulate the independent variable and measure its effect on the dependent variable.

For example, the effect of various types of promotional strategies on the sale of a given product can be studies by using different advertising media such as T.V., radio and Newspapers. Moreover, experiment provides “the opportunity to vary the treatment (experimental variable) in a systematic manner, thus allowing for the isolation and precise specification of important differences.”

***Applications***

The applications of experimental method are ‘Laboratory Experiment’, and ‘Field Experiment’.

***Simulation***

***Meaning***

Simulation is one of the forms of observational methods. It is a process of conducting experiments on a symbolic model representing a phenomenon. Abelson defines simulation as “the exercise of a flexible imitation of processes and outcomes for the purpose of clarifying or explaining the underlying mechanisms involved.”

It is a symbolic abstraction, simplification and substitution for some referent system. In other words, simulation is a theoretical model of the elements, relations and processes which symbolize some referent system, e.g., the flow of money in the economic system may be simulated in an operating model consisting of a set of pipes through which liquid moves.

Simulation is thus a technique of performing sampling experiments on the model of the systems. The experiments are done on the model instead of on the real system, because the latter would be too inconvenient and expensive.

Simulation is a recent research technique; but it has deep roots in history. Chess has often been considered a simulation of medieval warfare.

***Interviewing***

***Definition***

Interviewing is one of the major methods of data collection. It may be defined as two-way systematic conversation between an investigator and an informant, initiated for obtaining information relevant to as a specific study.

It involves not only conversation, but also learning from the respondents’ gestures, facial expressions and pauses, and his environment. Interviewing requires face-to-face contact or contact over telephone and calls for interviewing skills. It is done by using a structured schedule or an unstructured guide.

***Importance***

Interviewing may be us either as a main method or as a supplementary one in studies of persons. Interviewing is the only suitable method for gathering information from illiterate or less educated respondents. It is useful for collecting a wide range of data from factual demographic data to highly personal and intimate information relating to a person's opinions, attitudes, values, beliefs, past experience and future intentions.

When qualitative information is required or probing is necessary to draw out fully, then interviewing is required. Where the area covered for the survey is a compact, or when a sufficient number of qualified interviewers are available, personal interview is feasible.

Interview is often superior to other data-gathering methods. People are usually more willing to talk than to write. Once rapport is established, even confidential information may be obtained. It permits probing into the context and reasons for answers to questions.

Interview can add flesh to statistical information. It enables the investigator to grasp the behavioural context of the data furnished by the respondents. It permits the investigator to seek clarifications and brings to the forefront those questions, that, for one reason or another, respondents do not want to answer.

***Types of Interviews***

The interviews may be classified into: (a) structured or directive interview, (b) unstructured or non-directive interview, (c) focused inter-view, and (d) clinical interview and (e) depth interview.

**Telephone Interviewing -** Telephone interviewing is a non-personal method of data collection.

**Group Interviews -** Group interview may be defined as a method of collecting primary data in which a number of individuals with a common interest interact with each other. In a personal interview, the flow of information is multidimensional.

**Interviewing Process**

The interviewing process consists of the following stages:

* Preparation
* Introduction
* Developing rapport
* Carrying the interview forward
* Recording the interview, and
* Closing the interview

***Panel Method***

The panel method is a method of data collection, by which data is collected from the same sample respondents at intervals either by mail or by personal interview. This is used for longitudinal studies on economic conditions, expenditure pattern; consumer behaviour, recreational pattern, effectiveness of advertising, voting behaviour, and so on.

The period, over which the panel members are contacted for information may spread over several months or years. The time interval at which they are contacted repeatedly may be 10 or 15 days, or one or two months depending on the nature of the study and the memory span of the respondents.

***Characteristics***

The basic characteristic of the panel method is successive collection of data on the same items from the same persons over a period of time. The type of information to be collected should be such facts that can be accurately and completely furnished by the respondent without any reservation.

The number of item should be as few as possible so that they could be furnished within a few minutes, especially when mail survey is adopted. The average amount of time that a panel member has to spend each time for reporting can be determined in a pilot study. The panel method requires carefully selected and well-trained field workers and effective supervision over their work.-

***Types of Panels***

The panel may be static or dynamic. A static or continuous panel is one in which the membership remains the same throughout the life of the panel, except for the members who drop out. The dropouts are not replaced.

***Mail survey***

*Definition*

The mail survey is another method of collecting primary data. This method involves sending questionnaires to the respondents with a request to complete them and return them by post. This can be used in the case of educated respondents only.

The mail questionnaire should be simple so that the respondents can easily understand the questions and answer them. It should preferably contain mostly closed-end and multiple-choice questions so that it could be completed within a few Minutes.

The distinctive feature of the mail survey is that the questionnaire is self-administered by the respondents themselves and the responses are recorded by them, and not by the investigator as in the case of personal interview method.

It does not involve face-to-face conversation between the investigator and the respondent. Communication is carried out only in writing and this requires more cooperation from the respondents than does verbal communication.

***Alternative modes of sending questionnaires***

There are some alternative methods of distributing questionnaires to the respondents. They are: (1) personal delivery, (2) attaching question-naire to a, product, (3) advertising questionnaire in a newspaper or magazine, and (4) newsstand inserts.

***Projective techniques***

The direct methods of data collection, viz., personal interview, telephone interview and mail survey rely on respondents' own report of their behaviour, beliefs, attitudes, etc. But respondents may be unwilling to discuss controversial issues or to reveal intimate information about themselves or may be reluctant to express their true views fearing that they are generally disapproved.

In order to overcome these limitations, indirect methods have been developed. Projective Techniques are such indirect methods. They become popular during 1950s as a part of motivation research.

***Meaning***

Projective techniques involve presentation of ambitious stimuli to the respondents for interpretation. In doing so, the respondents reveal their inner characteristics. The stimuli may be a picture, a photograph, an inkblot or an incomplete sentence.

The basic assumption of projective techniques is that a person projects his own thoughts, ideas and attributes when he perceives and responds to ambiguous or unstructured stimulus materials. Thus a person's unconscious operations of the mind are brought to a conscious level in a disguised and projected form, and the person projects his inner characteristics.

***Types of Projective Techniques***

Projective Techniques may be divided into three broad categories: (a) visual projective techniques (b) verbal projective techniques, and (c) Expressive techniques.

***Sociometry***

Sociometry is “a method for discovering, describing and evaluating social status, structure, and development through measuring the extent of acceptance or rejection between individuals in groups.” Franz defines sociometry as “a method used for the discovery and manipulation of social configurations by measuring the attractions and repulsions between individuals in a group.”

It is a means for studying the choice, communication and interaction patterns of individuals in a group. It is concerned with attractions and repulsions between individuals in a group. In this method, a person is asked to choose one or more persons according to specified criteria, in order to find out the person or persons with whom he will like to associate.

***Sociometry Test***

The basic technique in sociometry is the “sociometric test.” This is a test under which each member of a group is asked to choose from all other members those with whom he prefers to associate in a specific situation. The situation must be a real one to the group under study, e.g., 'group study', 'play', 'class room seating' for students of a public school.

A specific number of choices, say two or three to be allowed is determined with reference to the size of the group, and different levels of preferences are designated for each choice.

Suppose we desire to find out the likings and disliking of persons in a work group consisting of 8 persons. Each person is asked to select 3 persons in order or preference with whom he will like to work on a group assignment. The levels of choices are designated as: the first choice by the' number 1, the second by 2, and the third by 3.

***T***

***ools for data collection***

***Types of tools***

The various methods of data gathering involve the use of appropriate recording forms. These are called tools or instruments of data collection.

They consist of

* Observation schedule
* Interview guide
* Interview schedule
* Mailed questionnaire
* Rating scale
* Checklist
* Document schedule/data sheet
* Schedule for institutions

Each of the above tools is used for a specific method of data gathering: Observation schedule for observation method, interview schedule and interview guide for interviewing, questionnaire for mail survey, and so on.

***Functions***

The tools of data collection translate the research objectives into specific questions/ items, the responses to which will provide the data required to achieve the research objectives. In order to achieve this purpose, each question/item must convey to the respondent the idea or group of ideas required by the research objectives, and each item must obtain a response which can be analysed for fulfilling the research objectives.

Information gathered through the tools provides descriptions of characteristics of individuals, institutions or other phenomena under study. It is useful for measuring the various variables pertaining to the study. The variables and their interrelationships are analysed for testing the hypothesis or for exploring the content areas set by the research objectives.

A brief description of the various tools of data collection is given below.

***Observation schedule***

This is a form on which observations of an object or a phenomenon are recorded. The items to be observed are determined with reference to the nature and objectives of the study. They are grouped into appropriate categories and listed in the schedule in the order in which the observer would observe them.

The schedule must be so devised as to provide the required verifiable and quantifiable data and to avoid selective bias and misinterpretation of observed items. The units of observation must be simple, and meticulously worded so as to facilitate precise and uniform recording.

***Interview guide***

This is used for non-directive and depth interviews. It does not contain a complete list of items on which information has to be elicited from a respondent: it just contains only the broad topics or areas to be covered in the interview.

Interview guide serves as a suggestive reference or prompter during interview. It aids in focussing attention on salient points relating to the study and in securing comparable data in different interviews by the same or different interviewers.

***Interview schedule and mailed Questionnaire***

Both these tools are widely used in surveys. Both are complete lists of questions on which information is elicited from the respondents. The basic difference between them lies in recording responses. While the interviewer fills out a schedule, the respondent completes a questionnaire.

***Rating Scale***

This is a recording form used for measuring individual's attitudes, aspirations and other psychological and behavioural aspects, and group behaviour.

***Checklist***

This is the simplest of all the devices. It consists of a prepared list of items pertinent to an object or a particular task. The presence or absence of each item may be indicated by checking 'yes' or 'no' or multipoint scale. The use of a checklist ensures a more complete consideration of all aspects of the object, act or task. Checklists contain terms, which the respondent understands, and which more briefly and succinctly express his views than answers to open-ended question. It is a crude device, but careful pre-test can make it less so. It is at best when used to test specific hypothesis. It may be used as an independent tool or as a part of a schedule/questionnaire.

***Document Schedule/Data Sheet***

This is a list of items of information to be obtained from documents, records and other materials. In order to secure measurable data, the items included in the schedule are limited to those that can be uniformly secured from a large number of case histories or other records.

***Schedule for Institutions***

This is used for survey of organisations like business enterprises, educational institutions, social or cultural organisations and the like. It will include various categories of data relating to their profile, functions and performance. These data are gathered from their records, annual reports and financial statements.

***Construction of schedules and questionnaires***

***Schedule v. Questionnaire***

Schedules and questionnaires are the most common instruments of data collection. These two types of tools have much in common. Both of them contain a set of questions logically related to a problem under study; both aim at eliciting responses from the respondents; in both cases the content, response structure, the wordings of questions, question sequence, etc. are the same for all respondents.

Then why should they be denoted by the different terms: 'schedule' and 'questionnaires'? This is because the methods for which they are used are different. While a schedule is used as a tool for interviewing, a questionnaire is used for mailing.

This difference in usage gives rise to a subtle difference between these two recording forms. That is, the interviewer in a face-to-face interviewing fills a schedule, whereas the respondent himself fills in a questionnaire; hence the need for using two different terms.

The tool is referred to as a schedule when it is used for interviewing; and it is called a questionnaire when it is sent to a respondent for completion and return.

***The process of construction***

The process of construction of a schedule and a questionnaire is almost same, except some minor differences in mechanics. This process is not a matter of simply listing questions that comes to researchers mind. It is a rational process involving much time, effort and thought. It consists of the following major steps:

Data need determination: As an interview schedule or a mailed questionnaire is an instrument for gathering data for a specific study, its construction should flow logically from the data required for the given study. Preparation of “Dummy” tables: The best way to ensure the requirements of information is to develop “dummy” tables in which to display the data to be gathered.

Determination of the respondents’ level: Who are our respondents? Are they persons with specialized knowledge relating to the problem under study? Or are they lay people? What is their level of knowledge and understanding? The choice of words and concepts depends upon the level of the respondents' knowledge.

Data gathering method decision: Which communication mode is most appropriate - face-to-face interview or mailing? The choice of question structure depends largely on the communication mode chosen.

Instrument drafting: After determining the data required for the study, first, a broad outline of the instrument may be drafted, listing the various broad categories of data. Second, the sequence of these groupings must be decided. Third, the questions to be asked under each group heading must be listed. All conceivable items relevant to the 'data need' should be compiled.

Evaluation of the draft instrument: In consultation with other qualified persons, the researcher must rigorously examine each question in the draft instrument.

Pre-testing: The revised draft must be pre-tested in order to identify the weaknesses of the instrument and to make the required further revisions to rectify them.

Specification of procedures/instructions: After the instruction is finalised after pre-tests, the procedures or instructions, relating to its use must be specified.

Designing the format: The format should be suited to the needs of the research. The instrument should be divided into different sections relating to the different aspects of the problem.

***Question Construction***

A survey instrument - interview schedules or questionnaire - is useful for collecting various types of information, viz.,

(a) Factual information - facts about the respondents: sex, age, marital status, education, religion, caste or social class, income and occupation; and facts about events and circumstances

(b) Psychological information such as attitudes, opinions, beliefs, and expectations

(c) Behavioural information, like social participation, and so on.

Once the information need is determined as explained in the previous topic, we can begin question construction. This involves four major decision areas. They are: (a) question relevance and content, (b) question wording, (c) response form, and (d) question order or sequence.

***Question relevance and content***

My question to be included in the. instrument should pass certain tests. Is it relevant to the research objectives? Can it yield significant information for answering an investigative question? If not, it should note be included in the instrument.

***Question wording***

This is a difficult task. The function of a question in a schedule/questionnaire is to elicit particular information without distortion. “Questioning people”, says Oppenheim, “is more like trying to catch a particular elusive fish, by hopefully casting different kinds of bait at different depths, without knowing what goes on beneath the surface.”

As the meaning of words differs from person to person, the question designer should choose words which have the following characteristics:

* Shared vocabulary
* Uniformity of meaning
* Exactness
* Simplicity
* Neutrality

The words to be used must be neutral ones, i.e., free from the distorting influence of fear, prestige, bias or emotion. Certain other problem areas of question wording are:

* Unwarranted assumptions
* Personalization
* Presumptions
* Hypothetical question
* Questions in embarrassing matters

Some of the approaches to deal with this problem are:

* To express the question in the third person; instead of asking the respondent for his views, he is asked about the views of others:
* To use a drawing of two persons in a certain setting with 'balloons' containing speech coming from their mouths, as in a cartoon - leaving one person's balloon empty and asking the respondent to put himself in the position of that person and to fill in the missing words; and
* To use sentence completion tests.

***Response form or types of Questions***

The third major area in question construction is the types of questions to be included in the instrument. They may be classified into open questions and closed questions. Closed questions may be dichotomous, multiple choice or declarative ones.

***Types of questions to be avoided***

The question designer should avoid the following types of questions: (a) Leading questions, (b) 'Loaded' questions, (c) Ambiguous questions, (d) Double-barrelled, (e) Long questions, (t) Avoid double negative.

***Question order or Sequence***

The order in which questions are arranged in a schedule/questionnaire is as important as question wording. It has two major implications. First, an appropriate sequence can ease the respondent's task in answering. Second, the sequence can either create or avoid biases due to context effects, i.e., the effects of preceding questions on the response to later questions.

***Mechanics of the Schedule and Questionnaire***

In addition to question wording and question construction, the mechanics of the form should also be considered in the design of a schedule/questionnaire. The mechanics of the form has several aspects: items of the form, instruction, pre-coding, sectionalisation, spacing, paper, printing, margins, etc.

Items of the form: The following items are mandatory for schedules and questionnaires.

* The name of the organization collecting the data should appear at the top of front -page. The name of the sponsor, of the study, if any should also be shown.
* The title of the study should appear in large print next to the name of the organization on the first page. Below this title, the title of the tool - e.g., 'Schedule for-consumers; - may be noted. .
* The confidentialness of the data should be made cleat.
* A place for writing the date of filling in the form should be provided.
* A serial number to each copy of the tool may be assigned.
* The pages of the instrument should be numbered.
* Instructions: In the face sheet below the title of the questionnaire, a brief statement of the objective of the study, the confidentialness of the data, and instructions relating to answering the questions may be provided. .
* Pre-coding: Items in the tool should be pre-coded so as to facilitate transcription of data.
* Sectionalisation: There should be a separate section for each topical area.
* Spacing: For each open-ended question, an adequate space should be provided for answer. There should, indeed more space than seems necessary, for some interviewers/ respondents may write in a large script for legibility. Moreover, liberal spacing is a stimulus for the questionnaire respondent to write more fully. Even short-answer questions should be spaced, so that the interviewer/respondent will not easily confuse the line, from which he is reading.
* Paper: The paper used for mimeographing/printing should be of good quality.
* Printing: Mailed questionnaire should necessarily be printed in order to make it attractive and to minimise the postal expenditure.
* Margins: One inch margin on the left side of the sheet and one-half inch margin on other sides may be provided. If the instrument is to be bound, left-side margin should conform to the type of binding used.
* Indentation: This is required for 'yes' or 'no' questions. If the respondent's answer is 'yes', then a series of questions is offered. If the answer is 'no' a different series of questions is offered.
* Note of thanks: A final note or comment of thanks for the cooperation of the respondent should be included at the end of the instrument.

***Concluding remarks***

Question designing remains primarily a matter of common sense and experience and of avoiding known pitfalls, as there are no hard and fast rules relating to it. Hence alternative versions of questions must be rigorously tested in pre-tests. Test-revision-retests play a crucial role in questionnaire construction.

***Measurement scales and indices***

Scales are devised for measuring variables in social science research. During the past few decades thousands of scales have been designed by researchers in sociology, psychology, education, psychiatry, ethics, behavioural science, economics, administration and other fields.

Indices and scales are often used interchangeably to refer to all sorts of measures, absolute or relative, single or composite, simple or elaborate. “Scaling” refers to the procedure by which numbers or scores assigned to the various degrees of opinions, attitude and other concepts.

***Pilot studies and pre-tests***

***Pilot Study***

**The need for Pilot Study -** It is difficult to plan a major study or project without adequate knowledge of its subject matter, the population it is to cover, their level of knowledge and understanding and the like.

* What are the issues involved?
* What are the concepts associated with the subject matter?
* How can they be operationalized?
* What method of study is appropriate?
* How long the study will take?
* How much money it will cost?

These and other related questions call for a good deal of knowledge of the subject matter of the study and its dimensions. In order to gain such pre-knowledge of the subject matter of an extensive study, a preliminary investigation is con-ducted. This is called a pilot study.

***Pre-test***

**Meaning**

While a pilot study is a full-fledged miniature study of a problem, pre-test is a trial test of a specific aspect of the study such as method of data collection or data collection instrument - interview schedule, mailed questionnaire or measurement scale.

***Need for Pre-testing***

An instrument of data collection is designed with reference to the data requirements of the study. But it cannot be perfected purely on the basis of a critical scrutiny by the designer and other researchers. It should he empirically tested.

As emphatically pointed by Goode and Hatt, “no amount of thinking, no matter how logical the mind or brilliant the insight, is likely to take the place of careful empirical checking”. Hence pre-testing of a draft instrument is indispensable. Pre-testing-means trial administration of the instrument to a sample of respondents before finalising it.

***Purposes of Pre-testing***

Pre-testing has several purposes:

(1) To test whether the instrument would elicit responses required to achieve the research objectives

(2) To test whether the content of the instrument is relevant and adequate

(3) To test whether wording of questions is clear and suited to the understanding of the respondents

(4) To test the other qualitative aspects of the instrument like question structure and question sequence

(5) To develop appropriate procedure for administering the instrument with reference to field conditions

***P***

***rocessing of data***

***Introduction***

Data processing is an intermediary stage of work between data collection and data analysis. The completed instruments of data collection, viz., interview schedules/ questionnaires/ data sheets/field notes contain a vast mass of data.

They cannot straightaway provide answers to research questions. They, like raw materials, need processing. Data processing involves classification and summarisal1on of data in order to make them amenable to analysis. Processing of data requires advance planning at the stage of planning the research design.

This advance planning may covey such aspects as categorization of variables and preparation of dummy tables. This should be done with reference to the requirements of testing hypotheses/investigative questions. This type of preplanning ensures better identification of data needs and their adequate coverage in the tools for collection of data.

Data processing consists of a number of closely related operations, viz.,

1. editing
2. classification and coding
3. transcription
4. tabulation

***Editing***

The first step in processing of data is editing of complete schedules/questionnaires. Editing is a process of checking to detect and or correct errors and omissions. Editing is done at two stages: first at the fieldwork stage and second at office.

***Field editing***

During the stress of interviewing the interviewer cannot always record responses completely and legibly. Therefore after each interview is over, he should review the schedule to complete abbreviated responses, rewrite illegible responses and correct omissions.

***Office editing***

All completed schedules/questionnaires should be thoroughly checked in the office for Completeness, accuracy and uniformity.

***Classification and coding***

***Categorisation and classification***

The edited data are classified and coded. The responses are classified into meaningful categories so as to bring out essential pattern. By this method, several hundred responses are reduced to five or six appropriate categories containing critical information needed for analysis.

When to classify: Classification can be done at any phase prior to the tabulation. Certain items like sex, age, type of house, and the like are structured and pre classified in the data collection form itself. The responses to open-ended questions are classified at the processing stage. Categorization Rules:

A classification system should meet certain requirements or be guided by certain rules.

1. First, classification should be linked to the theory and the aim of the particular study.
2. Second, the scheme should be exhaustive. That is, there must be a category for every response.
3. Third, the categories must also be mutually exclusive, so that each case is classified only once.

Number of categories: How many categories should a scheme include? It is preferable to include many categories rather than a few, since reducing the number later is easier than splitting an already classified group of responses. However, the number of categories is-limited by the number of cases and the anticipated statistical analysis.

***Coding***

Coding means assigning numerals or other symbols to the categories or responses. For each question a coding scheme is designed on the basis of the con med categories. The coding schemes with their assigned symbols together with specific coding instructions may be assembled in a book.

The codebook will identify a specific item of variable/observation and the code number assigned to each category of that item. If the data are to be transferred to machine punch cards, the codebook will also identify the column in which it is entered.

***Transcription***

***Introduction***

When only a few schedules are processed and hand-tabulated, tabulation can directly be made from the schedules. On the other hand, direct tabulation from the edited schedules/ questionnaires is difficult if the number of the schedules and the number of responses in them are large/ suppose an interview schedule contains 180 responses requiring tabulation and 210 simple and cross tables are to be constructed, each schedule has to be handled at least 210 for tabulation.

This will result in mutilation of the schedule, and. omissions and commissions may easily occur in tabulation. In order to avoid these drawbacks, data contained in schedules/questionnaires are transferred to another material for the purpose of tabulation. This intermediary process is called 'transcription.’

***Methods of Transaction***

The material to be used for transaction depends on the method of tabulation - manual or mechanical. Long work sheets, sorting cards or sorting strips are used for transcription when tabulation is done manually, and punch cards or magnetic tape (or disks) are used in a system of machine sorting and tabulation.

***Tabulation***

***Introduction***

After the transcription of data is over, data are summarised and arranged in a compact form for further analysis. This process is called tabulation. Thus, tabulation is the process of summarising raw data and displaying them on compact statistical tables for further analysis. It involves counting of the number of cases falling into each of several categories.

Tabulation can be done by hand or by mechanical or electronic devices. The choice depends upon the size and type of study, cost considerations, time pressures and the availability of tabulating machines or computers. Hand tabulation is suitable for small and simple studies. Electronic or mechanical tabulation is more appropriate for large and complex studies.

***Electronic Computers***

The uses of electronic computers have revolutionized data analysis. They can perform all the specialized functions at a much higher speed. The use of computers has facilitated large-scale studies and above all the use of complex techniques of analysis such as multivariate analysis, factor analysis and the like.

The operating speed of computers is fantastic. The time required for computers to perform such basic operations as adding and subtracting is less than a billionth of a second. The large computers can perform many million operations in a second. In addition to being very fast, computers are very accurate.

***Construction of Tables***

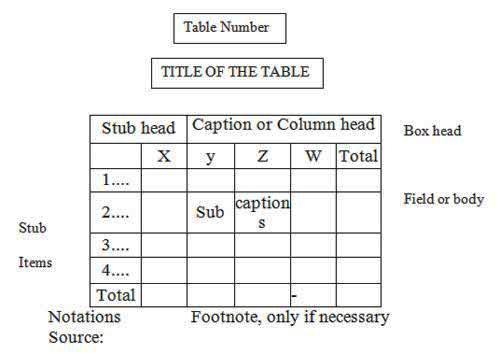
After the data have been tabulated, they are arranged in statistical tables in vertical columns and horizontal rows according to some classification. Tables provide a “shorthand” summary of data. The importance of presenting statistical data in tabular form needs no emphasis.

Tables facilitate comprehending masses of data at a glance; they conserve space and reduce explanations and descriptions to a minimum; they give a visual picture of relationships between variables and categories; they facilitate summation of items and the detection of errors and omissions; and they provide a basis for computations.

It is important to make a distinction between the general-purpose tables and the special tables. The general-purpose tables are primary or reference tables designed to include large amounts of source data in convenient and accessible form.

The special purpose tables are analytical or derivative ones, which demonstrate significant relationships in the data or the results of statistical analysis. Tables in reports of government on population, vital statistics, agriculture, industries etc. are of general-purpose type.

They represent extensive repositories of statistical information. Special purpose tables are found in monographs, research reports and articles, and are used as instruments of analysis. In research we are primarily concerned with special purpose tables.



***Components of a Table***

The major components of a table are:

**A. Heading**

* Table Number
* Title of the table
* Designation of units

**B. Body**

* Stub-head - heading of all rows or blocks of stub items.
* Box head - headings of all columns or main captions and their sub captions
* Field or body - the cells in rows and columns

**C. Notations**

* Footnotes, if necessary
* Source
* Principles of Table construction:

There are certain generally accepted principles of rules relating to construction of tables. They are:

1. Every table should have a title.
2. Every table should be identified by a number to facilitate easy reference
3. The captions (or column headings) should be clear and brief.
4. The units of measurement under each heading must always be indicated.
5. Any explanatory footnotes concerning the table itself are placed directly beneath the table and in order to obviate any possible confusion with the textual footnotes such reference symbols as the asterisk (\*) dagger (+) and the like may be used.
6. If the data in a series of tables have been obtained from different sources, it is ordinarily advisable to indicate the specific sources in a place just below the table.
7. Usually columns are separated from one another by lines. Lines are always drawn at the top and bottom of the table and below the captions.
8. The columns may be numbered to facilitate reference.
9. All column figures should be properly aligned. Decimal points and 'plus' or 'minus' signs should be in perfect alignment.
10. Columns and rows which are to be compared with one another should be brought close together.
11. Totals of rows should be placed at the extreme right column and totals of columns at the bottom.
12. In order to emphasize the relative significance of certain categories, different kinds of type, spacing and indentations can be used.
13. The arrangement of the categories in a table may be chronological, geographical, alphabetical or according to magnitude. Numerical categories are usually arranged in descending order of magnitude.
14. Miscellaneous and exceptional items are generally placed in the last row of the table.
15. Usually the larger number of items are listed vertically. This means that a table's length is more than its width.
16. Abbreviations should be avoided whenever possible and ditto marks should not be used in a table.
17. The table should be made as logical, clear, accurate and simple as possible.

***Frequency Distribution and Class-intervals***

Variables that are classified according to magnitude or size are often arranged in the form of a frequency table. In constructing this table it is necessary to determine the number of class-intervals to be used and the size of the class-intervals.

A distinction is usually made between continuous and discrete variables. A continuous variable has an unlimited number of possible values racing between the lowest and the highest, with no gaps or breaks, e.g., Age, Weight and Temperature.

A Discrete variable can have a series of specified values with no possibility of values between those points. Each value of a discrete variable is distinct and separate, e.g., persons, houses, books.

In practice, all variables are treated as discrete units, the continuous variables being stated in some discrete unit size according to the needs of a particular situation. For example, length is described in discrete units of millimetres or tenth of an inch.

Class-intervals: Ordinarily the number of class-intervals may not be less than 5 and not more than 15, depending on the nature of the data and the number of cases being studied. After noting the highest and lowest values and the features of the data, the number of intervals can be easily determined.

One-way tables: Frequency tables present the distribution of cases on only a single dimension or variable. For example, distribution of respondents by sex, distribution of respondents by religion, socio-economic status of respondents and the like are shown in one-way tables.

Two-way tables: Distribution in terms of two or more variables and the relationship between two variables are shown in two-way tables. The categories of one variable are presented, one below another, on the left margin of the table and those of another variable at the upper part of the table, one by the side of another. The cells represent particular combinations of both variables. To compare the distribution of cases raw numbers are converted into percentages based on the number of cases in each category.

***Analysis and Interpretation of Data***

Data analysis involves critical thinking. This is done only after collecting all the data and always focused on the research problems and the hypothesis and questions rose in the statement of the problem. Here the research compiles or summarizes the results in a logical order usually in relation to the hypotheses and objectives of the study.

After a brief introduction on the main results or features of the findings of the study, the data are described and interpreted in sufficient detail leading to the ultimate conclusion. Tables, graphs and illustrations are used to present the data more clearly and economically.

In brief, analysis involves examination and evaluation of some phenomenon by dividing it into some constituent parts and identifying the relationships among the parts in the context of the whole. You then interpret the relationships to explain or make some intended generalization governing the behaviour of the phenomenon.

***Drawing Conclusions and Recommendations***

The researcher summarizes the main findings of his study and the implications. Conclusions summarize the main results of the research and describe what they mean for the general field. Briefly describe what you did, consider suggesting future research to follow up where your research ended.

***Graphic representations***

***Meaning and importance***

Graphic presentation involves use of graphics, charts and other pictorial devices. These forms and devices reduce large masses of statistical data to a form that can be quickly understood at a glance. The meaning of figures in tabular form may be difficult for the mind to grasp or retain.

Properly constructed graphs and charts relieve the mind of burdensome details by portraying facts concisely, logically and simply. They, by emphasizing new and significant relationships, are also useful in discovering new facts and in developing hypotheses.

The device of graphic representation is particularly useful when the prospective readers are non-technical people or general public. It is useful to even technical people for dramatizing certain points about the data, for important points can be more effective captured in pictures than in tables. However, graphic forms are not substitutes for tables, but are additional devices.

***Types and General Rules***

The most commonly used graphic forms may be grouped into the following categories:

* Line graphs or charts
* Bar Charts
* Segmental representations
* Pictographs
* Line Graphs

The line graph is useful for showing changes in data relationships over a period of time. In this graph, figures are plotted in relation to two interesting lines or axes. The horizontal line is called the abscissa or X-axis and the vertical, the ordinal or Y-axis.

The point at which the two axes, interest is zero for both X and Y. The '0' is the origin of coordinates. The two lines divide the region of the plane into four sections known as quadrants, which are numbered anti-clockwise.

Measurements to the right and above '0' are positive (plus), and measurements to the left and below '0' are negative (minus). Any point in the plane of the two axes is plotted in terms of the two axes reading from the origin '0'.

Scale intervals in both the axes should he equal. If a part of the scale is omitted, a set of parallel jagged lines should be used to indicate the break in the scale. The time dimension or independent variable is represented by the X-axis and the other variable by Y-axis.

***Histogram***

This is another form of line chart used for presenting a frequency distribution. It is constructed by erecting vertical lines on the limits of the class intervals marked on the base line. The vertical lines so drawn from a series of contiguous rectangles or columns. The Width of each rectangle represents its class interval, and the height represents the class frequency.

***Frequency Polygons***

It is often more convenient to draw a frequency polygon instead of drawing a histogram of a distribution. In laying out a frequency polygon, the frequency of each class is located at the midpoint of the interval and the plotted points are then connected by straight lines.

If two or more series are shown on the same graph, the curves can be made with different kinds of ruling. If the total number of cases in the two series is of different size, the frequencies are often reduced to percentages. The frequency polygon is particularly appropriate for portraying continuous series. It is sometimes desirable to portray the data by a smoothed curve. The chart is then called a frequency curve.

***Ogive***

The ogive is a line chart plotted on arithmetic graph paper from a cumulative frequency distribution, which may be cumulated downward or upward. It is useful in representing population, per capita income, per capita earnings etc.

Two or more distributions may be compared by converting the data of the distributions to percentages of the total, then cumulating the percentages and plotting the ogives on the same grid. The differences in steepness and shape of the ogives facilitate comparative observations.

***Lorenz Curve***

The Lorenz Curve is a line chart used to compare the proportionality in two quantitative variables. It is commonly used to show the degree by which the distribution of income per family departs from the distribution' of the number of families; it shows that it disparate proportion of the income goes to a few families.

***Bar Charts***

These charts consist of either vertical or horizontal bars to represent variables. The length of the bars varies corresponding to the values of the variable. Bar charts are the most effective pictorial device for comparing data.

The bars may be depicted in solid blocks or in patterns of dots, dishes etc. They may be of different forms: (1) linear or one-dimensional, (2) areal or two-dimensional, and (3) cubic or three-dimensional. The actual numerical values may be shown on the X-axis or Y-axis, as the case may be, or at the immediate ends of the bars.

***Pie or Circle Charts***

The circle or pie chart is a component parts chart. The component parts form the segments of the circle. The circle chart is usually a percentage chart. The data are converted to percentage of the total; and the proportional segments, therefore, give a clear picture of the relationship among the component parts.

***Pictograms***

A pictogram is a variation of the bar chart. In it the values are represented by identical symbol or pictures. Each one representing a fixed size of the variable. The symbols used may be appropriate to the type of data.

***W***

***hat are Costs and Revenue?***

Healthy service providers are having to carefully manage the use of scarce resources while meeting a growing demand for services and rising expectations for quality.

Conducting cost and revenue analyses can greatly increase managers' understanding of the factors that affect resource use, including staffing patterns, service mix, service practices, and procurement. The information these analyses generate helps managers consider different ways of producing services in order to reduce costs, increase revenues, or both.

Conducting a cost and revenue analysis is particularly useful to organizations that are trying to meet major management challenges, such as expanding existing services, integrating new services, or working toward financial sustainability.

***U***

***nderstanding How Cost and Revenue Analysis Can Help Financial Sustainability***

Managers today in both the public and private sectors must determine what actions to take now to ensure the financial sustainability of their organizations in the future. Analysing the costs involved in providing services and the sources and flow of revenues helps managers make decisions about the best use of resources and ways to recover costs.

Conducted together, cost and revenue analyses help managers answer key management questions, such as:

* What portion of the organization's costs is covered by service revenues?
* How can a facility or an organization provide quality services at the lowest cost?
* What are the financial implications of changing the mix of services?

In the days before the personal computer, the tools that managers used to conduct cost and revenue analyses consisted of paper spreadsheets in which data were entered and tabulated manually. But with the widespread availability and use of computers, electronic spreadsheet tools have made cost and revenue analyses faster and simpler.

Electronic spreadsheets re-tabulate new input data automatically, making it easy to project future cost and revenue scenarios. They allow managers to consider the possible impact of making changes such as adding new services, creating new facilities, or changing staff utilization.

Managers can use electronic spreadsheets to look at both the clinical and the financial factors that affect cost recovery and financial sustainability.

These factors include the:

* mix of services;
* staffing patterns;
* amount of time staff members spend delivering services;
* amount of time staff members spend on administrative tasks;
* use of non-staff resources (supplies, medicine, facility, etc.)
* income of a service measured against its costs;
* achievement of established performance objectives;
* sharing of revenues among different categories of service and/or among several facilities

It is important to keep in mind that the information provided by a cost and revenue analysis is only one aspect of strategic planning. Factors such as quality, equity, the presence of alternative service providers, and client needs must also be taken into account. Managers should consider the findings from a cost and revenue analysis along with other factors when making decisions.

***C***

***onsidering the Benefits of Cost and Revenue Analyses***

Cost and revenue analyses provide you with the financial and operational information needed for making good management decisions.

These analyses help you to take a close look at the efficiency of your existing programs and identify changes to improve cost efficiency. Cost and revenue analyses also help you to explore the potential impact of your management decisions.

Cost and revenue analyses can help you determine:

* how to reduce costs in order to ensure the long-term viability of your organization;
* how to produce the greatest total increase in your revenues relative to your costs;
* the most cost efficient process for delivering your services

**C**

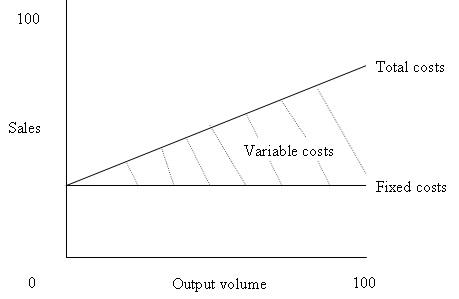
**osts, revenue and profit** are basic but crucial parts of the financial analysis of a business and it is on the comparison of these three things that success is judged.

***Costs:***

Costs are described as **fixed** or **variable**.

***Fixed costs:***

* Fixed costs are incurred and have to be paid regardless of the volume produced and sold. They are the costs of running a business such as heating, lighting, rent, insurance, marketing and so on.

***Variable costs:***

* In contrast, **variable costs** are directly related to the job and so change with the level of output. The best example of a direct cost is the raw materials that go into making a product.

Fixed costs plus variable costs are known as **total costs**:

***Revenue:***

This is the total amount of money coming in to a business from sales of goods or services. It is a ‘top-line’ figure that excludes deductions of tax, interest and dividend payments. It also usually excludes discounts for early payments and customer returns.

***Profit:***

This is often referred to as the ‘bottom-line’ and is the result of subtracting costs from total revenue. It can be expressed as gross profit which is revenue minus the variable cost of goods. It can also be expressed as net profit which also takes off the relevant amount for fixed costs, tax and so on. Profit is perhaps the most important indicator of how well a business doing.

Various calculations, or ratios, can be used to analyse the relationship between costs, revenue and profit. One would be the profit margin. This is found by dividing the profit figure into the revenue figure and allows you to see how well the company controls its costs to turn revenue into profit.

On the following page we will read an extensive case study of Cameron’s’ balloons. Take time to study the information thoroughly.

***T***

***he Breakdown of a Balloon***

Cameron Balloons produce a wide range of products. They are almost certainly best known for their conventional balloons, but even these come in a wide range. They range from a very small single person envelope that suspends a single-seater metal frame rather than a basket, to the huge envelopes used by commercial passenger carrying operations.

If you were thinking of buying a hot-air balloon, there are various bits you will need if you want to fly it. The example we have taken is a balloon model - Type 'N90' - one of the standard models which Cameron Balloons make.

This model would be suitable for sponsorship or advertising use. The total cost of the balloon is around R21, 885 (2000 price), but there are 3 major elements to this cost. These are the envelope, basket and burners.

However, you need more than just these three bits to go flying. Any attempt to hang an envelope over a basket and fire hot-air into it is sure to end in an embarrassing failure. A whole range of other odds and ends are needed to complete the picture. The links around the balloon below take you to the glossary section to give you further details on that particular item.

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| |  |  |  |  | | --- | --- | --- | --- | |  | | | | | Envelope R10440   Envelope scoop R410   Padded covers (4) R 196   Inflator fan R 1120 | Costing a Balloon | | Artwork Price - depends what you would like!   Shadow double burner R 3420   Basket R 2440   Fuel cylinders (4) R 2348 | | Tether line (50m) R 126 | Other equipment R 264 | Cushion floor R 176 | Instruments R 945 | |

Total Balloon Cost: R21885 (2000 price) (for a 3-4 person balloon). These prices refer to the low season which runs from 31 August to 1 Jan. In the high season an envelope will cost around R12, 220.

***Explanation***

The process of producing the balloons has a number of stages. Production starts with the design team passing on the detailed design of all the panels. This will often be in the form of templates that have been cut on the plotter.

The cutters then cut the cloth according to the templates. This is done on the cutting tables and as the cutters pull the cloth from the reels, it is drawn in front of large lights. This is to try to spot any imperfections in the cloth. It is much cheaper to correct these at this early stage, than to re-build a finished balloon!

The cut panels are then passed on to a team of sewers. A team is usually made up of around 5 machinists with a team leader. This team will usually follow through the production of the whole envelope. They sew all the panels together and sew in the tapes that carry the loads of the balloon down to the stainless steel frame around the basket.

The artwork will be put onto the balloon either before or after this stage. Sometimes the artwork may be dyed into the fabric before sewing using a dye-sublimation technique (this is done by outside contractors); though more often it is done by the artwork department at Cameron's. Sometimes it is airbrushed on and sometimes it is stuck on.

Meanwhile, all the rest of the balloon has to be produced as well. There is the basket, the burners and all the rigging to be done, as well as many of the ancillary items. The baskets are made by an outside contractor but finished by Cameron's. This means putting on the padding and fitting all the internal pieces. Finally it is all put together by the engineering department, and passed over to the lucky customer.

***Theories***

There are various theories about production that it may be helpful to know when considering the way Cameron Balloons produce their product. Production of balloons is a very different activity to mass production of consumer items.

***Job / Batch / Flow Production***

Job production - this is a method of production where companies use all their factors of production to complete one job at a time. This will usually happen where products are all unique or they are being produced on a very small scale. Batch production - this is a method of production where one operation is completed on a number of units of the product, before they are then passed on to the next stage of the process.

Flow production - this is where production takes place as a continuous process. The product flows from one process onto the next. This will usually happen where the product is standardised, and can be made using a production line method.

***Labour / Capital Intensive***

***Labour intensive*** - this is where the proportion of labour used in producing the product is relatively high. Labour will usually be used instead of capital. ***Capital intensive*** - this is where techniques are used to produce items that use relatively more capital than labour. Many industries are now like this including the car and steel industries.

The technique that a company uses depends on several things:

* The size of the company - small companies are often not in a position to afford expensive capital equipment. Even if they could they are often not able to use it enough to justify the cost.
* The cost of the factors of production - even though a machine may be available to do the job, it may not be worthwhile if the amount of labour required costs less. Firms therefore look carefully at the cost of labour and capital before deciding how much to use.
* The product - some products lend themselves better to being produced by capital than others. Mass-produced everyday items are far more likely to be produced in a capital-intensive way, whereas services

***Costs***

The firm incurs a variety of costs when it produces and we split these in various ways. One way is to split them into fixed costs and variable costs:

* Fixed costs - these are costs that do not vary as the level of production varies. These include such things as rent, business rates and security costs.
* Variable costs - these are costs that do vary as output varies and so will include things like raw materials, labour costs and energy costs and so on.

Another very similar way to split costs is into direct costs and indirect costs:

* Direct costs - these are similar to variable costs, and are costs that can be directly attributed to the production of each unit of the good. This will therefore be things like the cost of the raw materials, the packaging, the labour time that went into the production (if that can be clearly identified) and so on.
* Indirect costs - these are more commonly known in practice as overheads, and are general costs that are not specifically related to the product. They may be things like marketing and distribution costs, the cost of secretarial staff, the cost of the premises (rent and so on) and general bills like phone bills.

***Efficiency***

It is vital to a company to ensure they are efficient. Although Cameron Balloons is the clear leader in the hot-air balloons market, it is nevertheless a very competitive market and has suffered in the past from 'over capacity'. They therefore have to keep a careful eye on how their costs compare. One of the ways they may do this is to look at the level of average costs. The average cost is calculated as follows:

Average Cost =

This gives the cost per unit of production, and so one measure of efficiency. Another measure would be to look at how much each particular factor of production (labour / capital / land) manages to produce. In this way we can measure productivity. For example to calculate labour productivity:

Labour Productivity =

This can be a useful measure but does need careful interpretation. For example, who exactly do you include - all employees, or just those directly involved in production? You also have to ensure that you always calculate it consistently or it will be very difficult to draw useful conclusions.

Once you have studied the information above, discuss the questions in your groups and then prepare to give the rest of your class feedback on your findings.

1. Would you classify the production of balloons as capital-intensive or labour-intensive? Give reasons for your answer.

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1. What are the main factors that affect the decision of a manufacturing company about where to locate?

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1. Which of these might be particularly important in the case of Cameron Balloons?

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1. Bloemfontein has become perhaps the ballooning capital of South Africa. Why is it important for Cameron's to be located there?

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The fabric for the balloon envelopes is currently cut on cutting tables by hand. There are now moving-bed cutters available that will automate this process, and cut the fabric according to computer templates. There are two main types of cutter - one uses a high powered water jet to cut the fabric and the other a laser.

1. What advantages might there be from using these new machines?

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1. What disadvantages might there be?

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The costs of making a balloon split between direct and indirect costs. For standard balloons, there is little in the way of design costs and the production costs will be a greater share of the price. However, for special shape balloons there is clearly a considerable amount of time goes into the planning and design of the product.

1. What is meant by the term direct costs?

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1. What is meant by the term indirect costs?

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***T***

***he cost of running a business***

When you are asked about the hourly cost to run your business, the first thing you might think is what your hourly pay rate is. Someone in retail may think this is enough. Many people who run service businesses don't think in terms of hourly cost.

Unfortunately, to run your business you need to know this information to understand where your break even cost is going to be - this is the minimum charge you must have per customer to maintain your business. There is a simple formula which can easily determine the hourly rate to keep the business open.

The formula below uses four parts to come up with the hourly cost to run your business:

= Your Hourly Cost

We'll look at each part of the formula so you can understand why you need to know that number. Use a weekly average for each number to get the hourly cost.

***Pay***

This is the hourly cost to pay yourself to run your business, or what you would pay an employee to do your job. This number could be based on what you made at previous employment before opening your business, or it could be based upon industry standards. This is the number needed to pay personal expenses and bills each week.

***Overhead***

This is the amount needed to keep your business running properly. To find the hourly cost of your business overhead, you will need other numbers. Some of the numbers to include would be cost of utilities, taxes, insurance, maintenance, fuel, Internet access, and any other expense for items which are used on a near daily basis to maintain your operation.

***Profit Margin***

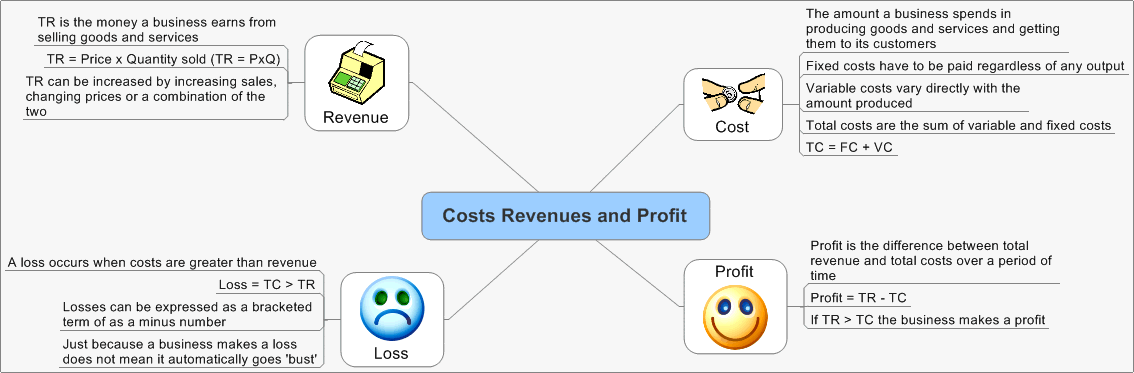
Profit margins are the amount above basic operating costs to build revenue. Figuring your profit margin is accomplished by using a percentage, which is is based upon the sum of the previous two items above. To find the hourly cost to run your business profitably you need to take your hourly pay plus your overhead, then divide that by a percentage to find a number for your profit margin.

We'll use a contractor job as an example. If I wanted to earn R15 per hour, and a job took me an hour to finish, I'd make R15. The supplies I used to do the job would include materials, gas, permits, insurance, and so on. Let's use R50 to cover overhead for the job. It looks like this: R15 + R50 = R65. If I want a 20% profit I would take 20% of 65 which is 13 – this would give a profit of R13 per hour.

***Working Hours***

To find the hourly cost to run your business you will also need your hourly pay; but you also need to calculate an approximate number of hours of work each week. You need a best guess for an average work week to “be” at your business.

Let's plug in numbers to show how the formula works.

* We'll go back to the contractor job at R15 per hour at 40 hours a week. This gives us R600 per week.
* Use the overhead cost estimate from above of R50 per hour and do the same math (50 x 40 = R2,000 per week).
* Take the R13 per hour profit and do the same thing (13 x 40 = R520).
* Add the totals (600 + 2,000 + 520 = 3,120).
* Divide the total by the number of hours worked (3,120 / 40 = 78).
* You would need R78 per hour to run a profitable business in this example. You can use this formula for any business.

Let’s take a look at an example:

A small superette bakes rye bread and sells it for R12 per loaf. It costs the company R7 per loaf to produce the bread, and the company has to add an additional R1.20 in tax.

Determine the superette’s profit margin on the rye bread; correct it to one decimal place

|  |
| --- |
| Profit margin =  = (R12 – R7 – R1.20) = R3.80  = 31.7% |

The bakery down the road from the superette sells rye bread at R10.50 per loaf. It costs the bakery R6.30 per loaf to produce the bread plus the additional R1.20 in tax. Which company makes more profit on their rye bread, give a reason for your answer.

|  |
| --- |
| Profit margin =  = (R10.50 – R6.30 – R1.20) = R3.00  = 28.57% ≈ 28.6%  The superette makes a higher profit on its rye bread |

Explain how the company with the lower profit margin can adjust its pricing to make the same profit as it’s’ competitor.

|  |
| --- |
| Production costs and the tax of R1.20 cannot be changed. The bakery will have to sell its rye bread at a higher price to increase its profit margin. |

***A***

***ctivity - In Pairs***

Use the same scenario as above, answering the same questions, but in the following instances:

Situation 1 – Prices in the superette franchise has gone up by 15%, while the bakery’s franchise prices was only inflated by 13.5%; and the tax has risen by 1%. Calculate the same scenarios as above, after making the changes given.

***1 -*** A small superette bakes rye bread and sells it for R per loaf. It costs the company R7 per loaf to produce the bread, and the company has to add an additional R in tax.

Determine the superette’s profit margin on the rye bread; correct it to one decimal place

|  |
| --- |
|  |

The bakery down the road from the superette sells rye bread at R per loaf. It costs the bakery R6.30 per loaf to produce the bread plus the additional R in tax. Which company makes more profit on their rye bread, give a reason for your answer.

|  |
| --- |
|  |

Explain how the company with the lower profit margin can adjust its pricing to make the same profit as it’s’ competitor.

|  |
| --- |
|  |

Situation 2 – Prices in the superette franchise has gone up by 15%, while the bakery’s franchise prices was only inflated by 13.5%; and the tax has risen by 1%. Calculate the same scenarios as above, after making the changes given.

***2 -*** A small superette bakes rye bread and sells it for R per loaf. It costs the company R8 per loaf to produce the bread, and the company has to add an additional R in tax.

Determine the superette’s profit margin on the rye bread; correct it to one decimal place

|  |
| --- |
|  |

The bakery down the road from the superette sells rye bread at R per loaf. It costs the bakery R9.30 per loaf to produce the bread plus the additional R in tax. Which company makes more profit on their rye bread, give a reason for your answer.

|  |
| --- |
|  |

Explain how the company with the lower profit margin can adjust its pricing to make the same profit as it’s’ competitor.

|  |
| --- |
|  |

***M***

***athematics in National and Global economies***

Maths and our world…who said Maths is not beautiful?

9 x 9 + 7 = 88  
98 x 9 + 6 = 888  
987 x 9 + 5 = 8888  
9876 x 9 + 4 = 88888  
98765 x 9 + 3 = 888888  
987654 x 9 + 2 = 8888888  
9876543 x 9 + 1 = 88888888  
98765432 x 9 + 0 = 888888888

1 x 8 + 1 = 9

12 x 8 + 2 = 98

123 x 8 + 3 = 987

1234 x 8 + 4 = 9876

12345 x 8 + 5 = 98765

123456 x 8 + 6 = 987654

1234567 x 8 + 7 = 9876543

12345678 x 8 + 8 = 98765432

123456789 x 8 + 9 = 987654321

1 x 1 **=** 1

11 x 11 **=** 121

111 x 111 **=** 12321

1111 x 1111 **=** 1234321

11111 x 11111 **=** 123454321

111111 x 111111 **=** 12345654321

1111111 x 1111111 **=** 1234567654321

11111111 x 11111111 **=** 123456787654321

111111111 x 111111111**=**12345678987654321

1 x 9 + 2 = 11

12 x 9 + 3 = 111

123 x 9 + 4 = 1111

1234 x 9 + 5 = 11111

12345 x 9 + 6 = 111111

123456 x 9 + 7 = 1111111

1234567 x 9 + 8 = 11111111

12345678 x 9 + 9 = 111111111

123456789 x 9 +10= 1111111111

***A***

***ctivity – On Your Own***

Look at the pictures below, think of numbers and describe how you can see numbers in each of them:

|  |
| --- |
| http://www.math.armstrong.edu/faculty/barnard/images/world/fountain.jpg |
|  |
|  |
|  |

|  |
| --- |
| http://www.math.armstrong.edu/faculty/barnard/images/world/ceiling2.jpg |
|  |
|  |
|  |

Fibonacci asked, “How many pairs of rabbits will there be after one year?” The diagram shows the results of the first six months.

|  |  |  |
| --- | --- | --- |
| **Month** | **Diagram of Pairs of Rabbits** | **Number of Pairs** |
| **1 January** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib1.jpg | 1 |
| **1 February** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib2.jpg | 1 |
| **1 March** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib3.jpg | 2 |
| **1 April** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib4.jpg | 3 |
| **1 May** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib5.jpg | 5 |
| **1 June** | http://www.math.armstrong.edu/faculty/barnard/images/fibonacci/fib6.jpg | 8 |
| **1 July** |  |  |
| **1 August** |  |  |

***I***

***nterest***

Earlier simple interest and compound interest were studied. If you master the techniques in this section, when you start working and earning you will be able to apply the techniques in this chapter to critically assess how to invest your money.

And when you are looking at applying for a bond from a bank to buy a home, you will confidently be able to get out the calculator and work out with amazement how much you could actually save by making additional repayments.

Indeed, this section will provide you with the fundamental concepts you will need to confidently manage your finances and with some successful investing, sit back on your yacht and enjoy the millionaire lifestyle.

***Finding the Length of the Investment or Loan***

Previously, we used the Compound Interest formula A = P (1 + i) n to determine the term of the investment or loan, by trial and error. Remember that P is the initial amount, A is the current amount, *i* is the interest rate and *n* is the number of time units (number of months or years).

So if we invest an amount and know what the interest rate is, then we can work out how long it will take for the money to grow to the required amount. Now that you have learnt about logarithms, you are ready to work out the proper algebraic solution.

The basic finance equation is: ***A* = *P* x (1 + *i*) *n***

Solving for *n*:

*A* = *P*(1 + *i*)*n*

(1 + *i*)*n* = (*A/P*)

log((1 + i)*n*) = log(*A/P*)

*n* log(1 + i) = log(*A/P*)

*n* = log(*A*/*P*)/ log(1 + *i*)

Remember, you do not have to memorise this formula. It is very easy to derive any time you need it. It is simply a matter of writing down what you have, deciding what you need, and solving for that variable.

Let’s take a look at an example:

|  |
| --- |
| Question: Suppose we invested R3 500 into a savings account which pays 7, 5% compound interest. After an unknown period of time our account is worth R4 044, 69. For how long did we invest the money? How does this compare with the trial and error answer from Chapters?  **Answer**  Step 4 : Determine what is given and what is required  • P=R3 500  • i=7,5%  • A=R4 044,69  We are required to find n.  **Step 5 : Determine how to approach the problem**  We know that:  A = P(1 + i)n  (1 + i)n = (A/P)  log((1 + i)n) = log(A/P)  n log(1 + i) = log(A/P)  n = log(A/P)/ log(1 + i)  **Step 6 : Solve the problem**  n = log(A/P)/ log(1 + i)  = log Remember that:7.5% = = = 0.075  = 2.0  **Step 7 : Write final answer**  The R3 500 was invested for 2 years. |

***A Series of Payments***

By this stage, you know how to do calculations such as ‘If I want R1 000 in 3 years’ time, how much I need to invest now at 10%?’ What if we extend this as follows: ‘If I want to draw R1 000 next year, R1 000 the next year and R1 000 after three years ... how much do I need to initially put into a bank account earning 10% p.a. to be able to afford to be able to do this?’

The obvious way of working that out is to work out how much you need now to afford the payments individually and sum them. We’ll work out how much is needed now to afford the payment of R1 000 in a year (= R1 000 × (1,10)−1 = R909,09), the amount needed now for the following year’s R1 000 (= R1 000 × (1,10)−2 = R826,45) and the amount needed now for the R1 000 after 3 years (= R1 000 × (1,10)−3 = R751,31). Add these together gives you the amount needed to afford all three payments and you get R2 486, 85.

So, if you put R2 486,85 into a 10% bank account now, you will be able to draw out R1 000 in a year, R1 000 a year after that, and R1 000 a year after that - and your bank account will come down to R0. You would have had exactly the right amount of money to do that (obviously!).

You can check this as follows:

Amount at Time 0 (i.e. Now) = R2 486, 85

Amount at Time 1 (i.e. a year later) = 2 486, 85(1+10%) = R2 735, 54

Amount after withdrawing R1 000 = 2 735, 54 - 1 000 = R1 735, 54

Amount at Time 2 (i.e. a year later) = 1 735, 54(1+10%) = R1 909, 09

Amount after withdrawing R1 000 = R1 909, 09 - 1 000 = R909, 09

Amount at Time 3 (i.e. a year later) = 909, 09(1+10%) = R1 000

Amount after withdrawing R1 000 = 1 000 - 1 000 = R0

Perfect! Of course, for only three years, that was not too bad. But what if we asked you how much you needed to put into a bank account now, to be able to afford R100 a month for the next 15 years. If you used the above approach you would still get the right answer, but it would take you weeks!

There is an easier way! This section will focus on describing how to work with:

* **Annuities** - a fixed sum payable each year or each month, either to provide a pre-determined sum at the end of a number of years or months (referred to as a future value annuity) or a fixed amount paid each year or each month to repay (amortise) a loan (referred to as a present value annuity).
* **Bond** repayments - a fixed sum payable at regular intervals to pay off a loan; this is an example of a present value annuity.
* **Sinking** funds - an accounting term for cash set aside for a particular purpose and invested so that the correct amount of money will be available when it is needed. This is an example of a future value annuity.

***S***

***equences and Series***

The simplest type of numerical sequence is an arithmetic sequence. ***Definition:*** Arithmetic Sequence is an arithmetic (or linear) sequence is a sequence of numbers in which each new term is calculated by adding a constant value to the previous term.

For example, 1, 2, 3, 4, 5, 6… is an arithmetic sequence because you add 1 to the current term to get the next term:

First term: 1

Second term: 2=1+1

Third term: 3=2+1

nth term: n = (n − 1) + 1

***Activity – On Your Own***

Common Difference: Find the constant value that is added to get the following sequences and write out the next 4 terms.

1. 2 6 10 14 18 22

2. −5 − 3 − 1 1 3 5 ­

3. 1 4 7 10 13 16

4. −1 10 21 32 43 54

5. 3 0 − 3 − 6 − 9 − 12

More formally, the number we start out with is called a1 (the first term), and the difference between each successive term is denoted d, called the common difference. The general arithmetic sequence looks like:

a1 = a1

a2 = a1 + d

a3 = a2 + d = (a1+d) + d = a1 + 2d

a4 = a3 + d = (a1 + 2d) + d = a1 + 3d…

an = a1 + d x (n – 1)

Thus the equation for the nth –term will be:

an = a1 + d x (n-1)

Given a1 and the common difference, d, the entire set of numbers belonging to an arithmetic sequence can be generated.

***Definition: Arithmetic Sequence***

An arithmetic (or linear) sequence is a sequence of numbers in which each new term is calculated by adding a constant value to the previous term:

an = an−1 + d (3.2)

Where

* an represents the new term, the nth-term, that is calculated;
* an−1 represents the previous term, the (n − 1)th-term;
* d represents some constant.

***Test for Arithmetic Sequences***

A simple test for an arithmetic sequence is to check that the difference between consecutive terms is constant:

a2 − a1 = a3 − a2 = an − an−1 = d (3.3)

This is quite an important equation, and is the definitive test for an arithmetic sequence. If this condition does not hold, the sequence is not an arithmetic sequence.

***G***

***eometric Sequences***

***Definition: Geometric Sequences*** - A geometric sequence is a sequence in which every number in the sequence is equal to the previous number in the sequence, multiplied by a constant number. This means that the ratio between consecutive numbers in the geometric sequence is a constant.

We will explain what we mean by ratio after looking at the following example.

***A Flu Epidemic***

***Extension: What is influenza?***

Influenza (commonly called “the flu”) is caused by the influenza virus, which infects the respiratory tract (nose, throat, lungs). It can cause mild to severe illness that most of us get during winter time. The main way that the influenza virus is spread is from person to person in respiratory droplets of coughs and sneezes. (This is called “droplet spread”.) This can happen when droplets from a cough or sneeze of an infected person are propelled (generally, up to a metre) through the air and deposited on the mouth or nose of people nearby. It is good practise to cover your mouth when you cough or sneeze so as not to infect others around you when you have the flu.

Assume that you have the flu virus, and you forgot to cover your mouth when two friends came to visit while you were sick in bed. They leave, and the next day they also have the flu. Let’s assume that they in turn spread the virus to two of their friends by the same droplet spread the following day. Assuming this pattern continues and each sick person infects 2 other friends, we can represent these events in the following manner:

|  |  |
| --- | --- |
| Day, *n* | Number of newly-infected people |
| 1 | 2 = 2 |
| 2 | 4 = 2 x 2 = 2 x 21 |
| 3 | 8 = 2 x 4 = 2 x 2 x 2 = 2 x 22 |
| 4 | 16 = 2 x 8 = 2 x 2 x 2 x 2 = 2 x 23 |
| 5 | 32 = 2 x 16 = 2 x 2 x 2 x 2 x 2 = 2 x 24 |
| … | … |
| *n* | = 2 x 2 x 2 x 2 x … x 2 = 2 x 2*n*-1 |

Again we can tabulate the events and formulate an equation for the general case: Each person infects two more people with the flu virus.



The above table represents the number of newly-infected people after n days since you first infected your 2 friends.

You sneeze and the virus is carried over to 2 people who start the chain (a1 = 2).

The next day, each one then infects 2 of their friends. Now 4 people are newly-infected. Each of them infects 2 people the third day, and 8 people are infected, and so on.

These events can be written as a geometric sequence:

2; 4; 8; 16; 32; . . .

Note the common factor (2) between the events. Recall from the linear arithmetic sequence how the common differences between terms were established. In the geometric sequence we can determine the common ratio, r, by

= = *r*

Or a more general way

***Activity – On Your Own***

Common Factor of Geometric Sequence: Determine the common factor for the following geometric sequences:

1. 5 10 20 40 80

2.

3. 7 28 112 448

4. 2 6 18 54

***Present Values of a series of Payments***

So having reviewed the mathematics of Sequences and Series, you might be wondering how this is meant to have any practical purpose! Given that we are in the finance section, you would be right to guess that there must be some financial use to all this. Here is an example which happens in many people’s lives - so you know you are learning something practical.

Let us say you would like to buy a property for R300 000, so you go to the bank to apply for a mortgage bond. The bank wants it to be repaid by annually payments for the next 20 years, starting at end of this year. They will charge you 15% interest per annum. At the end of the 20 years the bank would have received back the total amount you borrowed together with all the interest they have earned from lending you the money. You would obviously want to work out what the annual repayment is going to be!

Let X be the annual repayment, i is the interest rate, and M is the amount of the mortgage bond you will be taking out. Time lines are particularly useful tools for visualizing the series of payments for calculations, and we can represent these payments on a time line as:

The present value of all the payments (which includes interest) must equate to the (present) value of the mortgage loan amount. Mathematically, you can write this as:

*M = X (1+i)-1 +X (1+i)-2 +X (1+i)-3+X (1+i)-4+X (1+i)-5+… X (1+i)-20*

The painful way of solving this problem would be to do the calculation for each of the terms above - which is 20 different calculations. Not only would you probably get bored along the way, but you are also likely to make a mistake.

Naturally, there is a simpler way of doing this! You can rewrite the above equation as follows:

M = X [v1 + v2 + v3 + ... + v20]

Where vi = (1 + i)−1 = 1/(1 + i)

Of course, you do not have to use the method of substitution to solve this. We just find this a useful method because you can get rid of the negative exponents - which can be quite confusing! As an exercise - to show you are a real financial whizz - try to solve this without substitution. It is actually quite easy.

Now, the item in square brackets is the sum of a geometric sequence, as discussed earlier. This can be re-written as follows,

v1 + v2 + v3 + … + v*n* = v (1 + v + v2 + … + v*n-1*)

= *v* ()

=

=

Note that we took out a common factor of v before using the formula for the geometric sequence. So we can write:

*M = X []*

This can be rewritten:

So, this formula is useful if you know the amount of the mortgage bond you need and want to work out the repayment, or if you know how big a repayment you can afford and want to see what property you can buy.

For example, if I want to buy a house for R300 000 over 20 years, and the bank is going to charge me 15% per annum on the outstanding balance, then the annual repayment is:

*X* =

=

= R4 792 844

This means, each year for the next 20 years, I need to pay the bank R47 928, 44 per year before I have paid off the mortgage bond. On the other hand, if I know I will only have R30 000 a year to repay my bond, then how big a house can I buy? That is easy…

*M* = *X []*

= R30 000

= R187 779, 90

So, for R30 000 a year for 20 years, I can afford to buy a house of R187 800 (rounded to the nearest hundred).

The bad news is that R187 800 does not come close to the R300 000 you wanted to pay! The good news is that you do not have to memorise this formula.

***W***

***orked Example: Monthly mortgage repayments***

Question: Sam is looking to buy his first flat, and has R15 000 in cash savings which he will use as a deposit. He has viewed a flat which is on the market for R250 000, and he would like to work out how much the monthly repayments would be. He will be taking out a 30 year mortgage with monthly repayments. The annual interest rate is 11%.

**Step 1:** Determine what is given and what is needed

The following is given:

• Deposit amount = R15 000

• Price of flat = R250 000

• Interest rate, i = 11%

We are required to find the monthly repayment for a 30-year mortgage.

**Step 2:** Determine how to approach the problem

We know that:

In order to use this equation, we need to calculate M, the amount of the mortgage bond, which is the purchase price of property less the deposit which Sam pays up-front.

M = R250 000 − R15 000

= R235 000

Now because we are considering monthly repayments, but we have been given an annual interest rate, we need to convert this to a monthly interest rate, *i*12.

(1 + *i*12)12 = (1 + *i*)

(1 + *i*12)12 = 1, 11

*i*12 = 0,873459%

We know that the mortgage bond is for 30 years, which equates to 360 months.

**Step 3:** Solve the problem

Now it is easy, we can just plug the numbers in the formula, but do not forget that you can always deduce the formula from first principles as well!

That means that to buy a flat for R250 000, after Sam pays a R5 000 deposit he will make repayments to the bank each month for the next 30 years, equal to R2 146, 39.

***A***

***nswers to activities***

***Activity 1 – In Pairs***

The following is a scenario of entrepreneurship of Poseletso. Read through the section and then answer the questions as you go along.

1. Poseletso was given permission from the headmaster at her school to sell stationery to other learners, after school, in the school hall. Over the weekend she stocks upon blue pens, green pens, pencils, erasers, rulers and calculators. The table below shows how many of each item she purchases on average each month; complete the table by calculating the missing values in the last column:

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **Number bought** | **Amount paid per item (R)** | **Total amount paid for items (R)** |
| Blue pens | 100 | R 1, 50 | R 150.00 |
| Green pens | 70 | R 1, 75 | R 122.50 |
| Pencils | 150 | R 0,90 | R 135.00 |
| Rulers | 25 | R 2,10 | R 52.50 |
| Erasers | 50 | R 3, 70 | R 185.00 |
| Calculators | 25 | R 89, 90 | R 2 247.50 |

1. What is the total amount Poseletso plans on spending per month?

|  |
| --- |
| R 2 892.50 |

1. To be able to afford this amount, she takes a loan of R3 500 from her father. Poseletso agrees to pay him back within one year with 7.5%simple interest added to the loan amount. How much money will Poseletso have to pay her father in a year’s time?

|  |
| --- |
| A = P (1 + in)  = 2 892.50 (  = 3 109.44 |

1. Her sales for the for first four weeks are shown in the table below:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Item | Week 1 | Week 2 | Week 3 | Week 4 | Numbers sold p’month |
| Blue pens | 11 | 14 | 12 | 23 | 60 |
| Green pens | 5 | 17 | 10 | 7 | 39 |
| Pencils | 20 | 21 | 43 | 38 | 122 |
| Rulers | 9 | 13 | 6 | 22 | 50 |
| Erasers | 5 | 5 | 6 | 2 | 18 |
| Calculators | 1 | 6 | 5 | 8 | 20 |

1. Poseletso sells the stationery at the following unit prices: Which of the listed items should she buy fewer of per month to increase her profit margin? Motivate your answer.

|  |
| --- |
| Calculators, they are expensive and Poseletso does not sell them all in an average month. |

1. Calculate how much money would she have made after one month

|  |
| --- |
| 60 x R2.00 = R120.00  39 x R2.00 = R78.00  50 x R4.00 = R200.00  122 x R1.50 = R183.00  18 x R3.00 = R57.00  20 x R100.00 = R2000.00  Total of R2 635.00 |

1. Will she have made a profit after one month? Motivate your answer.

|  |
| --- |
| No, as she has spent more than she collected in the first month |

1. If the business is running for ten months of the school year, how much will Poseletso pay Lerato in that school year?

|  |
| --- |
| 8 x R150.00 = R1 200 |

1. Calculate the total amount of money Poseletso would have spent in the ten months of the school year.

|  |
| --- |
| (R2 892.50 x 10) + R 1 200.00 = R30 125.00 |

1. Calculate the amount of money Poseletso would have made in these ten months of the school year.

|  |
| --- |
| R 2 635 x 10 = R26 350 |

1. Did Poseletso make a profit at the end of the school year? Motivate your answer.

|  |
| --- |
| No, she did not make a profit. She spent far more than she has made and she has not paid her fathers’ money back yet. |

1. If Poseletso does not increase the prices of her items, but buys sufficient monthly stock for the requirements of her peers, will she make a profit or at least break even? Show all your calculations.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| If Poseletso buys only the number of items her peers need on average, she will spend the following each month:   |  |  |  | | --- | --- | --- | | Item | Sold per month | Amount spent | | Blue pens | 60 | R90.00 | | Green pens | 39 | R68.25 | | Pencils | 122 | R109.80 | | Rulers | 50 | R185.00 | | Erasers | 18 | R37.80 | | Calculators | 20 | R1 798.00 | | **Total** | | **R 2 288.85** |   Because she will spend this amount in the nine months following the first month when she collected the data, she would have spent (R2 288.85 x 9) + R 2 892.50 = R 23 492.15 in the ten months. She would receive the same amount of money at the end of the ten months, as her sales would not differ and her prices remained the same. This means that she would have still made R 26 350.00 at the end of the ten months. Poseletso needs to subtract the money that she owes her father (R3 109.44) from R 26 350.00. Therefore she will have this amount of money at the end of the year: R 26 350.00 – R 23 492.15 – R 3 109.44 = - R 251.59. Therefore she would not have made a profit. |

1. Suggest how Poseletso could have saved her business

|  |
| --- |
| She could have worked alone and/or increased her prices marginally as her products were selling. |

***Practise activities:***

1. Which of these two investments will yield the highest return if R10 000 is invested at simple interest? Show your calculations.

|  |  |  |
| --- | --- | --- |
| Deposit period (12 months) | Interest rate if the interest is paid monthly (10.2%) | Interest rate if interest is paid at the end of the period (10.65%) |
|  | SI = P x I x n  = 10000 x x  = 85  So R85 x 12 months = R1 020 | SI = P x I x n  = 10000 x x 1  = 1 065  So R1 065 |

1. Marco and Julia have just got engaged. They each have a lump sum which they want to invest, in order to make their funds grow sufficient for their wedding. However, they seem to disagree on who will get the best returns, as they cannot agree on which interest form to choose. So they decide to choose their own. Marco invests his R5 800 at 9% simple interest and Julia invests R4 700 at 11.75% simple interest annually. Who has the greater capital gain at the end of two years? Show your calculations.

|  |  |
| --- | --- |
| **Marco** | **Julia** |
| *A* = R5 800 (1 + 0.09 x 2) = R6 844  So R6 844 - R5 800 = R 1 044 | *A* = R4 700 (1 + 0.1175 x 2) = R5 804.50  So R5 804.50 – R4 700 = R1 104.50 |

1. Nkosi invested R7 000 at 4.5% simple interest 5 years ago, what is his capital worth now?

|  |
| --- |
| *A* = R7 000 (1 + 0.045% x 2) = R8 575 |

1. Dorothy and Jane each got a lump sum from their Grandmother when they turned 18. Because they are identical twins, everybody expected them to go to university together, but Jane decided she wanted to get married to her high school sweet heart and set up house first and then pursue her academic career. After 7 years she decided to go and study, but she invested her amount (R10 675) at a fixed, simple interest rate of 6.25%. When she got her money, she wondered if she got the same amount as Dorothy’s R7 246.09 or not? Show your calculations.

|  |  |  |
| --- | --- | --- |
| *A*  10 675  10 675    R7 246.09 | =  =  =  =  = | *P* (1 + *in*)  *P* (1 + x 7)  *P* (1.4375)  *P*  *P* |

***Activity 2 – In Pairs***

The following is a scenario of Mpumi who wants to go and study. She has an offer to assist her in the payment of her studies, but she needs to consider her options. Let’s see how we can help her. Mpumi did well in her final examinations and therefore she has been offered a bursary.

The Department of Education has offered to pay her R10 000 per annum for her studies, as long as she works in the education sector for at least 6 years, after she has completed her studies. Here are the costs for the course that she wants to do:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Year** | **1** | **2** | **3** | **4** |
| **Cost for lectures (ex VAT)** | R 20 480.00 | R 22 528.00 | R 24 780.80 | R 25 524.22 |
| **Predicted cost for study material (ex VAT)** | R 2 390.00 | R 2 509.50 | R 2 634.98 | R 2 714.03 |

Mpumi has invested R650, and she is earning 13% simple interest per year, what will her interest be after: (Remember to show your calculations)

* 4 years

|  |
| --- |
| *I* = *Pin* = 650 x x 4 = 338  The interest earned is R338 |

* 6 months

|  |
| --- |
| I = Pin = 650 x x = 42.25  The interest earned is R 42.25 |

* 2 years and 5 months

|  |
| --- |
| I = Pin = 650 x x = 204.21  The interest earned is R204.21 |

Back to Mpumi’s studies:

Calculate the percentage increase in lecture costs for all four years (excluding VAT).

|  |
| --- |
| Percentage increase between year 1 and 2:  % Increase = x 100%  = x 100%  = 10%  Percentage increase between year 2 and 3:  % Increase = x 100%  = 10%  Percentage increase between year 3 and 4:  % Increase = x 100%  = 3% |

Calculate the percentage increase in study material costs for all 4 years (excluding VAT).

|  |
| --- |
| Percentage increase between year 1 and 2:  % Increase = x 100%  = 5%  Percentage increase between year 2 and 3:  % Increase = x 100%  = 5%  Percentage increase between year 3 and 4:  % Increase = x 100%  = 3% |

Discuss the general trend in cost increase for both the cost of lectures and the cost of her study materials.

|  |
| --- |
| The general percent increase for the lectures and the study material remains constant for the first three years, even though the lectures went up by 10% and the material by only 5%. In the last year, both categories only went up 3% |

Calculate the cost for all four years that Mpumi has to pay herself.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Year** | **1** | **2** | **3** | **4** |
| **Cost for lectures (ex VAT)** | R 20 480.00 | R 22 528.00 | R 24 780.80 | R 25 524.22 |
| **Cost for lectures (inc VAT)** | R 23 347.20 | R 25 681.92 | R 28 250.11 | R 29 097.61 |
| **Predicted cost for study material (ex VAT)** | R 2 390.00 | R 2 509.50 | R 2 634.98 | R 2 714.03 |
| **Predicted cost for study material (inc VAT)** | R 2 724.60 | R 2 860.83 | R 3 003.88 | R 3 093.99 |
| **Total cost per year** | R 26 071.80 | R 28 542.75 | R 31 253.99 | R 32 191.60 |
| **Total cost after 4 years** | R 118 060.14 – R 40 000 = R 78 060.14 | | | |

Mpumi completes her studies and is appointed by the Education department. Her annual salary is R82 770.72. How much does Mpumi earn per month?

|  |
| --- |
| = R 6 897.56 per month |

Mpumi uses 15% of her monthly salary to pay back her study loan, calculate how much money she pays back monthly.

|  |
| --- |
| R 6 897.56 x = R 1 034.63: Mpumi pays back R 1 034.63 |

After how many months has Mpumi paid back her loan? And years?

|  |
| --- |
| = 75.447 months or 76 months, which means 6 years and 4 months |

Do you think that it was worthwhile for Mpumi to take out the loan the education department offered? Motivate your answer.

|  |
| --- |
| Mpumi decided to pay back 15% of her salary towards the loan. The amount she has to pay back is reasonable and she pays the amount back for just over 6 years (which is the same amount of years she needs to work in education). After this time period she has no study debt and can peruse other career opportunities if she wishes to do so. Overall, her idea to take on the loan was a good idea. |

***In***

any company the productivity of the organisation strongly determines the income generation of the organisation. The higher the income generated by the organisation, the more funds it has to channel into various areas of payments. Some of these include wage ad salary increases. But this amount is always governed by the productivity of the organisation. So when the time comes for wage negotiations and salary increases, the organisation always take into consideration what the productivity was that was achieved.

Wage negotiations are done across the board where the staff is given an equal percentage as an increase. To some staff this may result in a higher amount than others. How does this work? Let’s take a look:

John and James are both working at ABC Clothing stores. John has been at the firm for 10 years and is currently earning R8000 per month. James has only been at the company for six months and is currently earning R5000 per month. When the wage negotiations concluded, it was agreed that there will be an across-the-board increase for all staff of 9.5%.

In Johns’ case that means:

R 8000,00 x 9.5% = R8 760,00 – which means that John got an increase of R 760,00

In James’ case that means:

R 5000,00 x 9.5% = R 5475,00 – which means that James got an increase of R 475,00

In your groups, work out the increases for the following people:

Mary, Kate, Beth and Joan are also working at the ABC Clothing company, they have all been working there for the same amount of time. But they have different amounts of experience and therefore they are on different salary structures. According to the policy of the organisation, those staff with 5 or more years’ experience, fall in a higher salary bracket than the others, they earn R 6500,00 whereas the others start with R 5500,00. If the salary increases for the staff was 9.5%, and Mary and Beth had 7 years’ experience each, what would the four ladies be earning after their salary increases?

Show your calculations in the spaces given below.

Mary

|  |
| --- |
|  |

Kate

|  |
| --- |
|  |

Beth

|  |
| --- |
|  |

Joan

|  |
| --- |
|  |

Looking at the organisation as a whole, it is solely reliant on the production of the staff in producing the goods of the organisation to ensure that it can sell the goods to the organisations’ customers and produce an income, not only to sustain the expenditures but also grow the organisation. Looking at the chart below, you will find that when the income of the organisation rises, so does the expenditure as well as the growth. This is simply because when you have more money coming into the organisation it has the opportunity to produce more items.

But to produce more items, it needs more machines and more staff, which is the expenditure. Those machines that the organisation purchases, is part of the growth of the organisation. The trick is to keep the growth and income growing, but the expenditures to a minimum.

Mathematics in the workplace is used in a variety of formats, dependant on the need of the occasion as well as the audience which receive the information. In the instance above, we see the use of a graph, but then there are also percentages which are used, as we saw earlier when we worked on the increases of the staff. Then there are also ratios and proportions which are used. These are mostly used when calculating items in the same area, as they will grow together.

***For example:*** If an organisation has 20 staff members to do all the work to produce 500 bars of soap, they might have 12 people making the soap, 6 members in the administration offices and 2 people selling the products to their clients. If their orders increase to 1000, they would then require double the amount of staff, in order to produce the additional bars of soap. Let’s look at the following, in mathematical terms. Firstly, for the 500 bars of soap.

And for the instance when there are 1000 bars of soap, the staff amount effectively doubles. But the ratio has stayed the same.

But now, if the organisation decides to rather employee machines to make the additional bars of soap, rather than extra staff, there will be a difference in ration of staff in the organisation. In other words, Let’s look at the pie-chart below and find the difference of ratio’s to that of the pie-charts above.

Can you see that the production team has been cut down, because of the addition of machines, and the sales and administration has changed, due to the added workload? This is an example of ratio’s and how the ratios can change or grow in the same fashion.

Now, we can use the same information, but display it in a different manner, let’s look at some examples below:

***M***

***athematical relationships in the economy***

The ***budget*** of a company is compiled annually. A finished budget usually requires considerable effort and can be seen as a financial plan for the new financial year. While traditionally the Finance department compiles the company's budget, modern software allows hundreds or even thousands of people in the various departments (operations, human resources, IT etc.) to contribute their expected revenues and expenses to the final budget.

If the actual numbers delivered through the financial year turn out to be close to the budget, this will demonstrate that the company understands their business and has been successfully driving it in the direction they had planned. On the other hand, if the actuals diverge wildly from the budget, this sends out an 'out of control' signal and the share price could suffer as a result.

Let’s work on a simple budget of an average household, with rounded amounts for the income and expenditure for the members of the household. We will then manipulate the budget with certain forces such as interest rate hikes, increased fuel prices, higher interest rates etc.

John and Mary are the parents of Joan and Peter. Joan and Peter are still at school and have to catch the bus to school every day. John and Mary travel in their own cars to work, as they work in opposite ends of town. John and Mary bought the house they are living in when the interest rate was low. Their family budget looks as follow:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Income** | | | | | | |
| John | R 15 000,00 | | | | | | |
| Mary | R 11 000,00 | | | | | | |
| **Sub Total** | **R 26 000,00** |  |  | |  |  |  |
|  | **Expenditure** | | | | | | |
| **Low Interest Rates** | | | **High Interest Rates** | | | |
| Bond | R 7500,00 | | | R 9000,00 | | | |
| John’s Car | R 2500,00 | | | R 2750,00 | | | |
| Mary’s Car | R 1500,00 | | | R 1750,00 | | | |
| Groceries | R 2200,00 | | | R 2750,00 | | | |
| Petrol | R 1500,00 | | | R 3000,00 | | | |
| Kids Travelling | R 500,00 | | | R 550,00 | | | |
| Utilities (W&E) | R 600,00 | | | R 600,00 | | | |
| Telephones | R 200,00 | | | R 200,00 | | | |
| Sub Total | R 16500,00 | | | R 20600,00 | | | |
| **TOTAL** | **R 9500,00** | | | **R 5400,00** | | | |

Now we take this information and we put it into various formats to look at the different proportions of cost with a lower and a higher interest rate and we see how it affects the household. First we look at the ratio of income and expenditure. Because the income will stay the same during the year and the interest rates may change, there will be a difference in the amount of money the family has left after paying their bills.

Now we look at the manner in which the expenditure has risen during the interest rate hike. Although the family has used the same amounts of items as they always have, the higher interest rate has increased the prices they pay for the goods they normally use. Look at the difference in expenditures, as the prices change.

We have now seen the differences in the prices which the family will pay for their services and goods, but let’s take a look at the ratio’s, again making use of a chart format.

***S***

***ocial relation*** can refer to a multitude of social interactions, regulated by social norms, between two or more people, with each having a social position and performing a social role. In sociological hierarchy, social relation is more advanced than behaviour, action, social behaviour, social action, social contact and social interaction. Social relations form the basis of concepts such as social organization, social structure, social movement and social system. If we look at gender in social differentiation in South Africa, we find that there is a great difference between the ratios of men and women. For instance, in Parliament there are 41 ministers, of which 17 are female.

The South African Race ratios

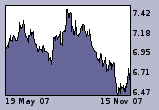
If we look at the ratios between male and female in South Africa, it looks as follow:

If we look at the ratio between males and females holding senior management or management positions in South African companies, the picture looks a lot different.

***Maths in the Media***

***Adverts***

In advertisements, the advertisers use mathematics to lay claim to their products’ specifications and abilities. By making use of numbers, the companies are able to compare their specifications with those of either other brands or previous models/products. They can then show the readers the improvement on their new products.

******

***Reports***

In reports, the media is able to show their readers what the differences are in the prices of shares, for instances. They will compare the share prices as they have increased and decreased over a period of time. This will enable the reader to see how the particular share has performed overall.

***Sports***

In sports, the use of mathematics is most often for statistics and performance of certain teams or players. These statistics will show how a team or a player has performed over a period of time or matches and it will enable the reader to compare that player with others.

|  |
| --- |
| **Overall records** |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **South Africa** based on last 50 matches | |  | **England** based on last 50 matches | | |  | | | | | |  | | | | | |  |  |  |  |  | | Won | 32% |  | 64% | Won | | Draw | 26% |  | 18% | Draw | | Lost | 42% |  | 18% | Lost | | Home Clean Sheets | 18 |  | 28 | Away Clean Sheets | | Goal strike rates | every 80 min |  | every 48 min. | Goal strike rates | | Home Goal concede rates | every 68 min. |  | every 122 min. | Away Goal concede rates | |  | | | | | | Home win | 40% |  | 50% | Away win | | Home draw | 28% |  | 22.73% | Away draw | | Home lost | 32% |  | 27.27% | Away lost | | Home Clean Sheets | 13 |  | 8 | Away Clean Sheets | | Home Goal strike rates | every 70 min. |  | every 58 min. | Away Goal strike rates | | Home Goal concede rates | every87 min. |  | every 79 min. | Away Goal concede rates | |

***M***

***athematics in political relations***

***A Census***

Politics is the process by which groups of people make decisions. Although the term is generally applied to behaviour within civil governments, politics is observed in all human group interactions, including corporate, academic, and religious institutions. Politics consists of "social relations involving authority or power" and refers to the regulation of a political unit, and to the methods and tactics used to formulate and apply policy. Looking at this statement, it is very obvious that when the decisions are being made, they will have to be based on facts which the relevant parties have gathered. The gathering and interpretation of such evidence is mostly done by means of a census. The following is an example of information which can be obtained from a census.

***Population by province for the census years 1996 and 2001:***

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  | | --- | --- | --- | | **Province** | **1996** | **2001** | | Eastern Cape | 6 302 525 | 6 436 763 | | Free State | 2 633 504 | 2 706 775 | | Gauteng | 7 348 423 | 8 837 178 | | KwaZulu-Natal | 8 417 021 | 9 426 017 | | Limpopo | 4 929 368 | 5 273 642 | | Mpumalanga | 2 800 711 | 3 122 990 | | Northern Cape | 840 321 | 822 727 | | Nort West | 3 354 825 | 3 669 349 | | Western Cape | 3 956 875 | 4 524 335 | | **South Africa** | **40 583 573** | **44 819 778** | |  |

Three different census questionnaires were developed – one for households (the A questionnaire), one for individuals in institutions (the B questionnaire), and one for the institutions themselves (the C questionnaire). The A questionnaire was also used in workers' hostels, student hostels, residential hotels and homes for the independent aged, whilst the B and C questionnaires were also used in tourist hotels and for the homeless.

The household questionnaire had space to collect information on ten people, whereas the B questionnaire had space for only one respondent. The personal questions were identical in the two questionnaires, with the exception of relationship questions, which were not relevant for individuals.

The A questionnaire also contained questions on housing, services and household goods. These questions were not in the B questionnaire, but were asked in the C questionnaire in relation to the institution as a whole. The C questionnaire also provided for a list of all the residents on census night, to be supplied by the management of the institution, against which completed B questionnaires could be checked.

***Population by sex***

The final estimates of the size of the population of South Africa as at October 2001, after adjustment for undercount, are shown in Table A below. By way of comparison, the final estimates for October 1996 are also shown.

***Table A below: The South African population in October 2001 and October 1996.***

It is seen from Table A that the population of South Africa in 2001, according to the final estimate after adjustment for undercount, was 44,8 million, as against 40,6 million in 1996. It is also seen that the proportions of men and women in the population in 2001 were 47,8% and 52,2% respectively, according to the final estimates.

***Elections***

During elections people vote for the political party which they feel should be in power and govern the country. The people will register to vote and then go and cast their votes on the day of the election. Once the deadline for the voting closes, the ballads will be tallied and the votes counted.

The outcome of these votes will then constitute the winner of the election. Mathematics is used in this instance for the tallying of the votes, the counting of the amount of people voting for a specific party in a province and then the winner of the election.

The information and data derived from the voting will also be used to compile certain statistics and then form opinions of people living in certain areas, as per their political preferences. Below there are two different versions of how people have been registered per age group, where males and females have been split, and lastly a table showing the election results.

|  |  |  |
| --- | --- | --- |
| **Global Total Registered females and males per age group** | | |
| **Female** | **Age Group** | **Male** |
| 220,316 http://www.elections.org.za/Images/female_age_pix_end.jpg220316 Female Registrations for the age group 18 - 27 | 18 - 19 | 196314 Male Registrations for the age group 18 - 27http://www.elections.org.za/Images/male_age_pix_end.jpg 196,314 |
| 2,679,956 http://www.elections.org.za/Images/female_age_pix_end.jpg2679956 Female Registrations for the age group 20 - 29 | 20 - 29 | 2395486 Male Registrations for the age group 20 - 29http://www.elections.org.za/Images/male_age_pix_end.jpg 2,395,486 |
| 2,873,576 http://www.elections.org.za/Images/female_age_pix_end.jpg2873576 Female Registrations for the age group 30 - 39 | 30 - 39 | 2529326 Male Registrations for the age group 30 - 39http://www.elections.org.za/Images/male_age_pix_end.jpg 2,529,326 |
| 2,327,738 http://www.elections.org.za/Images/female_age_pix_end.jpg2327738 Female Registrations for the age group 40 - 49 | 40 - 49 | 1945471 Male Registrations for the age group 40 - 49http://www.elections.org.za/Images/male_age_pix_end.jpg 1,945,471 |
| 1,550,397 http://www.elections.org.za/Images/female_age_pix_end.jpg1550397 Female Registrations for the age group 50 - 59 | 50 - 59 | 1282832 Male Registrations for the age group 50 - 59http://www.elections.org.za/Images/male_age_pix_end.jpg 1,282,832 |
| 999,253 http://www.elections.org.za/Images/female_age_pix_end.jpg999253 Female Registrations for the age group 60 - 69 | 60 - 69 | 686643 Male Registrations for the age group 60 - 69http://www.elections.org.za/Images/male_age_pix_end.jpg 686,643 |
| 638,958 http://www.elections.org.za/Images/female_age_pix_end.jpg638958 Female Registrations for the age group 70 - 79 | 70 - 79 | 321634 Male Registrations for the age group 70 - 79http://www.elections.org.za/Images/male_age_pix_end.jpg 321,634 |
| 283,924 http://www.elections.org.za/Images/female_age_pix_end.jpg283924 Female Registrations for the age group 80 - 89 | 80 - 89 | 123133 Male Registrations for the age group 80 - 89http://www.elections.org.za/Images/male_age_pix_end.jpg 123,133 |
|  | **Totals** |  |
| **11,574,118** |  | **9,480,839** |
|  | **21,054,957** |  |

If we take the above table and put the information into another format, we are able to show the same facts, in another way. Let’s take a look:

**Summary of the 14 April 2004 South African National Assembly election results**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Parties** | **Leaders** | **Votes** | **%** | **Change** | **Seats** | **Change** |
| African National Congress (ANC) | Thabo Mbeki | 10,880,915 | 69.69 | +3.34 | 279 | +13 |
| Democratic Alliance (DA) | Tony Leon | 1,931,201 | 12.37 | +2.81 | 50 | +12 |
| Inkatha Freedom Party (IFP) | Mangosuthu Buthelezi | 1,088,664 | 6.97 | -1.61 | 28 | -6 |
| United Democratic Movement (UDM) | Bantu Holomisa | 355,717 | 2.28 | -1.14 | 9 | -5 |
| Independent Democrats (ID) | Patricia de Lille | 269,765 | 1.7 | +1.7 | 7 | +7 |
| New National Party (NNP) | Marthinus van Schalkwyk | 257,824 | 1.65 | -5.22 | 7 | -21 |
| African Christian Democratic Party (ACDP) | Kenneth Meshoe | 250,272 | 1.60 | +0.17 | 7 | +1 |
| Freedom Front Plus (FF+) | Pieter Mulder | 139,465 | 0.89 | -0.20 | 4 | - |
| United Christian Democratic Party (UCDP) | Lucas Mangope | 117,792 | 0.75 | -0.03 | 3 | - |
| Pan Africanist Congress (PAC) | Motsoko Pheko | 113,512 | 0.73 | +0.02 | 3 | - |
| Minority Front (MF) | Amichand Rajbansi | 55,267 | 0.35 | +0.05 | 2 | +1 |
| Azanian People's Organisation (AZAPO) | Mosibudi Mangena | 39,116 | 0.25 | +0.08 | 1 | - |
| Christian Democratic Party (CDP) | Ra Du Plooy | 17,619 | 0.11 | +0.11 | 0 | - |
| National Action (South Africa) (NA) | Jacobus Frederick Jonker | 15,804 | 0.10 | +0.10 | 0 | - |
| Peace and Justice Congress (PJC) | Muhammed Rashad Khan | 15,187 | 0.10 | +0.10 | 0 | - |
| Socialist Party of Azania (SOPA) | LT Mabasa | 14,853 | 0.10 | +0.04 | 0 | - |
| New Labour Party (NLP) | Colin Francois du Sart | 13,318 | 0.09 | +0.09 | 0 | - |
| United Front (UF) | T. D. Hlatshwayo | 11,889 | 0.08 | +0.08 | 0 | - |
| Employment Movement of South Africa (EMSA) | M. Reitz | 10,446 | 0.07 | +0.07 | 0 | - |
| The Organisation Party (TOP) | Bradford Wood | 7,531 | 0.05 | +0.05 | 0 | - |
| Keep It Straight and Simple (KISS) | C.C. Emary | 6,514 | 0.04 | +0.04 | 0 | - |
| **Total** | | 15,612,671 | 100.0 |  | **400** | 0 |

**You are now ready to go through a check list. Be honest with yourself**

# Tick the box with either a √ or an X to indicate your response

* **I am able to use mathematical techniques to collect and organise data.**
* **I am able to apply mathematical analysis to calculate and represent financial and economic data.**
* **I am able to apply mathematical analysis to indicate economic relationships.**



# You must think about any point you could not tick. Write this down as a goal.

# Decide on a plan of action to achieve these goals. Regularly review these goals.

Use communication techniques effectively

12433

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The skills, values and knowledge reflected in this unit standard are required by people in the field of manufacturing and engineering. The learning outcomes in this unit standard also contribute to the exit level outcomes required for various manufacturing and engineering qualifications. Qualifying learners can demonstrate an understanding of a range of oral and written communication techniques. They are able to effectively use these techniques as required during the course of their work in a supervisory and/or senior technical capacity in an organisation.

**Index**

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| **Competence Requirements** | **Page** |
| **Unit Standard 12433 alignment index**  Here you will find the different outcomes explained which you need to be proved competent in, in order to complete the Unit Standard 12433. | **228** |
| **Unit Standard 12433** | **233** |
| **Discuss and explain a range of written and oral communication techniques used in the workplace** | **248** |
| **Lead discussions and chair meetings** | **267** |
| **Generate a variety of workplace reports using various data gathering techniques** | **281** |
| **An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated.** | **298** |
| **Self-assessment**  Once you have completed all the questions after being facilitated, you need to check the progress you have made. If you feel that you are competent in the areas mentioned, you may tick the blocks, if however you feel that you require additional knowledge, you need to indicate so in the block below. Show this to your facilitator and make the necessary arrangements to assist you to become competent. | **304** |

**Unit Standard 12433 – Alignment Index**

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| **SPECIFIC OUTCOMES AND RELATED ASSESSMENT CRITERIA** | |
| **SO 1** | **Discuss and explain a range of written and oral communication techniques used in the workplace**(Discuss and explain a range of written and oral communication techniques used in the workplace and applicable communication theory.) |
| **AC 1** | An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated.  (Indicators 1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:  Meeting procedures, Types of workplace reports, Data gathering techniques, Presentations, Target audience for reports and presentations, Techniques for compiling workplace reports, Presentation delivery |
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| **AC 3** | A variety of generated workplace reports and presentations are available for scrutiny.  (Indicators 1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:  Meeting procedures, Types of workplace reports, Data gathering techniques, Presentations, Target audience for reports and presentations, Techniques for compiling workplace reports, Presentation delivery |
| **AC 4** | Presentations are effectively delivered and meet the needs of the target audience.  (Indicators 1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:  Meeting procedures, Types of workplace reports, Data gathering techniques, Presentations, Target audience for reports and presentations, Techniques for compiling workplace reports, Presentation delivery |
| **SO 2** | **Lead discussions and chair meetings** |
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| **SO 3** | **Generate a variety of workplace reports using various data gathering techniques** |
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| **SO 4** | **Deliver presentations** |
| **AC 1** | An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated.  (Indicators 1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:  Meeting procedures, Types of workplace reports, Data gathering techniques, Presentations, Target audience for reports and presentations, Techniques for compiling workplace reports, Presentation delivery |
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| **CRITICAL CROSS FIELD OUTCOMES** |
| ***UNIT STANDARD CCFO IDENTIFYING***  Identify and solve problems:  Related to workplace communication issues  ***UNIT STANDARD CCFO WORKING***  Work effectively with others:  In a meeting situation  ***UNIT STANDARD CCFO ORGANISING***  Organise and manage myself and my activities:  To effectively communicate in the workplace  ***UNIT STANDARD CCFO COLLECTING***  Collect, analyse, organise and critically evaluate information:  To develop workplace reports and presentations  ***UNIT STANDARD CCFO COMMUNICATING***  Communicate effectively:  When leading discussions and chairing meetings  When delivering presentations  ***UNIT STANDARD CCFO*** ***SCIENCE***  Use science and technology effectively and critically:  Apply relevant communication theory  ***UNIT STANDARD CCFO DEMONSTRATING***  Demonstrate an understanding of the world as a set of related systems:  Explain the relationship between the effective use of a variety of oral and written communication techniques and effective job functioning as a supervisor/senior technical person |

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| **SOUTH AFRICAN QUALIFICATIONS AUTHORITY** |

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| **REGISTERED UNIT STANDARD THAT HAS PASSED THE END DATE:** |

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| **Use communication techniques effectively** |

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| **SAQA US ID** | **UNIT STANDARD TITLE** | | | |
| 12433 | Use communication techniques effectively | | | |
| **ORIGINATOR** | | **REGISTERING PROVIDER** | | |
| SGB Manufacturing and Assembly Processes | |  | | |
| **QUALITY ASSURING BODY** | | | | |
| - | | | | |
| **FIELD** | | | **SUBFIELD** | |
| Field 06 - Manufacturing, Engineering and Technology | | | Manufacturing and Assembly | |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined | Regular | Level 5 | New Level Assignment Pend. | 8 |
| **REGISTRATION STATUS** | | **REGISTRATION START DATE** | **REGISTRATION END DATE** | **SAQA DECISION NUMBER** |
| Passed the End Date -  Status was "Reregistered" | | 2006-11-07 | 2009-11-07 | SAQA 0160/05 |
| **LAST DATE FOR ENROLMENT** | | **LAST DATE FOR ACHIEVEMENT** | | |
| 2010-11-07 | | 2013-11-07 | | |

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| In all of the tables in this document, both the old and the new NQF Levels are shown. In the text (purpose statements, qualification rules, etc), any reference to NQF Levels are to the old levels unless specifically stated otherwise. |

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| This unit standard does not replace any other unit standard and is not replaced by any other unit standard. |

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| **PURPOSE OF THE UNIT STANDARD** |

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| The skills, values and knowledge reflected in this unit standard are required by people in the field of manufacturing and engineering.  The learning outcomes in this unit standard also contribute to the exit level outcomes required for various manufacturing and engineering qualifications.  Qualifying learners can demonstrate an understanding of a range of oral and written communication techniques. They are able to effectively use these techniques as required during the course of their work in a supervisory and/or senior technical capacity in an organisation. |

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| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING** |

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| This unit standard has been designed as part of a progression. It is one of a series of unit standards for workplace communication and working with information.  The credits allocated to this unit standard assume that a learner has already learned to   Communicate at work   Collect and use information   Communicate with clients   Compile feasibility and commissioning reports   Write a technical report   Communicate in an assertive manner with clients and fellow workers |

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| **UNIT STANDARD RANGE** |

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| For the purposes of this unit standard, the learner is required to use a range of advanced written and oral communication techniques required when working in a supervisory and/or senior technical capacity in an organisation. |

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| **Specific Outcomes and Assessment Criteria:** |

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| **SPECIFIC OUTCOME 1** |

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| Discuss and explain a range of written and oral communication techniques used in the workplace |

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| **OUTCOME NOTES** |

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| Discuss and explain a range of written and oral communication techniques used in the workplace and applicable communication theory. |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| 1. An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 2** |

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| 2. Discussions are led and meetings chaired in an effective manner according to standard meeting procedures. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 3** |

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| 3. A variety of generated workplace reports and presentations are available for scrutiny. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 4** |

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| 4. Presentations are effectively delivered and meet the needs of the target audience. |

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| **ASSESSMENT CRITERION NOTES** |

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| **SPECIFIC OUTCOME 2** |

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| Lead discussions and chair meetings |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| 1. An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 2** |

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| 2. Discussions are led and meetings chaired in an effective manner according to standard meeting procedures. |

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| **ASSESSMENT CRITERION NOTES** |

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| **ASSESSMENT CRITERION 3** |

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| 3. A variety of generated workplace reports and presentations are available for scrutiny. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 4** |

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| 4. Presentations are effectively delivered and meet the needs of the target audience. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **SPECIFIC OUTCOME 3** |

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| Generate a variety of workplace reports using various data gathering techniques |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| 1. An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 2** |

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| 2. Discussions are led and meetings chaired in an effective manner according to standard meeting procedures. |

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| **ASSESSMENT CRITERION NOTES** |

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| **ASSESSMENT CRITERION 3** |

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| **ASSESSMENT CRITERION 4** |

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| 4. Presentations are effectively delivered and meet the needs of the target audience. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **SPECIFIC OUTCOME 4** |

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| Deliver presentations |

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| **ASSESSMENT CRITERIA** |

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| **ASSESSMENT CRITERION 1** |

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| 1. An understanding of a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 2** |

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| 2. Discussions are led and meetings chaired in an effective manner according to standard meeting procedures. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 3** |

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| 3. A variety of generated workplace reports and presentations are available for scrutiny. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **ASSESSMENT CRITERION 4** |

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| 4. Presentations are effectively delivered and meet the needs of the target audience. |

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| **ASSESSMENT CRITERION NOTES** |

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| Indicators  1. Explanations given are clear, drawing from learner's own work experience  2. Technical information in reports is meaningfully communicated  3. Relevant information for workplace reports and presentations is gathered and analysed systematically  4. Target audience is identified, and reports and presentations are structured to both meet the needs of the target audience and to ensure best receptivity by the target audience  5. Reports and presentations address relevant issues in a logical and clear manner  6. Information in reports and presentations is presented clearly and articulately  Understanding confirmed  1. Respond to 'what if' and 'why' questions covering:   Meeting procedures   Types of workplace reports   Data gathering techniques   Presentations   Target audience for reports and presentations   Techniques for compiling workplace reports   Presentation delivery |

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| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS** |

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| The assessment will be governed by the policies and guidelines of the MERSETA Education and Training Quality Assuror (ETQA) who has jurisdiction over this field of learning.  The assessor will (at the very least) be accredited and have a technical qualification in this learning area.  The learner can be assessed in the language of his/her choice although if s/he has to report incidents or conditions to some one else, s/he will be assessed on his/her ability to report in the language commonly used in the working environment.  The learner will be assessed in the workplace or by simulation, but can submit documents, projects, test results and assignments that are not produced in the workplace or by the RPL process.  The learner can be assessed against this unit standard to obtain credits or as part of an integrated assessment for a qualification. |

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| **UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE** |

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| 1. Purpose of:   Using a variety of oral and written communication techniques in the workplace   2. Attributes, descriptions, characteristics & properties:   Workplace reports   Presentations   3. Cause and effect, implications of:   Implications of developing reports and presentations that do not meet the needs of the target audience   4. Procedures and techniques:   For leading discussions   For meetings   For chairing   For gathering data   For writing workplace reports   For developing presentations   For presentation delivery   5. Regulations, legislation, agreements, policies, standards:   Applicable company policies and procedures governing communication   6. Theory: rules, principles, laws:   Applicable communication theory   7. Relationships, systems:   Relationship between the effective use of a variety of oral and written communication techniques and effective job functioning as a supervisor/senior technical person. |

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| **Critical Cross-field Outcomes (CCFO):** |

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| **UNIT STANDARD CCFO IDENTIFYING** |

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| Identify and solve problems:   Related to workplace communication issues |

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| **UNIT STANDARD CCFO WORKING** |

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| Work effectively with others:   In a meeting situation |

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| **UNIT STANDARD CCFO ORGANISING** |

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| Organise and manage myself and my activities:   To effectively communicate in the workplace |

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| **UNIT STANDARD CCFO COLLECTING** |

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| Collect, analyse, organise and critically evaluate information:   To develop workplace reports and presentations |

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| **UNIT STANDARD CCFO COMMUNICATING** |

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| Communicate effectively:   When leading discussions and chairing meetings   When delivering presentations |

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| **UNIT STANDARD CCFO SCIENCE** |

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| Use science and technology effectively and critically:   Apply relevant communication theory |

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| **UNIT STANDARD CCFO DEMONSTRATING** |

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| Demonstrate an understanding of the world as a set of related systems:   Explain the relationship between the effective use of a variety of oral and written communication techniques and effective job functioning as a supervisor/senior technical person |

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| **QUALIFICATIONS UTILISING THIS UNIT STANDARD:** |

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| --- | --- | --- | --- | --- | --- | --- |
|  | **ID** | **QUALIFICATION TITLE** | **OLD LEVEL** | **NEW LEVEL** | **STATUS** | **END DATE** |
| Core | [59889](http://allqs.saqa.org.za/showQualification.php?id=59889) | Further Education and Training Certificate: Military Operations | Level 4 | NQF Level 04 | Registered | 2011-02-06 |
| Fundamental | [58580](http://allqs.saqa.org.za/showQualification.php?id=58580) | National Certificate: Aerodrome Control | Level 5 | New Level Assignment Pend. | Registered | 2010-06-14 |
| Fundamental | [21007](http://allqs.saqa.org.za/showQualification.php?id=21007) | National Certificate: Automotive component manufacturing and assembly | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Reregistered" | 2008-11-01 |
| Fundamental | [64789](http://allqs.saqa.org.za/showQualification.php?id=64789) | National Certificate: Automotive Repair and Maintenance | Level 5 | New Level Assignment Pend. | Registered | 2012-02-18 |
| Fundamental | [22861](http://allqs.saqa.org.za/showQualification.php?id=22861) | National Certificate: Autotronics | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Reregistered" | 2009-11-07 |
| Fundamental | [63769](http://allqs.saqa.org.za/showQualification.php?id=63769) | National Certificate: Business Analysis Support Practice | Level 5 | New Level Assignment Pend. | Registered | 2011-10-22 |
| Fundamental | [58025](http://allqs.saqa.org.za/showQualification.php?id=58025) | National Certificate: CNC Production Machining | Level 5 | New Level Assignment Pend. | Registered | 2010-02-21 |
| Fundamental | [57229](http://allqs.saqa.org.za/showQualification.php?id=57229) | National Certificate: Communications, Navigation and Surveillance Support | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Registered" | 2009-08-31 |
| Fundamental | [49709](http://allqs.saqa.org.za/showQualification.php?id=49709) | National Certificate: Criminology | Level 5 | New Level Assignment Pend. | Reregistered | 2011-09-30 |
| Fundamental | [58883](http://allqs.saqa.org.za/showQualification.php?id=58883) | National Certificate: Fluid Power | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Fundamental | [59201](http://allqs.saqa.org.za/showQualification.php?id=59201) | National Certificate: Generic Management | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Fundamental | [49398](http://allqs.saqa.org.za/showQualification.php?id=49398) | National Certificate: Incident Management | Level 5 | New Level Assignment Pend. | Reregistered | 2011-01-22 |
| Fundamental | [23260](http://allqs.saqa.org.za/showQualification.php?id=23260) | National Certificate: Industrial Rubber Manufacturing: Mixing OR Extruding OR Moulding OR Calendaring | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Reregistered" | 2009-11-07 |
| Fundamental | [60070](http://allqs.saqa.org.za/showQualification.php?id=60070) | National Certificate: Inspection and Assessment (Non-Metallics) | Level 5 | New Level Assignment Pend. | Registered | 2011-03-12 |
| Fundamental | [49107](http://allqs.saqa.org.za/showQualification.php?id=49107) | National Certificate: Inspection and Enforcement Services | Level 5 | New Level Assignment Pend. | Reregistered | 2010-11-20 |
| Fundamental | [58624](http://allqs.saqa.org.za/showQualification.php?id=58624) | National Certificate: Library and Information Services | Level 5 | New Level Assignment Pend. | Registered | 2010-06-27 |
| Fundamental | [49511](http://allqs.saqa.org.za/showQualification.php?id=49511) | National Certificate: Lift Inspection | Level 5 | New Level Assignment Pend. | Reregistered | 2011-11-18 |
| Fundamental | [50245](http://allqs.saqa.org.za/showQualification.php?id=50245) | National Certificate: Maintenance Coordination | Level 5 | New Level Assignment Pend. | Registered | 2012-07-29 |
| Fundamental | [49061](http://allqs.saqa.org.za/showQualification.php?id=49061) | National Certificate: Master Craftsmanship (Electrical) | Level 5 | New Level Assignment Pend. | Reregistered | 2010-09-18 |
| Fundamental | [49746](http://allqs.saqa.org.za/showQualification.php?id=49746) | National Certificate: Measurement, Control and Instrumentation | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Registered" | 2008-10-12 |
| Fundamental | [22773](http://allqs.saqa.org.za/showQualification.php?id=22773) | National Certificate: Mechatronics | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Reregistered" | 2009-11-07 |
| Fundamental | [57228](http://allqs.saqa.org.za/showQualification.php?id=57228) | National Certificate: Metrology | Level 5 | New Level Assignment Pend. | Registered | 2009-11-16 |
| Fundamental | [49337](http://allqs.saqa.org.za/showQualification.php?id=49337) | National Certificate: Multi-National Safety and Security Operations Management | Level 5 | New Level Assignment Pend. | Reregistered | 2011-04-01 |
| Fundamental | [49075](http://allqs.saqa.org.za/showQualification.php?id=49075) | National Certificate: Organisational Transformation and Change Management | Level 5 | New Level Assignment Pend. | Reregistered | 2010-11-20 |
| Fundamental | [49448](http://allqs.saqa.org.za/showQualification.php?id=49448) | National Certificate: Plastics Manufacturing | Level 5 | New Level Assignment Pend. | Reregistered | 2011-11-18 |
| Fundamental | [20891](http://allqs.saqa.org.za/showQualification.php?id=20891) | National Certificate: Plastics Manufacturing | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Registered" | 2005-04-13 |
| Fundamental | [58759](http://allqs.saqa.org.za/showQualification.php?id=58759) | National Certificate: Ports and Harbours | Level 5 | New Level Assignment Pend. | Registered | 2010-08-16 |
| Fundamental | [57122](http://allqs.saqa.org.za/showQualification.php?id=57122) | National Certificate: Printing and Manufacture of Packaging | Level 5 | New Level Assignment Pend. | Registered | 2009-11-16 |
| Fundamental | [63529](http://allqs.saqa.org.za/showQualification.php?id=63529) | National Certificate: Railway Signalling Technology | Level 5 | New Level Assignment Pend. | Registered | 2011-10-22 |
| Fundamental | [60549](http://allqs.saqa.org.za/showQualification.php?id=60549) | National Diploma: Aeronautical Information Management Practice | Level 5 | New Level Assignment Pend. | Registered | 2011-04-09 |
| Fundamental | [49852](http://allqs.saqa.org.za/showQualification.php?id=49852) | National Diploma: Applied Military Intelligence | Level 5 | New Level Assignment Pend. | Reregistered | 2012-01-27 |
| Fundamental | [57450](http://allqs.saqa.org.za/showQualification.php?id=57450) | National Diploma: Automotive Diagnostics and Repair | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Registered" | 2009-02-18 |
| Fundamental | [48968](http://allqs.saqa.org.za/showQualification.php?id=48968) | National Diploma: Clothing, Textiles, Footwear and Leather (CTFL) Mechanician Processes | Level 5 | New Level Assignment Pend. | Reregistered | 2010-09-18 |
| Fundamental | [50500](http://allqs.saqa.org.za/showQualification.php?id=50500) | National Diploma: Electronic Warfare | Level 5 | New Level Assignment Pend. | Reregistered | 2012-07-07 |
| Fundamental | [59256](http://allqs.saqa.org.za/showQualification.php?id=59256) | National Diploma: Flight Dispatch | Level 5 | New Level Assignment Pend. | Registered | 2010-11-28 |
| Fundamental | [58784](http://allqs.saqa.org.za/showQualification.php?id=58784) | National Diploma: Geospatial Image Analysis | Level 5 | New Level Assignment Pend. | Registered | 2010-08-16 |
| Fundamental | [61592](http://allqs.saqa.org.za/showQualification.php?id=61592) | National Diploma: Human Resources Management and Practices | Level 5 | New Level Assignment Pend. | Reregistered | 2011-10-20 |
| Fundamental | [49784](http://allqs.saqa.org.za/showQualification.php?id=49784) | National Diploma: Labour Relations Practice: Dispute Resolution | Level 5 | New Level Assignment Pend. | Reregistered | 2011-05-13 |
| Fundamental | [49076](http://allqs.saqa.org.za/showQualification.php?id=49076) | National Diploma: Organisational Transformation and Change Management | Level 5 | New Level Assignment Pend. | Reregistered | 2010-11-20 |
| Fundamental | [58309](http://allqs.saqa.org.za/showQualification.php?id=58309) | National Diploma: Project Management | Level 5 | New Level Assignment Pend. | Registered | 2010-06-14 |
| Fundamental | [22774](http://allqs.saqa.org.za/showQualification.php?id=22774) | National Diploma: Rubber Technology | Level 5 | New Level Assignment Pend. | Passed the End Date -  Status was "Registered" | 2008-11-30 |
| Elective | [60509](http://allqs.saqa.org.za/showQualification.php?id=60509) | National Certificate: Design Techniques | Level 5 | New Level Assignment Pend. | Registered | 2011-06-11 |

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***Written and oral communication techniques used in the workplace***

Both oral and written communication carries a deep impact on the people you work with and the situations under which you work. Communication is multi faceted. It includes nonverbal communication, body language, listening, inflection, and written communication.

Without quality skills in each of these categories you are putting yourself and your career at risk. This section is designed for you to become a more effective supervisor by becoming a more effective communicator. The skills you learn within the course will be put to use right away!

***What are the differences?***

Most of us intuitively understand that there are differences between oral and written language. All communication includes the transfer of information from one person to another, and while the transfer of information is only the first step in the process of understanding a complex phenomenon, it is an important first step. Writing is a fairly static form of transfer.

Speaking is a dynamic transfer of information. To be an effective speaker, you must exploit the dynamism of oral communication, but also learn to work within its limitations. While there is a higher level of immediacy and a lower level of retention in the spoken word, a speaker has more ability to engage the audience psychologically and to use complex forms of non-verbal communication

The written language can be significantly more precise. Written words can be chosen with greater deliberation and thought, and a written argument can be extraordinarily sophisticated, intricate, and lengthy. These attributes of writing are possible because the pace of involvement is controlled by both the writer and the reader.

The writer can write and rewrite at great length, a span of time which in some cases can be measured in years. Similarly, the reader can read quickly or slowly or even stop to think about what he or she has just read. More importantly, the reader always has the option of re-reading; even if that option is not exercised, its mere possibility has an effect upon a reader's understanding of a text.

The written word appeals more to a contemplative, deliberative style.

Speeches can also be precise and indeed they ought to be. But precision in oral communication comes only with a great deal of preparation and compression. Once spoken, words cannot be retracted, although one can apologize for a mistake and improvise a clarification or qualification.

One can read from a written text and achieve the same degree of verbal precision as written communication. But word-for-word reading from a text is not speech-making, and in most circumstances audiences find speech-reading boring and retain very little of the information transmitted.

On the other hand, oral communication can be significantly more effective in expressing meaning to an audience. This distinction between precision and effectiveness is due to the extensive repertoire of signals available to the speaker: gestures, intonation, inflection, volume, pitch, pauses, movement, visual cues such as appearance, and a whole host of other ways to communicate meaning.

A speaker has significantly more control over what the listener will hear than the writer has over what the reader will read. For these techniques to be effective, however, the speaker needs to make sure that he or she has the audience's attention--audiences do not have the luxury of re-reading the words spoken. The speaker, therefore, must become a reader of the audience.

Reading an audience is a systematic and cumulative endeavour unavailable to the writer. As one speaks, the audience provides its own visual cues about whether it is finding the argument coherent, comprehensible, or interesting. Speakers should avoid focusing on single individuals within an audience.

There are always some who scrunch up their faces when they disagree with a point; others will stare out the window; a few rude (but tired) persons will fall asleep. These persons do not necessarily represent the views of the audience; much depends upon how many in the audience manifest these signals. By and large, one should take the head-nodders and the note-takers as signs that the audience is following one's argument.

If these people seem to outnumber the people not paying attention, then the speech is being well-received. The single most important bit of evidence about the audience's attention, however, is eye contact.

If members of the audience will look back at you when you are speaking, then you have their attention. If they look away, then your contact with the audience is probably fading.

Speeches probably cannot be sophisticated and intricate. Few audiences have the listening ability or background to work through a difficult or complex argument, and speakers should not expect them to be able to do so.

Many speakers fail to appreciate the difficulties of good listening, and most speakers worry about leaving out some important part of the argument. One must be acutely aware of the trade-off between comprehensiveness and comprehension. Trying to put too much into a speech is probably the single most frequent error made by speakers.

This desire to "say everything" stems from the distinctive limitations of speeches: after a speech, one cannot go back and correct errors or omissions, and such mistakes could potentially cripple the persuasiveness of a speech. A speaker cannot allow himself or herself to fall into this mentality.

At the outset, a speaker must define an argument sharply and narrowly and must focus on only that argument. There are certainly implications of an argument that are important but cannot be developed within the speech.

These aspects should be clearly acknowledged by the speaker, but deferred to a question-and-answer period, a future speech, or a reference to a work that the audience can follow-up on its own. Speakers must exercise tight and disciplined control over content.

As a rule of thumb, the audience will remember about one-half of what was said in a twenty-minute talk. After twenty-minutes, recall drops off precipitously.

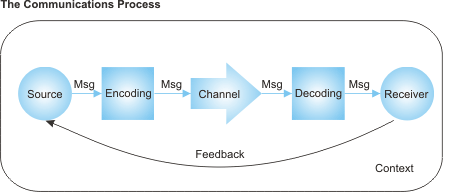
Oral arguments should therefore be parsed down as much as possible. There are very few circumstances in which an audience will recall a great deal of the information in a speech longer than twenty minutes. Most evidence suggests that audience recall declines precipitously after 16 and one-half minutes.

Oral communication uses words with fewer syllables than the written language, the sentences are shorter, and self-referencing pronouns such as I are common. Oral communication also allows incomplete sentences if delivered properly, and many sentences will begin with "and," "but," and "except."

The upshot of these differences is that one should not think about speeches as oral presentations of a written text. Speeches are genuinely different from written prose, and one should not use the logic of writing as a basis for writing a speech.

***Communications Skills – The Importance of Removing Barriers***

Problems with communication can pop-up at every stage of the communication process (which consists of the sender, encoding, the channel, decoding, the receiver, feedback and the context – see the diagram below). At each stage, there is the potential for misunderstanding and confusion.

To be an effective communicator and to get your point across without misunderstanding and confusion, your goal should be to lessen the frequency of problems at each stage of this process, with clear, concise, accurate, well-planned communications. We follow the process through below:

***Source*** - As the source of the message, you need to be clear about why you're communicating, and what you want to communicate. You also need to be confident that the information you're communicating is useful and accurate.

***Message*** - The message is the information that you want to communicate.

***Encoding*** - This is the process of transferring the information you want to communicate into a form that can be sent and correctly decoded at the other end. Your success in encoding depends partly on your ability to convey information clearly and simply, but also on your ability to anticipate and eliminate sources of confusion (for example, cultural issues, mistaken assumptions, and missing information.)

A key part of this is knowing your audience: Failure to understand who you are communicating with will result in delivering messages that are misunderstood.

***Channel*** - Messages are conveyed through channels, with verbal channels including face-to-face meetings, telephone and videoconferencing; and written channels including letters, emails, memos and reports.

Different channels have different strengths and weaknesses. For example, it's not particularly effective to give a long list of directions verbally, while you'll quickly cause problems if you give someone negative feedback using email.

***Decoding*** - Just as successful encoding is a skill, so is successful decoding (involving, for example, taking the time to read a message carefully, or listen actively to it.) Just as confusion can arise from errors in encoding, it can also arise from decoding errors. This is particularly the case if the decoder doesn't have enough knowledge to understand the message.

***Receiver*** - Your message is delivered to individual members of your audience. No doubt, you have in mind the actions or reactions you hope your message will get from this audience. Keep in mind, though, that each of these individuals enters into the communication process with ideas and feelings that will undoubtedly influence their understanding of your message, and their response. To be a successful communicator, you should consider these before delivering your message, and act appropriately.

***Feedback*** - Your audience will provide you with feedback, as verbal and nonverbal reactions to your communicated message. Pay close attention to this feedback, as it is the only thing that can give you confidence that your audience has understood your message. If you find that there has been a misunderstanding, at least you have the opportunity to send the message a second time.

***Context*** - The situation in which your message is delivered is the context. This may include the surrounding environment or broader culture (corporate culture, international cultures, and so on).

***Removing Barriers at All These Stages***

To deliver your messages effectively, you must commit to breaking down the barriers that exist within each of these stages of the communication process.

Let’s begin with the message itself. If your message is too lengthy, disorganized, or contains errors, you can expect the message to be misunderstood and misinterpreted. Use of poor verbal and body language can also confuse the message.

Barriers in context tend to stem from senders offering too much information too fast. When in doubt here, less is oftentimes more. It is best to be mindful of the demands on other people’s time, especially in today’s ultra-busy society.

Once you understand this, you need to work to understand your audience’s culture, making sure you can converse and deliver your message to people of different backgrounds and cultures within your own organization, in your country and even abroad.

***N***

***onverbal communication and body language***

There are many different types of nonverbal communication. Together, the following nonverbal signals and cues communicate your interest and investment in others.

***Facial expressions***

The human face is extremely expressive, able to express countless emotions without saying a word. And unlike some forms of nonverbal communication, facial expressions are universal. The facial expressions for happiness, sadness, anger, surprise, fear, and disgust are the same across cultures.

***Body movements and posture***

Consider how your perceptions of people are affected by the way they sit, walk, stand up, or hold their head. The way you move and carry yourself communicates a wealth of information to the world. This type of nonverbal communication includes your posture, bearing, stance, and subtle movements.

***Gestures***

Gestures are woven into the fabric of our daily lives. We wave, point, beckon, and use our hands when we’re arguing or speaking animatedly—expressing ourselves with gestures often without thinking. However, the meaning of gestures can be very different across cultures and regions, so it’s important to be careful to avoid misinterpretation.

***Eye contact***

Since the visual sense is dominant for most people, eye contact is an especially important type of nonverbal communication. The way you look at someone can communicate many things, including interest, affection, hostility, or attraction. Eye contact is also important in maintaining the flow of conversation and for gauging the other person’s response.

***Touch***

We communicate a great deal through touch. Think about the messages given by the following: a firm handshake, a timid tap on the shoulder, a warm bear hug, a reassuring pat on the back, a patronizing pat on the head, or a controlling grip on your arm.

***Space***

Have you ever felt uncomfortable during a conversation because the other person was standing too close and invading your space? We all have a need for physical space, although that need differs depending on the culture, the situation, and the closeness of the relationship. You can use physical space to communicate many different nonverbal messages, including signals of intimacy, aggression, dominance, or affection.

***Voice***

We communicate with our voices, even when we are not using words. Nonverbal speech sounds such as tone, pitch, volume, inflection, rhythm, and rate are important communication elements. When we speak, other people “read” our voices in addition to listening to our words. These nonverbal speech sounds provide subtle but powerful clues into our true feelings and what we really mean. Think about how tone of voice, for example, can indicate sarcasm, anger, affection, or confidence.

***It’s not what you say, it’s how you say it***

***Intensity***

A reflection of the amount of energy you project is considered your intensity. Again, this has as much to do with what feels good to the other person as what you personally prefer.

***Timing and pace***

Your ability to be a good listener and communicate interest and involvement is impacted by timing and pace.

***Sounds that convey understanding***

Sounds such as “ahhh, ummm, ohhh,” uttered with congruent eye and facial gestures, communicate understanding and emotional connection. More than words, these sounds are the language of interest, understanding and compassion.

***Using body language and nonverbal communication successfully***

Nonverbal communication is a rapidly flowing back-and-forth process. Successful nonverbal communication depends on emotional self-awareness and an understanding of the cues you’re sending, along with the ability to accurately pick up on the cues others are sending you. This requires your full concentration and attention. If you are planning what you’re going to say next, daydreaming, or thinking about something else, you are almost certain to miss nonverbal cues and other subtleties in the conversation. You need to stay focused on the moment-to-moment experience in order to fully understand what’s going on.

***Tips for successful nonverbal communication:***

Take a time out if you’re feeling overwhelmed by stress. Stress compromises your ability to communicate. When you’re stressed out, you’re more likely to misread other people, send-off confusing or off-putting nonverbal signals, and lapse into unhealthy knee-jerk patterns of behaviour.

Take a moment to calm down before you jump back into the conversation. Once you’ve regained your emotional equilibrium, you’ll be better equipped to deal with the situation in a positive way.

Pay attention to inconsistencies. Nonverbal communication should reinforce what is being said. If you get the feeling that someone isn’t being honest or that something is “off,” you may be picking up on a mismatch between verbal and nonverbal cues. Is the person is saying one thing, and their body language something else? For example, are they telling you “yes” while shaking their head no?

Look at nonverbal communication signals as a group. Don’t read too much into a single gesture or nonverbal cue. Consider all of the nonverbal signals you are sending and receiving, from eye contact to tone of voice and body language. Are your nonverbal cues consistent—or inconsistent—with what you are trying to communicate?

***Nonverbal communication and body language: Common mistakes***

***You’re not subtle***

Be objective about your own observations to make sure you aren’t offending others by broadly mimicking their speech or behaviour. Remember, most people instinctively send and interpret nonverbal signals all the time, so don’t assume you’re the only one who’s aware of nonverbal undercurrents. Finally, stay true to yourself. Be aware of your own natural style, and don’t adopt behaviour that is incompatible with it.

***You bluff***

Thinking you can bluff by deliberately altering your body language can do more harm than good. Unless you’re a proficient actor, it will be hard to overcome your body’s inability to lie. There will always be mixed messages, signs that your channels of communication are not congruent. It’s a prime example of leakage, and something others will detect, one way or another.

***You rush to accuse based on body language alone***

Incorrect accusations based on erroneous observations can be embarrassing and damaging and take a long time to overcome. Always verify your interpretation with another communications channel before rushing in. You could say something like, “I get the feeling you’re uncomfortable with this course of action. Would you like to add something to the discussion?” This should draw out the real message and force the individual to come clean or to adjust his or her body language.

***Evaluating your non-verbal communication skills***

***Eye contact -*** Is this source of connection missing, too intense, or just right in yourself or in the person you are looking at?

***Facial expression -*** What is your face showing? Is it mask-like and un-expressive, or emotionally present and filled with interest? What do you see as you look into the faces of others?

***Tone of voice***

Does your voice project warmth, confidence, and delight, or is it strained and blocked? What do you hear as you listen to other people?

***Posture and gesture -*** Does your body look still and immobile, or relaxed? Sensing the degree of tension in your shoulders and jaw answers this question. What do you observe about the degree of tension or relaxation in the body of the person you are speaking to?

***Touch -*** Remember, what feels good is relative. How do you like to be touched? Who do you like to have touching you? Is the difference between what you like and what the other person likes obvious to you?

***Intensity -*** Do you or the person you are communicating with seem flat, cool, and disinterested, or over-the-top and melodramatic? Again, this has as much to do with what feels good to the other person as it does with what you personally prefer.

***Timing and pace -*** What happens when you or someone you care about makes an important statement? Does a response—not necessarily verbal—come too quickly or too slowly? Is there an easy flow of information back and forth?

***Sounds -*** Do you use sounds to indicate that you are attending to the other person? Do you pick up on sounds from others that indicate their caring or concern for you?

**V**

***erbal Communication***

***"Half the world is composed of people who have something to say and can't, and the other half who have nothing to say and keep saying it." — Robert Frost, early 20th century American poet***

***Verbal Communication Skills***

We can't inspire and energise people with memos, mission statements, data and analysis, charts, goals and objectives, measurements, systems, or processes. These are important factors in improving performance. But that's management, not leadership.

People are inspired and aroused by exciting mental pictures of a preferred future, principles or values that ring true, and being part of a higher cause or purpose that helps them feel they're making a difference. Highly interconnected with and dependent upon a leader's ability to provide Focus and Context is his or her communication skills — especially verbal skills.

Everyone's mind is forever having thoughts and they are primarily in pictures and words. Words spoken affect your life as well as others. They have the power to create emotions and move people to take action. When you communicate clearly, you activate your mind and that of others and you stimulate creativity.

You create your reality with your senses, the eyes, ears and feelings and words and symbols are used to create the meanings. This is why you are encouraged to read and watch informative materials, listen to motivational audio programs and attend classes or seminars that relate to your line of work or objectives. Positive and uplifting spoken words motivate and inspire.

***How to Improve Verbal Communication Skills***

***Using positive words to challenge limiting beliefs***

Phrase your words clearly and positively. Your words and the explanations you give affect thoughts and determine emotions. Questioning helps challenge beliefs. According to Michael Hall, a belief is a thought to which you have said "yes", and you have affirmed by saying, "I believe this". It takes questions worded specifically before you can fully agree.

Your customers, children or partners agreeing and saying "Yes" to your suggestions and opinions indicate that you were able to influence and change their beliefs and thoughts from your spoken or written persuasion.

***Telling or narrating a story***

One of the ways to let others understand your message is by telling a story, reading a quote or telling a joke. Verbal communication through stories carries power to induce the person to relate to what you are saying or suggesting. A joke usually helps people relax more and is opened to listen to you. The way you deliver the story can affect the thinking, emotions and behaviour of the listeners. He is able to imagine the experience and will produce a response. A story narrated with eloquent can give hope to people who are in dire need for encouragement.

***Asking the right questions***

Questioning yourself or others with precise words allow for correct answers. It will make a difference if you were to ask a "why" or a "how" question. The former gives you a lot of reasons, understandings and explanations while the later set your brain thinking for a solution, useful information and a strategy. By asking questions and wording them specifically, you will invite a positive debate and interaction that will benefit all involved. You become a better listener and entice others to do the same. Unnecessary arguments are reduced when you are able to express yourself with great command of your language skills, through verbal communication.

***Think and prepare before you speak***

Whether you are going to speak in public, talk to your boss, spouse or children, you have to think before you utter those words. Verbal abuse happens when you express yourself without thinking and instead allow your emotions to take over. You have to project your thoughts first in your mind or in writing before speaking them out. This will enable you to prepare yourself with any objections that may arise. Thinking, preparing and imagining the most desirable outcome in your mind allow you to practice your presentation and getting them right.

***Reduce your usage of verbal pauses***

Have you ever listened to how you speak and render your conversations? If you haven't and are unaware, request for someone to do so. How many times did you stop your sentences and added an "ah", "um" or "well"? You can also record your verbal communication and listen back to your style of speaking. Too many of these will irritate your listeners or is perceived as uneasiness or uncertainty in what you are saying. In order to reduce the unnecessary verbal cues, listen to yourself and become aware of it. Then when you realize it coming, condition yourself to just a silent pause.

***Avoid careless language***

Use your phrases with care. Talk and write in ways that allow for accurate description of your experience, thoughts or ideas. Don't expect people to assume and guess what you are trying to say. Speak with specificity by avoiding words like always, never, every, or all. When you say to your spouse that he is always late when in fact he was late only twice, you are attracting an argument.

Successful executives, managers and supervisors know that the importance of effective communication in the workplace cannot be underestimated. Poor communication is responsible for mistakes, conflict, and negativity in the workplace. Have you ever thought the following?

"Oops, I know I said that, but what I meant to say was..."

"Why can't I get buy in from the team?"

"That mistake could have been avoided if I had only said...."

***Two common communication barriers are:***

* Not being aware of effective communication skills
* Being in a hurry

Since effective communication in business is essential to success at your company or organization, it makes sense to improve your communication skills. The good news is that you can learn some basic communication skills and use them today to improve the quality of your workplace relationships with both employees and customers.

***Seven Communication Skills for the Workplace***

***1. Personal Contact***

Did you ever wonder why companies spend thousands of dollars sending sales people across the country when they could do a phone call for much less? The reason is that people relate to one another better when they can meet in person and read each other's body language. What's more, people can feel the energy the connection creates. You can also smile and shake someone's hand when you greet them, which creates a powerful connection.

***2. Develop a network.***

No one achieves success alone. Success in any company requires a team effort. Make an effort to get to know managers and employees in different departments within your company, meet new people in professional organizations and become active in your community.

***3. Always be courteous.***

Courtesy lets people know that you care. The words "Thank You" show that you appreciate your employees' efforts, and this is important because appreciation is the number one thing that employees want from management. A little change like saying, "Would you please..." instead of just, "Please..." will make you sound less dogmatic and will improve your relationships with your employees.

***4. Be clear***

Since people often hear things differently, and they may be hesitant to ask you to explain what you said, you should ask, "Did I explain this clearly?" This will confirm that people understood you.

***5. Compromise***

You can decrease the tension associated with conflict if you always ask, "What is best for the company?" This gives people a different perspective on your requests, and they will be less likely to take any conflict personally.

***6. Be interesting and interested***

Even though most of your workplace communications will be about business topics, it is also important to share your personal side. Let your staff know about your interests and your family, and ask them about theirs. Telling a few short personal stories about your interesting experiences will make your employees feel more connected to you as a person. Read your hometown paper daily so you know what is going on in your community and what personal concerns your staff may have about them.

***7. Listen***

Listening attentively to your employees demonstrates respect. Listening isn't easy because everyone's mind tends to wander. So to help you concentrate on what the other person is saying, keep a good eye contact --without staring, and then make a comment about it or ask a question.

Improving your communication skills is a process that happens gradually over a period of time. The good news is that you have opportunities to practice your communication skills every day at work. Here's a tip to help you improve faster. At the end of each day, take a moment to review your communications during the day. What was effective? What wasn't effective? That way you will continue to learn and improve your communication skills.

***W***

***ritten Communication***

Business Communication involves exchange of information within an organisational setup. It is a continuous process. The more the business expands, the greater is the pressure on the business to find more effective means of communication both with the employees and with the society at large.

Business communication is both written as well as oral. But written communication is very important aspect of business communication. It is important to fix accountability and responsibility of people in organization. This requires more of written communication (much of paper work). Everything should be communicated in written by the manager to the people in the organization. Written messages can be saved for future references and cannot be denied.

Business Communication is a permanent means of communication and is much easier understanding then oral means of communication. Good written communication contributes to success of an organization. It helps in building goodwill of an organisation. Written business communication includes - letters, memoranda, agenda, manuals, reports etc.

***1. Business Letters:*** It must have a good appealing layout. The content of the letter should be clear in mind of the writer. The letter must be divided into paragraphs. It must have subject written and should be enclosed in an envelope. It should be surely used for future reference. It should be carefully written as it has an impact on goodwill of the organization. Examples of Business letters are - sales letters, information letters, problem letters etc.

***2. Memoranda:*** Memos are generally short means of written communication within an organization. They are used to convey specific information to the people within an organization.

***3. Reports:*** A report is prepared after lot of investigation. Whatever observations are made, an account of them is written in the report. Reports are important for analysing the performance of the organization. It helps in taking important decisions within an organization.

***4. Agenda:*** Agenda is an outline about all the contents of the meeting. It tells what the purpose of the meeting is, and where the participants are heading. While designing an agenda one should be very specific. Designing an agenda beforehand helps the people to come prepared for the meeting.

Written business communication is subject to rules expanding far beyond the rules of grammar and/or spelling. This includes letters, documents, contracts, memos, e-mails, journal entries and hastily written notes scrawled in the margin of a document or even a napkin.

These guidelines or conventions include things such as: recognition of the legality of all written documents, removal of the first person point of view, political correctness, common sense, who to cc on a document, and most importantly, the ‘24-hour’ rule. The easiest way to think of these is simply “if you don’t want someone to see it in the newspaper, don’t put it in writing regardless of format.”

***Legal Documents***

Writing for business is a necessary part of many jobs but it is a critical skill in the world of management. In addition to knowing how to write something, it is important to know when to put something in writing. The written document at work becomes a legal document which never goes away. In the electronic era of today, documents are never ‘totally gone’. Retrieval from electronic media is a common practice in our litigious society. ‘Erased’ e-mails and other documents have brought the demise of multiple businesses over the last decade.

***Write in the Third Person***

Executive written communication should be considered to be formal and objective. Remove the personal, subjective point of view from all business writing. Always write in the objective 3rd person. Reread your documents and remove all “I” or “me” statements. Rewrite using the objective 3rd person point of view. You are not writing a journal about you so leave the personal point of view out of business writing.

***Harassment and/or Common Sense***

Very simply put - regardless of your personal opinions, references to race, gender, religion or ethnic background have no place in business writing. This almost goes without saying. Stop and think about what is being written. Can it be better said verbally over the phone or face to face? Is it something you want in a written format? Remember that once it is written electronically, it cannot be totally erased.

***Who to Include in the CC List***

Politics and hierarchies do exist in the business world. Accept and recognize that fact in your writing. This is not saying to ‘cc’ everyone in your chain of command; use your common sense and think about why you are including each person in the CC list. Carbon copy only those with a real need to know.

***The ‘24-Hour’ Rule***

No business document should be written in anger; however, this is not always possible. Wait at least 24 hours and then reread the document before sending. Chances are that you may choose to tone down or reconsider your initial response.

There are occasions when 24 hours may not be enough. A simple “I have received your memo and will get back to you within the next day or so” is acceptable when you need to expand the cooling off period. This is far more acceptable than to respond in anger that which you cannot retrieve. Never reply in anger - your job depends on it!

Writing for business is a basic part of the job; but knowing what to include, what not to include and what to stay away from is a key responsibility of all management personnel. A responsibility that cannot be taken lightly.

***Ten Rules of Written Business Communication***

There's one thing that makes every relationship work: communication. It doesn't matter if that relationship is a romantic one, a peer relationship, or a business relationship; Communication makes the world go around.

When you are communicating through the written word, it's easy to dash off a quick email or blast out a memo to employees or customers to keep them up to date. Unfortunately, when we communicate too quickly with the written word, we can create the wrong impression about ourselves and our business. And it could even cost you business! Here are Ten Commandments you need to follow when you're creating written communication for employees, suppliers, or clients.

1. Know what you want to say before you say it. If you're writing a longer memo or email (more than a paragraph or two) jot down an outline, even if it's on the back of an envelope. This will keep you on task and make sure you say what you actually want to say.
2. Keep it simple. Don't get convoluted or use big words. Stick to the point to get the business dealt with. Offer a way for them to have more questions answered (with a link, a phone number, etc.). That way, you won't be filling up your message with extraneous stuff that not every reader will want to know.
3. Use bullet points. Bullet points and numbered lists cut down on the number of words you have to write and make it easier for others to read. It's more likely that your work will be read if it's in a list.
4. WIIFM. This is an acronym that no one intentionally asks but everyone must have answered: "What's In It For Me?" No matter who you're communicating with, that question will be unconsciously asked. Make the answer very clear. If you don't know the answer, there's a good chance you don't need to write that memo!
5. Don't get bogged down. Sometimes it's easy to get off on a tangent as you write. Your outline (from point 1) will help, if you created one, but be sure to commit to writing a simple, clear message with one point and one point only.
6. Call to action. Readers will always unconsciously ask "What's in it for me?" and if you're able to answer it, you're halfway there! Once you've clearly stated an answer to WIIFM, you need to clearly outline what they can do to achieve it. A simple example might be, "to make sure that we keep our customers coming back" which creates job security for all of us [that answers WIIFM] or "please be sure to give all customers a Customer Satisfaction Postcard [call to action]."
7. Edit. Now that you've written your communication, go back and read it. Ask yourself, does it give off the impression I want it to give? Is there anything that others can read and misinterpret? If you're not sure, have someone else read it.
8. Spell check. Once you've clearly defined your message, hit the "spell check" button. It will save you many calls from customers who are wondering what a free "nzgjk" is. Also, if you have someone reading your communication before it goes out, have them check for words that are properly spelled but not the word you're looking for. That way, suppliers won't be concerned when they get a letter from you outlining how you'd like your employees to "spay" the supplier instead of "pay" the supplier).
9. Take 5 before hitting send. Although this is a good business practice for nearly every single piece of communication you create, it is especially true for emails and letters that are created in response to someone else's actions or letter. If a customer wrote you an angry letter or an employer made a rude remark to a supplier, it's best to write your email then take five minutes and think about it before sending it. Communication written in anger is less effective.
10. Follow up. Once you've sent the communication, follow up. That might mean a phone call or a quick poll of your employees or it might mean monitoring your email or getting a report from your email provider to tell you who opened their message.

We live in a world with other people and that means we're going to be communicating. Use these 10 commandments when you're creating written communication and you'll spend less time writing and more time doing what you want to do: running your business!

***In Pairs***

***Part One***

In the section below, you need to list the various different verbal and written communication techniques used in your workplace. Once listed, give a brief explanation of them and how they are used in your workplace.

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| ***Communication Technique*** | | ***Explanation*** |
| ***Verbal*** | ***Written*** |
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***Part Two***

Each person is required to write at least five different formats of written communications. Then next person will then read and analyse the communication and attempt to describe what the actual communication requires of the receiver. Attach your communications to this document and relate your interpretation of the document in the space allocated below.

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| --- | --- |
| ***Document Name*** | ***Message*** |
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***Part Three***

You have read and interpreted the message from your partner. Now you are required to re-write the message in a way to make it clearer and more understanding to the recipient/s. Re-write the messages and then attach them to this document.

***L***

***ead Workplace Discussions***

***No more fear***

For some of us, the idea of delivering a training workshop can induce complete panic. So we looked at some key steps you can take to help you deliver workshops with confidence, by creating memorable learning experiences which do most of the 'teaching' for you, putting yourself in the role of learning facilitator.

***Leading discussions***

Another simple and effective way to facilitate group learning is to lead a discussion on a topic. Keep in mind that you are learning facilitator: the learners should be doing more talking than you. The best way to ensure this happens is to focus on asking questions.

Asking good questions prevents you from 'showing up and throwing up'. They help to build rapport with your learners by getting them to open up.

Questions are useful to find out what learners already know about the topic in hand. This prevents you from telling them things they already know. By asking questions such as 'what do you already know about...?' or 'what are the key steps in this process...?' you encourage a discussion where everyone can contribute. This is energising and engaging for the participants.

When someone answers a question, clarify what you've heard. Make sure you really understand what they mean before moving onto the next point. Ask questions like 'so what exactly do you mean when you say...?'

Make certain that what you've heard is exactly what they meant. Ask questions that include a paraphrase, such as 'so am I right that what you're saying is...?'

Open questions begin with who, what, where, when, why and how. They produce a useful and detailed answer instead of 'yes' or 'no' and lead to other, related questions and drive the discussion. Another way of asking an open question is to use TED, which stands for Tell, Explain and Describe.

For example 'Can someone tell me more about...?' 'Who can explain how...?' 'Can I have a volunteer to describe the way you...?'

A great way to integrate questioning into your delivery is to use the three 'P's. First pose your question. In other words, ask the group a question. Next, pause. Sometimes you have to wait quite a while before anyone will answer your question.

Perhaps they're shy, or perhaps they just need to think. Eventually someone will break the silence. Bear in mind it will seem a long time to you, but not to them. Before you break the silence, pause again, just to be sure you've given them enough time to answer. If no-one answers the question, and you're sure you've waited long enough, its time to pounce. Ask someone directly to answer the question.

If they don't know the answer, pick on someone else. If you still get no answer, perhaps they just don't know!

Asking good questions is all very well, but if you're not listening to the answers, you may as well not bother! Active listening helps us to focus on what is being said, and to show that we are listening - this helps to encourage people to talk. People like to feel they are being listened to. Being a good listener helps you build trust.

Give non-verbal cues to show you're listening; maintain eye contact and use your body language, nodding and keeping an 'open' stance. Use verbal cues too and paraphrase to test your understanding. But make sure you hear people out - don't finish people's sentences.

Some people are poor listeners simply because they are just waiting for their turn to talk. One way to help this is with a 'double pause'. When the other person has finished speaking, pause. Then before you start to speak, pause again.

This gives the other person the opportunity to continue if they wish. Many people need time and space to think, before they can really tell you what's on their mind - give it to them. Remember you have two ears and one mouth. Use them in this proportion.

***In Pairs***

One person will be appointed to lead a discussion on a workplace topic, anything that you feel comfortable with. The other person will use the guide given below, to rate your abilities and then give you feedback. Once you have been given feedback, it is your turn to listen to the other persons’ discussion and give them feedback. Record the feedback you give, in the space allocated below.

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|  | **Expectations** | | |
|  | **Exceeds** | **Meets** | **Below** |
| **Content** |  |  |  |
| **Purpose clearly stated** |  |  |  |
| **Understandable and relevant** |  |  |  |
| **Presentation makes connections between topics** |  |  |  |
| **in this and other courses** |  |  |  |
| **Thesis logically developed** |  |  |  |
| **Conclusions supported, complete, accurate** |  |  |  |
| **Follows all assignment instructions** |  |  |  |
|  |  |  |  |
| **Organization** |  |  |  |
| **Effective sequence strategy that tells a complete story** |  |  |  |
| **Interesting introduction** |  |  |  |
| **Well developed main section** |  |  |  |
| **Credible conclusion** |  |  |  |
| **Flows from point to point** |  |  |  |
| **Clear transitions between topics/speakers** |  |  |  |
|  |  |  |  |
| **Style** |  |  |  |
| **Concise, correct, precise word choice** |  |  |  |
| **Proper tone and "voice"** |  |  |  |
| **Fresh, imaginative, energetic approach** |  |  |  |
| **Correct grammar, good diction, polished language** |  |  |  |
|  |  |  |  |
| **Delivery** |  |  |  |
| **Eye contact** |  |  |  |
| **Gestures appropriately; avoids distracting mannerisms** |  |  |  |
| **Effective voice inflection** |  |  |  |
| **Well-groomed; dressed appropriately** |  |  |  |
| **Good posture; moves around room** |  |  |  |
| **Relevant and effective computer/visual aids** |  |  |  |
|  |  |  |  |
| **Overall evaluation:** |  |  |  |

***C***

***hairing Meetings***

***What do we use meetings for?***

Meetings are very important for the work of any organisation. Good meetings are important for collective decision-making, planning and follow-up, accountability, democracy, and other practices that will help you to build a good organisation. If meetings are used in the correct way, they can help an organisation to be efficient. However, like all organising tools, meetings can be used badly and end up not serving the purpose that they are supposed to.

Sometimes we seem to attend too many long meetings, which discuss the same thing over and over again without seeming to move forward. Meetings can become places where conflict is played out. Some people can also see attending meetings as working for the organisation instead of seeing it as a tool for getting work done. We should try to make our meetings places where we get democratic and constructive participation and involvement from our members.

***Important things to know about meetings***

***The purpose of meetings***

Most people do not like attending meetings – especially if they are not sure what the purpose of the meeting is, or if it goes on too long and achieves too little. Meetings must not be too frequent or held just for the sake of it. There must be a need for a meeting. There should be decisions about the different types of meetings needed. For example, some meetings could be to discuss policy and others to discuss organisation (practical work).

Wherever possible the members must know what type of meeting they are going to and what the meeting is for – in other words, the PURPOSE of the meeting. Sometimes an organisation might call a special or extraordinary meeting. There are different types of meetings and planning and it should take account of this.

***Different types of meetings***

Most organisations will hold the following types of meetings:

***The general members meeting:***

This is the most common meeting, which usually happens once a month or once every two weeks. The general members meeting should be the place where members are informed of developments, involved in decisions and given education and information that will help them to become more active in the organisation. General meetings are usually the places where decisions are made and where the executive reports on work they and other sub-committees have done.

***Special meetings:***

These can be called to discuss specific issues, for example preparing for a national conference or work on planning activities for the year. Any members who are interested should be invited to attend special meetings. They should not be run like general members meetings (with minutes, reports etc) but should only focus on the issues they’ve been called to discuss.

***Executive meetings:***

The executive should meet more regularly than the general members, and executive meetings should have a more business-like focus. The executive has to plan implementation for the organisation, monitor the work that has been done, deal with problems, and often (if you’re part of a larger organisation) relate to other levels of the organisation. They should discuss correspondence in detail and address problems as they come up. The executive should also keep an eye on the finances of the organisation and monitor income and expenditure. Every executive meeting should have an item on the agenda that plans for the next general members meeting. They should provide both leadership and administration to the organisation.

***Annual General Meeting:***

Most organisations have an Annual General Meeting laid down in their constitution. The AGM is the place where the executive accounts to all members about the activities of the year as well as the finances of the organisation. The AGM is also the place where new leaders are elected and are given a mandate to run the organisation for another year. Most AGM’s need at least the following two detailed reports to the members:

The secretary’s report that lists plans of the organisation, the actual activities that took place that year, the achievements of the year, and the problems experienced.

***The treasurer’s report:*** a detailed financial report that lists all income from subscriptions, grants, donations, fundraising; and all expenditure. This report should also clearly state what the balance is and where that balance is held. It is important to have a written financial report at your AGM but very often members find financial reports difficult to understand and you should try and make it simpler by putting the main headings on news-prints and explaining it to people in less financial language.

***Planning a meeting***

Planning should improve participation by ensuring that discussion is on a single topic and that the members are well prepared for the meeting. This is the responsibility of the Chairperson, Secretary and Executive, depending on the type of organisation. Planning does not mean controlling and directing the meeting in such a way that it restricts participation

***Planning should include the following:***

Notification: It is the executive’s responsibility to ensure that everyone has been notified of the date, time and venue of the meeting, as well as the main issues to be discussed. For many organisations it is a useful practice to always have their meetings on the same day at the same time in the same place – for example on the first Saturday of every month at the local church hall. If you do not money to always inform your members of meetings then over time this will help you to cut costs, and to make sure that everyone knows where they can find the meeting.

***Preparing the agenda:*** The agenda is a list of the most important issues for the members to discuss. It is drawn from the Matters Arising from the previous meeting and from the discussions of the Executive or Secretariat.

The agenda is the responsibility of the Chairperson and the Secretary. The chairperson should read the minutes of the previous meeting to familiarise him/herself with the issues. This will for the basis of a list of matter arising from these minutes.

***Matters arising include:***

***Tasks*** – a report back must be given

***Matters for which further information*** was required for discussion

***Matters that were deferred*** to this meeting

***There are standard items for any agenda***

These items should be arranged in order of priority and time should be allocated for each discussion. Where possible, try to familiarise yourself with each area of discussion. An agenda should include a last item known as General or Any Other Business to allow individuals to raise short items not included on the agenda.

***How to run a meeting***

***The agenda***

Open the meeting and welcome everyone. Then go through the agenda step by step.

***Those present and apologies:*** The apologies of those members not able to attend the meeting are recorded as part of the minutes. Send round an attendance register if there are too many people to just record it in the minutes. Ask if there are any apologies from people who are not there.

***Minutes:*** Minutes are accurate notes of what is discussed and decided on at meetings. Make sure that the minutes of the previous meeting are circulated to everyone or at least read at the beginning of the meeting.

Minutes must be adopted at the beginning of a meeting. Give people a chance to read the minutes or read them out aloud. Everyone must agree that they are an accurate record of the last meeting. Members must be given the chance to add where item/points might have been left out.

***Matters arising from the minutes:*** This covers points that were discussed at the last meeting, when perhaps someone was asked to do some work or there have been subsequent developments, which now need discussion. A list of these points is drawn from the previous meeting’s minutes.

***Correspondence:*** This means all the letters that have been received by the organisation since the last meeting. They can be dealt with in different ways. If your group does not receive many letters, they could be read out and then discussed. Another way is for the secretary to list them with a brief explanation.

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The chairperson then goes through the list and suggests action. If the issue raised in the letter needs decisive action it can be more fully discussed.

***Other items on the agenda:*** Someone must introduce each item on the agenda. The item introduced could be either a discussion or a report.

If it is a discussion someone is given the job of leading the discussion and making proposals on that particular item.

If it is a report, the person who is reporting should comment on the following:

Was it a task that was completed, what were the problems and what still needs to be done? (issue, facts, options, proposal – see guide on inputs and verbal reports)

Discussion should be to examine a problem or discuss an issue in more detail – get everyone’s ideas and points of view on it, arrive at a decision, delegate responsibility for the completion of the task, and follow-up to ensure that it is completed.

Meeting Procedures

All members should know meeting procedures. There are a number of points that people use in meetings to ensure that the meetings run smoothly. Often members use these points to assist the chairperson. The following are procedural points most used in meetings:

***Point of Order:***

It should be used when a member feels that the meeting procedure is not being stuck to and s/he wants the meeting to return to the correct procedure or order. For example, when an individual is speaking totally off the point, another member might ask on a point of order for the speaker to stick to the agenda.

***Point of Information:***

A member may raise their hand and ask to make point of information (or request information) when it is not his or her turn to speak. This can enable a member to speak (by putting up his/her hand and asking to speak) when it is not his/her turn to request more information on the matter being discussed, or to give more information on a point being discussed.

***Out of Order:***

When an individual is not sticking to meeting procedure, being rude, interjecting or misbehaving in some way, the chairperson might rule him/her out of order.

***Protection:***

A speaker who is being harassed when he/she is speaking can ask for the protection of the Chairperson.

***Quorums:***

This is the minimum number of people who must be present for the meeting to conduct business and take decisions. This minimum number is stated in the organisations constitution. The meeting cannot start until there is a quorum.

Always ensure that you have this minimum number of people at a meeting, especially when decisions must be taken. If you do not, and decisions are taken, members who were not present can request that it is re-discussed, meaning that time was wasted.

All these points are called meeting rules or procedures, which are there to try to make meetings more efficient and effective. They should not be over-used just for the sake of it.

***How to take decisions in meetings***

***Decisions are usually reached through two main ways:***

***Consensus***

This means reaching decisions by discussion and general agreement.

***Voting***

People vote for a particular proposal. Usually one person will put forward a proposal, someone else will second it and then people will vote. If the majority of people accept the proposal, it then becomes binding on the organisation.

Voting can either be done by a show of hands or secret ballot.

***Show of hand***

The Chairperson would call for a show of hand when there is a difference of opinion amongst members when a decision needs to be reached. S/he will call on members to raise their hands to show their support for or against a proposal.

These votes are then counted – majority would then ensure that the proposal stands or falls away.

***Secret ballot***

Each person would be given a piece of paper where s/he would write whether s/he supports a particular proposal or not. The votes would be counted and the majority would ensure that the proposal stands or falls away.

It is usually better to reach consensus than to vote. Reaching consensus often means that there are compromises from everyone but it ensures that most people feel part of the decision. Sometimes a vote does need to be taken, for example in elections or when the meeting cannot reach a decision through consensus.

***Resolutions***

These are formal proposals put forward to the meeting, for people to agree or disagree with. If some disagree, they are voted on. If passed, they become resolutions and therefore policy of the organisation. There should be a proposer and seconder of each resolution.

Resolutions are a clear way to set out the policies and decisions of an organisation. Usually a resolution has three parts to it:

We start the resolution by saying that, eg: "The AGM of the Natalspruit Women’s Organisation, meeting on (give date) notes that: and then you list the main issues that you are concerned about, for example:

***Noting:***

The rapid increase in crime in this area,

The devastating effects it has on the lives of people in this area,

The second part of the resolution will then list the points that show your understanding of the issue and its causes, for example:

***Believing:***

That the increase in crime is due to the failure of police to effectively service our community

That the high unemployment rate is forcing many of our young people to take up crime as a way of life

The third part lists exactly what your organisation has decided to do or what its policy should be on the issue, for example:

***Therefore resolves:***

To actively participate in the community police forum

To use all means possible to pressurise the police to perform their duty

To work with the local council to ensure that facilities and clubs are supplied to keep our youth off the street

Amendments may need to be made to resolutions, and these should be accepted by everyone present. If there is not total agreement on an amendment, a vote should be held and the chairperson should record the votes of those for, and those against, the amendment, as well as those abstaining. If the majority support the amendment it stands and the original section of the resolution falls away.

The Chairperson and members must study the constitution of the organisation to make sure they know and understand all these procedures.

***How to chair the meeting***

The chairperson is the most important person in the meeting. He or she will set the pace for the meeting, make sure that people stick to the topics, ensure that democratic decisions are taken, and that everyone is on board with these decisions. Chairing is a great skill and it is important to teach members to chair meetings and rotate the job where possible so that more people can practise this skill. However, it is always good to have an experienced chairperson for important meetings.

A good chairperson is an active chairperson; it is not the chairperson’s job to simply keep a list of speakers and to let them speak one after the other. The chairperson should introduce the topic clearly and guide the discussion especially when people start repeating points. When a discussion throws up opposing views, the chairperson should also try to summarise the different positions and where possible, propose a way forward. The way forward can involve taking a vote on an issue, having a further discussion at another date, or making a compromise that most people may agree with. The chairperson should ask for agreement from the meeting on the way forward, and apologise to those who still wanted to speak.

***Here are the basic steps for chairing a meeting:***

* The Chairperson opens the meeting and presents the agenda.
* S/he should start a meeting by setting a cut-off time when everyone agrees that the meeting should end. This helps to encourage people to be brief.
* S/he calls on individuals to introduce or lead the discussion of points on the agenda and gives everyone a chance to speak.
* S/he also ensures that no one dominates discussion.
* S/he should try to summarise the discussion clearly restating ideas and proposals put forward. However, there is no need to repeat everything that has been said.
* S/he must be able to get agreement on what the decision is – s/he must ensure that everyone understands the decision, delegates to someone the duty of carrying out the decision, ensures that the person given the responsibility knows what s/he has to do and when it should be done and reported on.
* S/he ensures that everyone takes part in the discussions and decision-making.
* S/he ensures that the date for the next meeting is always set at the meeting.
* How to write minutes in the meeting
* It is essential that minutes are recorded accurately. This not only serves as a reminder of issues that need to be followed up but also prevents arguments about previous decisions. Minutes are also a guide for the secretary and chairperson when drawing up the agenda for the next meeting.
* Minutes help the organisation to learn from its past failures and successes. This is done when the secretary reflects on the minutes of the past year when drawing up an annual report.

There are three aspects to taking good minutes:

***Listening***

This is a very important skill to develop. You must not only listen to what is being said but you have to ensure that you understand as well.

***Taking notes***

Write down only the main points and the decisions taken. It is impossible to write down everything that is being said.

***Always try to identify the main points***

What is the main aim of the discussion?

What information is important?

Use your own words. If you do this you will find that your minutes are more accurate and complete than if you try to jot down everything a speaker says.

***Pay special attention to decisions. If necessary, ask for the decisions to be repeated.***

Ask for clarification. Do not hesitate to stop the meeting if you are not clear about any decisions or issues being discussed.

Writing the minutes

* The following information should be included:
* Nature of meeting, date, time, venue
* Names of those present
* Names of visitors
* Apologies
* Summaries of decisions and discussions

This includes work to be followed up and who have taken responsibility for certain tasks. The minutes should be written neatly in a special minute book or file; avoid jotting down minutes on scraps of paper. The book or file should be kept safely and always available for consultation at any time. Chairmanship is a learned skill. It has to be practiced and perfected. A chair is considered successful when he provides opportunity for everyone to be heard, gives appropriate rulings and protects the minority while abiding by the majority decisions.

***Ten Commandments for the Chair***

***Be Prepared***

The number one rule for effective chairmanship is to be prepared well in advance for the meeting. He should, with the help of the secretary of the organization, draft an agenda for the meeting which reflects the purpose of the meeting. He should see to it that all committees and subcommittees are given equal chances to be heard without hindrance. He should contact the chairs of various committees and check what they are going to deliver. Prioritize the items according to importance.

If some topics are current, motivate the concerned committees to present their reports. Spread the agenda evenly to provide for everyone to be heard. Being prepared will enable the chair to guide the meeting in the proper direction rather than allow it to drift aimlessly. Adhering to proper formal meeting procedures by the chair will uphold democratic principles and increase the efficiency and effectiveness of the procedures.

***Be Prompt***

Prompt responses to the members’ opinions and suggestions are very important in keeping the meetings under control. Use common sense. Never let the discussion linger on. Never let things get out of your command.

***Be Punctual***

A chair should be the first to arrive at the meeting place. He should realize that time is very precious. A chair must insist that meetings start on time and end on time. Frivolous discussion should be discouraged.

***Be Strict***

A chair should be strict without being rude. Always see to it that the rule and decorum of the organization are observed by the members. Never allow personal attacks and ego boosting performances by the members.

***Be Impartial***

Many a times, the discussions may reach a point where the chair will have to make a ruling depending on the preceding discussions. The general trend of the discussion may have gone against the chair’s own conviction. But the majority should always be given deep thought. Chair may mention his reservations while proclaiming his rulings, though.

***Be Honest***

Being honest and open is the best virtue for a chair. Even though the chair has to stick with the majority decision, the chair will be respected if he reveals his own calibre and credibility.

***Be Rational***

Common sense and reasoning can be of great virtues for a chair. A rational chair will be efficient in judging the members’ moods and guiding the discussion in the appropriate direction.

***Be Humorous***

A humorous chair can convert the most monotonous meeting into a colourful and enjoyable experience. The humour should be spontaneous and well timed.

***Be Current***

Keep updated on the current affairs of the organization, the society, the nation and the world. This will come handy during the discussions.

***Be Knowledgeable***

Above all, the chair should have a sound knowledge of the parliamentary procedures and rules governing the conduct of a meeting.

***H***

***ow do we get the information?***

There are many different approaches that can be used to gather information about a business. They include the following:

* Review business plans, existing business models and other documentation
* Interview subject area experts
* Conduct fact-finding meetings
* Analyze application systems, forms, artefacts, reports, etc.

The business analyst should use one-on-one interviews early in the business analysis project to gage the strengths and weaknesses of potential project participants and to obtain basic information about the business. Large meetings are not a good use of time for data gathering.

Facilitated work sessions are a good mechanism for validating and refining ?draft? requirements and also to prioritize final business requirements. Group dynamics can generate even better ideas.

The business analyst should ensure that all business analysis meetings are well planned and productive. It is important that the meeting goals and objectives are clear, that an agenda is prepared and distributed prior to the meeting, that the meeting room is suitably set up.

Following the meeting, meeting notes or minutes should be produced and are distributed to participants and other stakeholders. The meeting notes should summarize the key topics covered, the important decisions made and any "action items" that resulted from the meeting.

If a scribe it to be used for note taking, he/she must be knowledgeable with the subject matter. Where possible, the business analyst should ideally, take the meeting notes and prepare the minutes. This helps ensure that all important points are captured and clearly stated.

There is a significant amount of preparatory and follow-up work required for any formal meeting. This work takes time and effort and needs to be factored into the project plan.

Many executives are constantly bombarded by flashy products and services from vendors and would-be consultants. Some are awestruck by stories of miraculous business transformations. Whether such stories are real or imagined, what works in one company, does not necessarily work in another.

Beware of silver bullets! Flashy new technologies, methodologies, software packages and extreme outsourcing are just a few silver bullets to watch out for.

***Process Analysis***

In order to help align a business with the organization's goals and objectives, the business analyst must understand the interactions that the organization has (or wants to have) with its suppliers and customers. The business analyst must understand all business events that initiate interactions. He or she must also examine how the business responds (or should respond) to each of those events.

The business analyst illustrates the business processes in a business process model. The process model describes each business processes from a conceptual perspective. It describes "what" the business does to respond to a business event; not "how" it responds. In other words, the conceptual process model does not make reference to paper forms, computer systems or procedures that are followed.

Normally, the process model is depicted as a hierarchy consisting of three or four levels. The organization's main business functions are shown at the top of the hierarchy. At the bottom of the hierarchy are the "elementary processes" or EPs. The EPs are the holy grail of process modelling.

Each elementary process represents the business's complete response to an external business event. During business system design, the analyst will revisit each of the elementary processes to determine the best way to physically implement or automate the elementary process in the future state.

There can be one or more "physical" implementations of a single elementary process (e.g. "self-serve" Internet implementation, "full service" over-the-counter implementation)

***Data Analysis***

One of the most important responsibilities of the Business Analyst is to understand the data that is needed by the organization to operate efficiently. Each time a business interacts with a supplier or customer, information is captured by the business. This information is required for operational, tactical and strategic purposes.

Data is a valuable business asset that can be sliced and diced in different ways to generate business intelligence. This business intelligence is useful to identify problems (e.g. supply chain issues, distribution bottlenecks) and opportunities (understanding buying patters, reducing inventories).

Many organizations have serious problems with data quality, availability, consistency, currency and accessibility. These problems are often caused when data is fragmented across multiple systems or just poorly managed. The method that is used by the business analyst to understand an organization's data is to build a conceptual data model. The data model illustrates the "things" of interest to the business (i.e. data entities) and important facts (i.e. attributes) about those things.

It also depicts relationships between the things of interest and fundamental business rules. Although a fully detailed data model can sometimes look like the wiring diagram for the space shuttle, abstractions of the data model can be produced that are less detailed and more "user friendly".

***Organisation Analysis***

The business analyst needs to understand how a business is structured and how that structure contributes (or hinders) the attainment of the business goals and objectives. In addition to analyzing the organizational hierarchy,

it is important to assess the business culture and the "sub-cultures" in each organizational "silo". There are many different organisational models used. Some businesses adopt a very flat structure while others have many organizational levels. Some organisations are centralized and are modelled around key business functions. Others are organized geographically. Matrix organizations are also popular.

The business analyst needs to be sensitive to the people assigned to each role in the organization. An organization is its people and each person has different motivations. Sometimes a person's motivation is well aligned with the goals and objectives or the businesses. In other cases, the two can be at odds.

The education, skills and experience of each individual will also determine how well a person contributes to the organization's goals and objectives. In a perfect world, all people are well suited to their jobs and contribute more than they receive in benefit. In the real world, however, some individuals manage to rise to the level of their incompetence and become "weak links".

The business analyst is in a unique position to find the "stars" and "weak links" in an organization. The stars are frequently often the ones most supportive of business analysis initiatives, the ones most willing to share information and the ones most willing to accept change.

*B*

usiness reports are usually written to inform, and the audience for the report can be any combination of internal, external, or both and/or technical, non-technical, or both. Therefore, knowing your audience and outlining information carefully is critical to the success of your report. Structure your document logically with a purpose statement, executive summary, body, action steps, and appendices as appropriate.

***Make it as short as possible***

People are very pressed for time and they don’t have a lot of time to read what you have written. Short sentences, even bulleted lists of points you want to make, are preferred over long, convoluted sentences that go on and on and on… you get the idea. Try breaking each sentence into about 20 words. If a sentence is too long, rewrite it to break it into two sentences. Keep the paragraphs short, too.

***Write naturally. Write the way you would speak.***

In addition, reports are often persuasive. For example, you may write that the purpose of the report is to explain the value of a proposed change when the real reason for your report is to seek an authorization for the proposed change.

***Tips on how to write a business report so that the recipient will respond to it:***

* Write from the reader’s perspective. Make sure you include all the appropriate background information your audience will need.
* Be specific. Use statistics and percentages.
* Include action items if needed.

***Terms of Reference***

Margaret Anderson, Director of Personnel has requested this report on employee benefits satisfaction. The report was to be submitted to her by 28 June.

***Procedure***

A representative selection of 15% of all employees were interviewed in the period between April 1st and April 15th concerning:

* Overall satisfaction with our current benefits package
* Problems encountered when dealing with the personnel department
* Suggestions for the improvement of communication policies
* Problems encountered when dealing with our HMO

***Findings***

* Employees were generally satisfied with the current benefits package.
* Some problems were encountered when requesting vacation due to what is perceived as long approval waiting periods.
* Older employees repeatedly had problems with HMO prescription drugs procedures.
* Employees between the ages of 22 and 30 report few problems with HMO.
* Most employees complain about the lack of dental insurance in our benefits package.
* The most common suggestion for improvement was for the ability to process benefits requests online.

***Conclusions***

* Older employees, those over 50, are having serious problems with our HMO's ability to provide prescription drugs.
* Our benefits request system needs to be revised as most complaints concerning in-house processing.
* Improvements need to take place in personnel department response time.
* Information technology improvements should be considered as employees become more technologically savvy.

***Recommendations***

* Meet with HMO representatives to discuss the serious nature of complaints concerning prescription drug benefits for older employees.
* Give priority to vacation request response time as employees need faster approval in order to be able to plan their vacations.
* Take no special actions for the benefits package of younger employees.
* Discuss the possibility of adding an online benefits requests system to our company Intranet.

***Important Points to Remember***

***A report is divided into four areas:***

* Terms of Reference- This section gives background information on the reason for the report. It usually includes the person requesting the report.
  + Procedure- The procedure provides the exact steps taken and methods used for the report.
* Findings - The findings point out discoveries made during the course of the report investigation.
  + Conclusions- The conclusions provide logical conclusions based on the findings.
* Recommendations - The recommendations state actions that the writer of the report feels need to be taken based on the findings and conclusions.
  + Reports should be concise and factual. Opinions are given in the "conclusions" section. However, these opinions should be based on facts presented in the "findings".
* Use simple tenses (usually the present simple) to express facts.
  + Use the imperative form (Discuss the possibility ..., Give priority ..., etc.) in the "recommendations" section as these apply to the company as a whole.

***Steps in Report Writing***

# *****How to Write a Report*****

Reports consist of the following elements:

|  |  |  |
| --- | --- | --- |
| ***Order in Report*** | ***Order Written*** | ***Executive reads*** |
| 1. Executive Summary | 6 | Always |
| 1. Contents | 7 | N/A |
| 1. Introduction | 1 (Unless academic Report) | Sometimes |
| 1. Findings (Main Body) | 3 | If interested in research |
| 1. Conclusions | 4 | If surprised… |
| 1. Recommendations | 5 | Nearly always |
| 1. Bibliography / sources | 2 Write as you research | If report shows area that needs further investigation |
| 1. Appendices | Anytime you find extra info. | Rarely |

# *****1 Executive Summary*****

The executive summary should include a summary of all of the key points, the idea is that an executive can read the summary and if it appears logical and in line with expectations the recommendations can be followed without the need to read further.  This is in fact the most important part of the report and should be written last. The executive summary should include a summary of all parts of the report **including** recommendations.

**Writing Order:** Written after the rest of the report (But before the contents page)

**Email Tip**:  If you are sending the report via email, include the executive summary in the main part of your Email, so that a busy executive doesn’t have to read an attachment to read the main points.

# *****2 Contents*****

The Contents of the report should be consistently laid out throughout the report and you should include both page numbers and title numbers.  In this example we look at the transport requirements for sales people:

# *****3 Introduction / Terms of Reference*****

The introduction should say why the report is being written.  Reports are nearly always written to solve a business problem. Reports maybe commissioned because there is a crisis or they maybe routine.   Nearly all reports in some way answer the age-old business problem, how can we increase profits?

**Writing Order:** Often written first, but maybe refined at anytime. (In Business studies courses this could be done later, because the exact business problem may not be given by the lecturer.)

# *****4 Findings / Main Body*****

Sometimes reports don’t say Findings, but it is normally assumed that the main part of your report will be the information you have found.

This information is not always read by executives, but that doesn’t mean it isn’t important, because without thorough research and analysis the author will not be able to come to effective conclusions and create recommendations.  Also if anything in the executive summary surprises the executive, then they will turn directly to the relevant part of the recommendations.

**Writing Order:** This is normally written after the 1st draft of the introduction.

# *****5 Conclusions*****

The conclusions should summarize the Findings section, do not include diagrams or graphs in this area. This area should be short, clearly follow the order of the findings and lead naturally into the recommendations.

You should never include new information in the conclusions!

**Writing Order:** Written after the Findings

# *****6 Recommendations*****

All reports should include recommendations or at least suggestions. It is important to make sure that there is at least an indicator of what the Return on Investment would be.  It is always best if this can be directly linked, but may not always be possible.

Make sure that your recommendations clearly follow what is said in the conclusions

**Tip:** if you don’t have any ideas suggest a brainstorming meeting and invite the relevant people.

**Writing Order:** After the Conclusions

On the following pages you will find one of the many information gathering processes, this particular one is known as an information audit.

***Step 1 – Data Gathering & Data Analyzing***

***Planning Process***

* ***Develop clear objectives*** 
  + Know what you want to achieve
  + Know your organisation
  + Identify your stakeholders
* ***Determine scope and resource allocation***
  + Scoped by type of information or coverage of the organisation
  + Estimate level of human, financial, physical and technical resources
* ***Choose methodology***
  + Data Gathering (Survey)
  + Data Analysis and Evaluation
* ***Develop communication strategy***
  + Communication before, during and after
  + Communication of findings and recommendations
  + Communication of implementation of recommendations
* ***To decide on the most appropriate method of data collection, you must know:***
  + What data do you need to achieve objectives?
  + From whom do you need to collect it?
  + What is the most appropriate way of collecting data in your organisation?

**Survey Delivery Mechanisms**

* ***Web‐Based***
* ***Hard Copy***
  + Mail survey
  + Drop survey
* ***Human***
  + Door‐to‐door
  + Random stop
* ***Telephone***

***Step 2 – Gathering of Information/Data***

**Survey Types**

* Quantitative
  + Close ended questions
* Qualitative
  + Open ended questions

Whether quantitative or qualitative, can also be:

* Single form
  + Single scroll‐down page, moving from one question to next
* Multi‐branch
  + Answering questions differently routes to another sequence of questions further down the questionnaire

***Data Gathering Elements***

* User information
* Information needs
* Awareness of services
* Quality of services
* Accessibility
* Training needs
* User habits
* Demographics

***Survey Methods***

* Questionnaires (Quantitative)
  + Interviews
  + Personal
* Focus Group (Qualitative)
  + Observation

***Questionnaires***

* Can be used to collect both qualitative and quantitative data
* Can be distributed manually or electronically
* Can reach a vast number of people regardless of physical location or geographical dispersion
* Can be distributed quickly and cheaply
* Can be used when human and financial resources are not available to conduct interviews

***Questionnaires: Advantages & Limitations***

* Questionnaires work well for:
  + Measuring awareness
  + Gathering usage statistics
  + Investigating your “market share”
* Questionnaires do not work well for:
  + Evaluating value of service
  + Identifying usage barriers
  + Discovering deficiencies in your service or collection

***Optimizing Questionnaires***

* “Sell “purpose and importance before distribution and provide an incentive
* Keep them short, structured and grouped according to purpose
* Let respondents know the number of questions
* Give clear instructions, appropriate time and due date for return
* Use terminology or language familiar to your users
* Use “satisfactory,”“unsatisfactory “scale, rather than “1,2,3”ranking
* Allow flexibility to go back, change, “skip” or “save” responses
* Avoid surveying for information you can find another way
* Test or pilot to a sample group before distribution

***Interviews***

* Personal Interviews
  + Can be used for evaluating information needs
  + Can be used for evaluating staff responsiveness, attitudes and perceptions of the library and info services
  + Can be used for tracking the flow of information within the company (info-mapping)
* Focus Group interviews
  + Can be used when interaction of participants will generate ideas
  + Can be used as good sounding boards for ideas of new services
  + Can be used to survey participants on the same organisational level
  + Can be used to survey departments or teams with a common goal or interest

***Interviews: Advantages & Limitations***

* Interviews work well for:
  + Personal contact
  + Immediate responses
  + Allowing participants to express themselves in own words
  + Allowing the collection of a large volume of rich data
  + Allowing discussion, probing and unexpected insights
  + Investigating problems
* Interviews do not work well as:
  + They are costly in terms of time and resources
  + The quality of data is reliant on the skill of the interviewer
  + Anonymity is not possible, so “frank and open” discussion is subjective
  + They can be extremely difficult to schedule without directive from management

***Optimizing Interviews***

* Prepare and distribute agenda, outline of topic and questions that will be asked
* Ensure that each question is open ended, unambiguous and contains only one idea
* Use skilled interviewers with good listening skills
* Ensure interviews last no longer than 30‐60 minutes, depending on type
* Select a comfortable and neutral setting and ensure participation by all
* Include highest level of management available if possible
* Record interviews rather than relying on memory

***Observation***

* Reviews the information environment in which the information user works in order to create a view of how information fits into the users’ work processes
* Watch, follow and record activities as they are performed, interpret observations and draw conclusions.

***Observation involves***

* Selecting the representative group you will observe
* Investigating “desktop” and physical information repositories (files, collections)
* Silently observing work routine and following up with verbal questions

***Observation: Advantages & Limitations***

* Observation works well when:
  + You are more interested in “behaviour” rather than “perceptions” of the users
  + You require a qualitative view of how information fits into work processes
* Observation does not work well as:
  + Observation changes behaviour. What is observed is not normal behaviour
  + There is no way to verify observations and the inferences drawn from them
  + The observer may be biased and not completely objective

***Optimizing Observation***

* Segment the groups from which you want feedback
* Try to understand each constituencies goals and interests thoroughly
* Record your observations. Take careful note of all informal information gathering
* Use open‐ended questions when you interview verbally
* Avoid putting your own bias on observations. Consider a neutral third party if impossible
* Allow sufficient time for observation

***Potential Pitfalls in Data Collection***

* Representative Sample
  + Small, good enough, wrong
* Bias
  + Outside consultant or third party
* Wrong methodology
  + Open‐ended for qualitative data
  + Close‐ended for quantitative data
* Timeline
  + Be realistic. Plan for at least 3 months (10‐12 weeks)

***Step 3 – Analyse and Evaluate Data***

***Data Analysis***

* Investigate your data analysis options
  + Manual
  + Desk top tools (spreadsheets & databases)
  + Survey software programmes
  + Statistical packages
* Data processing or preparation plan
  + Transcription of interviews and observation findings
  + Editing responses
  + Coding responses
* Data entry
* Data analysis
* Recording and Presenting Survey Results
  + Descriptive summary
* Text or tabular (including cross‐tabulation)
  + Descriptive statistics
* Frequency counts, ranges, measures of central tendency
  + Graphical representation
* Charts, graphs, histograms

***Descriptive summary –text or tabular***

***Data Analysis***

***Descriptive Statistics –frequency counts, ranges, measures of central tendency***

***Business Competencies Skills and Preparation***

In the practitioner survey, communication skills were viewed as the single most important business competency with a 95 percent “must have” response. The other “must have” for today’s entry-level candidate was the ability to analyse and synthesize information, at 75 percent importance. Marketing, budgeting, product evaluation, service planning and implementation, and performance management were judged fairly highly at “nice to have” in the 59-71 percent range.



***Graphical Representation***

***Strategic Issues Facing Information Professionals***

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***Potential Pitfalls in Data Analysis***

* Percentage vis‐à‐vis size of sample
* Keep it simple if possible
* Honest and accurate conclusions
* Inaccurate or improper sampling procedures

***Step 4 – Formulate Recommendations***

***Data Evaluation***

* Data Evaluation
  + Evaluate problems or “pain points”
  + Analyse gaps
* Identify mission critical information needs
  + Interpret the mapped information flows
  + Develop strategies
* What have you got that fits?
* What “solutions” would address needs

***Recommendations & Implementation***

* Communicating Recommendations
  + Written report
  + Oral presentation
  + Seminars
  + Personal feedback to participants
  + Corporate intranet/web site or newsletter
* Implementing Recommendations
  + Develop an implementation programme
  + Develop an implementation plan
* Strategic, business, marketing
  + Develop a communication strategy

***In Your Groups***

***Part 1 - Practice applying the data gathering techniques to specific situations within an organization***

Select appropriate data gathering technique(s) for ***one*** situation described below and formulate survey questions:

* A department of 40 people that generates large volumes of reports, papers and other documents and draws on expensive external information resources. This department has a departmental manager and 4 project managers.
* 1200 geographically dispersed employees whose information needs, sources and outputs are unknown. They belong to 4 business units, each headed by a group manager situated in head office.
* 500 offshore geologists currently using ad hoc and unknown, therefore possibly inappropriate, information resources.

***Part 2 – Once you have completed your data survey, write a report on your findings***

***Part 3 – Compile a presentation on your findings and prepare (as a group) to present this to the rest of your class***

# *Preparing and Delivering Presentations*

# *Three basic steps*

* ***Prepare the content***
* ***Prepare the visuals***
* ***Deliver a winning presentation***

***Preparing the Content***

***Remember Voltaire: The secret of being a bore is to tell all***

# *Know your audience*

* Any presentation must be geared to your audience. Prepare an audience profile. That will tell you what kind of a presentation you need to prepare.
* Who are they?
* What is their primary question?
* How much do they know already about the issue, problem or project?
* How willing are they to hear the message? Is it a command performance, completely voluntary or something in-between?
* Are there any other stakeholders we need to reach with these messages?
* Who will you audience be?
* How would the different audience profiles influence the length, content and style of your presentation?
* What should be the content of the presentation?

***The content of the presentation has three parts: the opening, the body and the close.***

***A strong opening should include a hook to immediately get your audience interested, followed by an overview.*** The hook should address directly your understanding of the key question that your audience is interested in. Refer to your focus group data. Remember, too, that the opening statement is your best chance to establish a rapport with the audience – a personal connection. It should also create a sense of urgency. The overview should tell the audience what they are about to hear. Set it out like the outlines of a story – the story they are about to hear. The overview is a roadmap to the body of your presentation.

***The body is the key to giving your audience an understanding and appreciation of your project.*** The body should have a logical structure. It should be broken down into parts that fit together. However, keep is simple. Prioritise and consolidate. Most audiences won’t remember more than three things about a given subject. Here are the elements that should go into the body of the presentation. Background, this puts the audience on an equal footing with the speaker and will be required in most but not all cases.

A clear problem statement backed by supporting evidence that shows why the problem or need exists must be presented to the audience. Again, some audiences may not need a problem discussion. Go back to your audience profile to determine how much background is needed. The solution to the problem, in this case, will be your project.

Here you need to be very clear about why your project will solve the problem.

* Evidence that the project will solve the problem
* The benefits that will be derived from the project; why the audience should support it
* Actions needed to proceed with implementation. In this case, a discussion of the costs and benefits of a loan

***The close should summarize the strengths*** of the project and reiterate how they solve the problem and include a proposal for action. It should be smooth and forceful and give the audience something to remember.

## *Visuals*

Visuals can be very helpful in focusing the attention of the audience and giving additional clarity to the presentation. Experience suggests that if a presentation is made without visuals, it needs to be short, with stimulating content, delivered in a very lively style.

If visuals are used (and we think that usually they should be), keep the following points in mind:

* Visuals should be closely integrated with and supportive on your main points
* They should be simple and easy to understand
* Make sure that everyone in the room can see the visual
* In explaining visuals, explain (summarize) the whole visual to the audience before explaining its component parts
* Tie your words to the visual with gestures to keep the viewers eyes fixed on the visual
* Give the audience a few seconds to absorb visuals before proceeding with the presentation

***Preparing your Presentation***

Business is all about selling, a product, topic or concept. When making a business presentation, the most important thing is to know your material. If you do not know everything about what you are selling, it is not likely that the audience will be buying. Keep your audience focused and interested. Making effective business presentations takes practice, but with a few tips up your sleeve, you are ready to take on the challenge.

***1. Use Key Phrases about Your Topic***

These business presentation tips refer to PowerPoint (any version) slides, but all of these tips in general, can be applied to any presentation. Seasoned presenters use key phrases and include only essential information. Choose only the top three or four points about your topic and make them consistently throughout the delivery. Simplify and limit the number of words on each screen. Try not to use more than three bullets per slide. The surrounding space will make it easier to read.

***2. Slide Layout is Important***

Make your slides easy to follow. Put the title at the top of the slide where your audience expects to find it. Phrases should read left to right and top to bottom. Keep important information near the top of the slide. Often the bottom portions of slides cannot be seen from the back rows because heads are in the way.

***3. Limit Punctuation and Avoid All Capital Letters***

Punctuation can needlessly clutter the slide and the use of all caps makes statements more difficult to read and is like SHOUTING at your audience.

***4. Avoid Fancy Fonts***

Choose a font that is simple and easy to read such as Arial, Times New Roman or Verdana. Avoid script type fonts as they are hard to read on screen. Use, at most, two different font’s one for headings and another for content. Keep all fonts large enough (at least 24 pt and preferably 30 pt) so that people at the back of the room will be able to easily read what is on the screen.

***5. Use Contrasting Colours for Text and Background***

Dark text on a light background is best, but avoid white backgrounds tone it down by using beige or another light colour that will be easy on the eyes. Dark backgrounds are effective to show off company colours or if you just want to dazzle the crowd. In that case, be sure to make text a light colour for easy reading.

***6. Use Slide Designs Effectively***

When using a design theme (PowerPoint 2007) or design template (earlier versions of PowerPoint), choose one that is appropriate for the audience. A clean, straightforward layout is best if you are presenting to business clientele. Select one that is full of colour and contains a variety of shapes if your presentation is aimed at young children.

***7. Limit the Number of Slides***

Keeping the number of slides to a minimum ensures that the presentation will not become too long and drawn out. It also avoids the problem of continually changing slides during the presentation that can be a distraction to your audience. On average, one slide per minute is about right.

***8. Use Photos, Charts and Graphs***

Combining photos, charts and graphs and even embedding digitized videos with text, will add variety and keep your audience interested in the presentation. Avoid having text only slides.

***9. Avoid Excessive Use of Slide Transitions and Animations***

While transitions and animations can heighten your audience’s interest in the presentation, too much of a good thing can distract them from what you are saying. Remember, the slide show is meant to be a visual aid, not the focus of the presentation. Keep animations consistent in the presentation by using animation schemes and apply the same transition throughout the presentation.

***10. Make Sure Your Presentation Can Run On Any Computer***

Use PowerPoint's Package for CD (PowerPoint 2007 and 2003) or Pack and Go (PowerPoint 2000 and before) feature when burning your presentation onto a CD. In addition to your presentation, a copy of Microsoft’s PowerPoint Viewer is added to the CD to run PowerPoint presentations on computers that don't have PowerPoint installed.

## *Deliver a Winning Presentation*

Some studies suggest that the major element in the success of failure of a presentation is the way it is delivered, so here are some keys to good presentation:

* Don’t read
* Don’t hide behind a lectern. It is a barrier to the audience. Come out from behind the lectern when you can to achieve more intimacy with the audience, connect with them and show them you’re alive and interested in making your points with them.
* Keep hands away from the body, because this will distract the audience – their eyes will usually follow your hands.
* Use supporting gestures, but use them in moderation.
* To achieve the right voice volume, direct the presentation to someone at the back of the room.
* Don’t rely on the audience to follow: lead them!
* Practice the first sentence or two of your presentation (memorize if possible) to ensure a smooth beginning
* Memorize the last passage to assure a strong ending.
* Eye contact is critical; it is a silent persuader
* Try to focus on each person in the room for 3-5 seconds. It may feel unnatural, but it works, and will help you to concentrate and gain your trust with your audience.
* Don’t scan the audience. This suggests insincerity, lack of control and nervousness.
* Good eye contact will moderate speech, improve gestures and reduce nervousness
* Pauses are powerful. Don’t be afraid to use them. The first place to use a pause is at the start of your presentation. Move to the podium, fix your eyes on the audience for a moment then start. You are in control. Also remember, listeners need thinking space between ideas. This applies also to visuals. Don’t try to talk while you are doing something physical like turning a flip chart.
* First of all, most standard rules of good technical writing apply also to presentations, so familiarize yourself with the document Rules for writing manuscripts, also available from my homepage. However, keep in mind that presentations should be very terse. Short or even partial sentences are acceptable, especially in bullet lists.
* Do not cut and paste equations or figures from papers using “screen capture”. The result is always sloppy and unreadable. Retype the equations instead. If this is too cumbersome, you are using the wrong software.
* The paper you are presenting might contain a wealth of ideas. You need to pick and choose the ones that makes sense to present to an audience in the amount of time allotted. A generic outline of your presentation could be: motivation for the problem being addressed, background required to follow the talk (introduce the required notation here, keeping it to a minimum), overview of the ideas of the paper, details of (some of) the ideas of the paper, results and comparisons, if available and as appropriate, concluding with summary and potential extensions.
* Time yourself. If you are given a 30-minute slot for your presentation, plan to finish your talk in 25 to 27 minutes so that there will be three to five minutes for questions. Nothing ruins a talk more than a speaker that runs out of time and cannot present the main ideas of the paper. Running into the next speaker’s time slot is not an option.
* Rehearse you talk multiple times in front of a mirror, favorite pet, family member, friend, or colleague. This will allow you to time yourself (see the previous point) and to familiarize yourself with what you want to say and when you want to say it, so that you will deliver your talk naturally. Speakers that read their own foils as if it is the first time they see them are bound to make a horrible impression.
* Arrive to the site of your presentation ten minutes before your start time, and make sure your laptop can correctly interface with the projector. At many conferences, each session has three or four 30-minute talks; in this case, you should arrive before the beginning of the entire session and introduce yourself to your session chair; often, the session chair will ask the speakers to download their presentations to a single laptop, to reduce the switching time between speakers; again, make sure your presentation works on the laptop-projector combination; of course, you should not leave the session before all the other speakers in the session have delivered their talk. It is a good idea to carry a USB key with your presentation on it, in case your laptop gets stolen, stepped on, rained on, etc.
* During your presentation, make eye contact with the audience. Position your laptop so that its screen faces the audience, and remain oriented toward the audience as much as possible. Nobody wants to stare at the back of your head for long. Of course, you should never point to the laptop screen, but only to the projector screen, using a telescopic or laser pointer; most conferences provide the session chair with a pointer, but it is a good idea to purchase and carry your own, to be safe.
* In large conference venues, you will have to wear or use a microphone, it is pointless to try to avoid this reality, so don’t be shy. If the microphone is a clip-on style, be sure that your clothing (tie, jacket lapel and scarf) does not brush against the microphone head, as the resulting (amplified) noise is extremely distracting.

Remember, you must have a message. Tell a story. No one is interested in generic discussion. Remember that presentation is an unnatural act. Normal speech is spontaneous. Presentation brings a spotlight to an individual and important things hang in the balance. It is no wonder, then, that presenting is difficult, and sometimes scare. Done successfully, though, it is the key to success.

**You are now ready to go through a check list. Be honest with yourself.**

# Tick the box with either a √ or an X to indicate your response.

* **I am able to discuss and explain a range of written and oral communication techniques used in the workplace**
* **I am able to lead discussions and chair meetings**
* **I am able to generate a variety of workplace reports using various data gathering techniques**
* **I am able to identify and explain a range of written and oral communication techniques used in the workplace and applicable communication theory is demonstrated.**



# You must think about any point you could not tick. Write this down as a goal.

# Decide on a plan of action to achieve these goals. Regularly review these goals.