

Centre Assessment Guidance
for
Level 4 Management and Leadership

Contents

	Page
Introduction	3
About these qualifications	
Titles and qualifications reference numbers	3
Accreditation dates	3
Qualifications summary	3
Progressions	3
Credit values and rules of combination for the qualifications	4
Relationship to the National Occupational Standards for Management and Leadership	5
Assessment and Verification	6
What is expected of the learner?	6
External Assessment	7
Recognition of Prior Learning and achievement	7
Support for Centres	7
Units	8
Unit 4001 An introduction to managerial style	9
Unit 4002 Managing stakeholder expectations	10
Unit 4003 Introducing organisational culture, values and behaviour	11
Unit 4004 Managing team dynamics	12
Unit 4005 Management report writing	13
Unit 4006 Management and leadership influencing skills	14
Unit 4007 Managing and guiding interviews	15
Unit 4008 Managing equality and diversity	16
Unit 4009 An introduction to staff inspection techniques	17
Unit 5001 Personal development as a manager and leader	18
Unit 5012 Being a leader	19
Unit 5014 Introduction to management coaching and mentoring	20

Introduction

This document aims to support CMI Centres in the delivery, assessment and verification of the Level 4 Qualifications in Management and Leadership. It should be used in conjunction with the CMI Centre Code of Practice.

About these qualifications

Titles and qualifications reference numbers

The titles given below are the titles as they will appear on the qualification when awarded to the learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of accreditation, which confirms that this is a fundable qualification on the QCF. The CMI code is the code which should be used when registering learners with CMI. Each unit also has a unique QCA unit number – this appears with the content of each unit at the end of this document.

CMI Code	Title	Qualification reference number
4A1	CMI Level 4 Award in Management and Leadership (QCF)	500/5685/2
4C1	CMI Level 4 Certificate in Management and Leadership (QCF)	500/5661/X
4D1	CMI Level 4 Diploma in Management and Leadership (QCF)	500/5686/4

Accreditation dates

These qualifications are accredited from 1st January 2009, which is their operational start date in Centres. The accreditation ends on 31st December 2013, and the final date for certification is 31st December 2016.

Qualifications summary

These qualifications are for the development of the role and skill of managers. These qualifications aim to develop personal management capabilities, make effective use of information in decision-making, operations and the development of the skills in managing people.

CMI does not specify entry requirements for these qualifications, but Centres are required to ensure that learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment.

The qualification is offered in the medium of the English Language. The qualification can be offered by Centres in languages other than English – Centres wishing to do this should refer to the relevant section of the CMI Centre Code of Practice for guidance.

Progressions

The qualifications provide opportunities for progression to other qualifications at the same or higher levels, which could also be work-based or more academically structured. The qualifications also support learners in meeting the requirements for work and/or employment within all areas of management and leadership at this level.

Credit values and rules of combination for the qualifications

A credit value specifies the number of credits that will be awarded to a learner who has achieved the learning outcomes of the unit. The credit value of the unit will remain constant in all contexts, regardless of the assessment method used or the qualification(s) to which it contributes. Learners will only be awarded credits for the successful completion of whole units. (One credit is awarded for those learning outcomes achievable in 10 hours of learning time).

Learning time is a notional measure of the amount of time a typical learner might be expected to take to complete all of the learning relevant to achievement of the learning outcomes in a given unit. Learning time includes activities such as directed study, assessment, tutorials, mentoring and individual private study.

Guided learning hours, however, are intended to relate only to facilitated learning and associated assessments – individual private study is not included – and give guidance to delivery Centres on the amount of resource needed to deliver the programme and support learners. The units, guided learning hours and rules of combination for these qualifications are given in the tables 1 and 2.

Table 1 – Units and rules of combination for Level 4 Award and Certificate

Units		Credits	GLH
Unit 4001	An introduction to managerial style	6	20
Unit 4002	Managing stakeholder expectations	7	25
Unit 4003	Introducing organisational culture, values and behaviour	7	30
Unit 4004	Managing team dynamics	7	25
Unit 4005	Management report writing	7	25
Unit 4006	Management and leadership influencing skills	7	25
Unit 4007	Managing and guiding interviews	7	25
Unit 4008	Managing equality and diversity	7	30
Unit 4009	An introduction to staff inspection techniques	8	40

Award - Learners need to complete any combination of units to a minimum of 6 credits to achieve the qualification. Range of guided learning hours: 20 - 40

Certificate - Learners need to complete any combination of units to a minimum of 13 credits to achieve the qualification. Range of guided learning hours: 45 - 70

Table 2 – Units and rules of combination for Level 4 Diploma

Units		Credits	GLH
Group A			
Unit 4001	An introduction to managerial style	6	20
Unit 4002	Managing stakeholder expectations	7	25
Unit 4003	Introducing organisational culture, values and behaviour	7	30
Unit 5001	Personal development as a manager and leader	6	20
Group B			
Unit 4004	Managing team dynamics	7	25
Unit 4005	Management report writing	7	25
Unit 4006	Management and leadership influencing skills	7	25
Unit 4007	Managing and guiding interviews	7	25
Unit 4008	Managing equality and diversity	7	30
Unit 4009	An introduction to staff inspection techniques	8	40
Unit 5012	Being a leader	7	30
Unit 5014	Introduction to management coaching and mentoring	6	30

Diploma - Learners need to complete all core units from Group A and three optional units from Group B to a total of at least 46 credits to achieve the qualification. Range of guided learning hours: 185 - 195

Relationship to National Occupational Standards for Management and Leadership

The relationship of each unit to the Management and Leadership NOS is shown in table 3:

Table 3 – Relationship to M&L NOS

Units		NOS Units
Unit 4001	An introduction to managerial style	D1, D2 and D5
Unit 4002	Managing stakeholder expectations	D2, F6, F7, F10, F11
Unit 4003	Introducing organisational culture, values and behaviour	B6, B9, B11, C2, C5, D2
Unit 4004	Managing team dynamics	D1, D2
Unit 4005	Management report writing	B1, B2, F12
Unit 4006	Management and leadership influencing skills	B1, B3, B5, B6
Unit 4007	Managing and guiding interviews	A3, B1, B6, C4, C5, D2
Unit 4008	Managing equality and diversity	B11, B12
Unit 4009	An introduction to staff inspection techniques	D4, D5
Unit 5001	Personal development as a manager and leader	A2, E5, E6, A3
Unit 5012	Being a leader	B8, B9
Unit 5014	Introduction to management coaching and mentoring	D7, C2, D5, A3

Assessment and verification

The main objective of the assessment of these qualifications will be to meet the assessment criteria detailed within each unit.

The primary interface with the learner is the Assessor whose job it is to assess the evidence presented by the learner. The Assessor should provide an audit trail showing how the judgement of the learner's overall achievement has been arrived at.

The Centre's assessment plan, to be agreed with the External Verifier, should include a matrix for each qualification showing how each unit is to be assessed against the relevant criteria and which specific piece or pieces of work will be identified in relation to each unit. It should also show how assessment is scheduled into the delivery programme.

In designing the individual tasks and activities, centres must ensure that:

- the selected assessment task/activity is relevant to the content of the unit
- there are clear instructions given to learners as to what is expected
- learners are clearly told how long the assessment will take (if it is a timed activity), and what reference or other material they may use (if any) to complete it
- the language used in the assessment is free from any bias
- the language and technical terms used are at the appropriate level for the learners

In addition to the specific assessment criteria in each unit, the learner's work must be:

- accurate, current and authentic
- relevant in depth and breadth

and must also show the learner's:

- clear grasp of concepts
- ability to link theory to practice, and
- ability to communicate clearly in the relevant discipline at the expected level for the qualification

There is no grading for CMI qualifications, and external verification of learners' work only confirms that the required criteria for achievement have been met. Centres are, however, free to apply their own grade scales, but it must be understood that these are completely separate from the CMI qualification.

What work is expected of the learner?

It is important to ensure consistency of assessment, and that demands made on learners are comparable within and between Centres. A number of assessment methods can be used. Centres are encouraged to use a range of methods to ensure that all the learning outcomes and assessment criteria are met, and to enhance learners' development.

Assessment methods can include:

- case studies
- role play
- time constrained tests
- examinations
- assignments
- reports
- integrated work activities
- viva voce
- projects
- presentations

In some instances, as well as written work, use can be made of technology. It is important, however, to ensure sufficient traceability for assessment and verification.

The written word, however generated and recorded, is still expected to form the majority of assessable work produced by learners at Level 4. The amount and volume of work for each unit at this level should be broadly comparable to a word count of 2500 - 3000 words.

Centres and learners are encouraged to use methods of presenting data, analysis and information other than straightforward narrative text. In the appropriate contexts, tables, graphs, pie charts, diagrams and illustrations are just as demanding on the learner.

External Assessment

There is no Regulatory requirement for external assessment. However, the CMI offers the additional service of external assignment to centres, who wish to use CMI devised and assessed units as part of their programme. Further information on this service and the units for which it is available appears on the website

www.managers.org.uk/qualifications

Recognition of Prior Learning and Achievement

The Qualifications and Credit framework is based on the principle of credit accumulation and transfer. Within this suite of qualifications, learners have the opportunity to build their achievements from a single unit into a full Diploma. CMI will publish on its website which units and qualifications from other Awarding Bodies can be recognised for credit transfer and exemption. Credit transfer in the QCF will be based on confirmation of achievement of QCF numbered units.

There will of course still be instances where learners will wish to claim recognition of prior learning which has not been formally assessed and accredited. In those instances, Centres are free, after discussion and agreement with their External Verifier, to allow these learners direct access to the relevant assessment for the unit, without unnecessary repetition of learning. Details of the process for recording such RPL (Recognition of Prior Learning) are included in the CMI Centre Code of Practice.

Support for Centres

Staff at Approved Centres are offered group membership of CMI, enabling them to access all the support and information available to their learners. More information about what is available is detailed in the CMI Centre Code of Practice, and via the website www.managers.org.uk/qualifications

Units

The content of the units for the Level 4 suite of qualifications follow.

Accessing the units via the CMI website will enable Centres also to access support and reading material from the Study Resource Centre.

Title:	An introduction to managerial style				
Unit aim:	This unit is about the skills of effective and efficient managerial style and behaviour, adapting style and behaviour, and managing and behaving in line with organisational expectations.				
Level:	4	Unit Number:	4001	QCA Unit Number	R/502/2118
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to understand assumptions about human nature and managerial behaviour		1.1 Identify models which make suppositions about human nature and behaviour at work 1.2 Discuss how attitudes and assumptions can influence managerial behaviour 1.3 Evaluate a model of managerial style in which the manager can apply skills to identify, study and review their patterns of behaviour			
2. Be able to understand how management style can influence managerial behaviour		2.1 Describe styles of management 2.2 Identify measures of managerial effectiveness 2.3 Discuss links between management style and managerial effectiveness and efficiency			
3. Be able to understand the need to apply a range of management styles		3.1 Describe situations and circumstances which would require application of differing management styles and behaviour 3.2 Assess the relationship between individual managerial performance and expected organisational managerial performance and behaviour			

Title:	Managing Stakeholder Expectations				
Unit aim:	This unit is about the identification of organisational stakeholders, determining and monitoring their expectations and identifying opportunities to enhance stakeholder provision.				
Level:	4	Unit Number:	4002	QCA Unit Number	M/502/2157
Credit value:	7	Guided Learning Hours	25		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to understand and identify organisational stakeholders		1.1 Differentiate between an organisational customer and an organisational stakeholder 1.2 Distinguish primary and secondary organisational stakeholders			
2. Be able to understand primary and secondary stakeholder expectations		2.1 Differentiate between the expectations of primary and secondary organisational stakeholders 2.2 Discuss monitoring systems for analysing the achievement of primary and secondary organisational stakeholder expectations			
3. Be able to understand methods for developing offerings to primary and secondary organisational stakeholders		3.1 Identify opportunities for analysing offerings to primary and secondary organisational stakeholders 3.2 Develop an offering for a primary or secondary organisational stakeholder that would impact on stakeholder expectations 3.3 Devise a method which reviews the impact of the developed offering on the stakeholder			

Title:	Introducing organisational culture, values and behaviour				
Unit aim:	This unit is about introducing organisational culture, organisational and individual values, and their impact on behaviour.				
Level:	4	Unit Number:	4003	QCA Unit Number	T/502/2158
Credit value:	7	Guided Learning Hours	30		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Be able to understand the concept of culture to an organisation		1.1 Determine a framework for analysing organisational culture 1.2 Explain internal and external factors that could influence organisational culture 1.3 Evaluate the current organisational culture			
2. Be able to understand the impact of values that underpin individual and organisational performance		2.1 Discuss the concept of values to an organisation 2.2 Outline the concept of values to an individual 2.3 Describe how the manager's personal values can influence interaction with team members			
3. Be able to understand the relationship between values and behaviour		3.1 Analyse how organisational values can affect organisational behaviour 3.2 Analyse how organisational values can affect individual behaviour 3.3 Identify how individual values can influence the behaviours of a team			

Title:	Managing team dynamics				
Unit aim:	This unit is about the skills to manage groups and teams, understanding their norms and development, and the skills of managing remote, displaced or virtual teams.				
Level:	4	Unit Number:	4004	QCA Unit Number	A/502/2159
Credit value:	7	Guided Learning Hours	25		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to understand the differences between groups and teams		1.1 Compare differences between a 'group' and a 'team' 1.2 Identify the practical implications of differences between groups and teams for the manager 1.3 Explain situations when the formation of a group and/or a team would be necessary			
2. Be able to understand the concept of formal and informal group norms		2.1 Identify the definitions of formal and informal group norms 2.2 Discuss the evolution of formal and informal group norms 2.3 Examine the process of changing formal and informal group norms 2.4 Describe the value of formal and informal group norms			
3. Be able to understand group development and maturity		3.1 Discuss the stages of group development and maturity 3.2 Explain factors which could influence the cohesiveness of work groups 3.3 Evaluate the advantages and disadvantages of cohesive work groups			
4. Be able to understand management of remote, displaced or virtual teams		4.1 Discuss the advantages of a remote, displaced or virtual team 4.2 Discuss the disadvantages of a remote, displaced or virtual team 4.3 Analyse the communication and leadership skills required to manage a remote, displaced or virtual team			

Title:	Management report writing				
Unit aim:	This unit is about the skills of writing a management report, developing report objectives, gathering and analysing data and information, and drawing conclusions and making recommendations to meet objectives.				
Level:	4	Unit Number:	4005	QCA Unit Number	M/502/2160
Credit value:	7	Guided Learning Hours	25		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Be able to understand the purpose of management reporting		1.1 Determine circumstances which could require a management report 1.2 Compare the methods of management reporting available to a manager 1.3 Recommend a method of management reporting to achieve a management objective			
2. Be able to understand the construction of a written management report		2.1 Construct the terms of reference for a report 2.2 Identify the component parts of a written management report 2.3 Produce conclusions and recommendations that meet the report objective or terms of reference			
3. Be able to understand the collection and analysis of data and information required for a written management report		3.1 Distinguish between data and information 3.2 Create criteria to select data and information 3.3 Evaluate methods to analyse data and information			

Title:	Management and leadership influencing skills				
Unit aim:	This unit is about management and leadership influencing skills which can be employed and their impact on the achievement of individual and task objectives.				
Level:	4	Unit Number:	4006	QCA Unit Number	T/502/2161
Credit value:	7	Guided Learning Hours	25		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Be able to understand the sources of authority and leadership influence		1.1 Discuss the concept of leadership by authority 1.2 Discuss the concept of leadership influence 1.3 Describe a framework for managerial leadership			
2. Be able to understand management and leadership influencing skills		2.1 Apply the skills needed to communicate a clear vision and sense of common purpose for the team 2.2 Explain the skills needed to develop personal responsibility for people and task objectives 2.3 Summarise the skills needed to create a culture which could influence and encourage team members			
3. Be able to understand the application of delegation and empowerment		3.1 Describe the application of delegation and management control in achieving objectives 3.2 Evaluate empowerment, and its implementation, on team and task objectives 3.3 Identify the results of delegation and empowerment on management and leadership influence			

Title:	Managing and guiding interviews				
Unit aim:	This unit is about the contexts of interviews, the skills of managing and guiding interviews and the closing and follow through of interview outcomes.				
Level:	4	Unit Number:	4007	QCA Unit Number	A/502/2162
Credit value:	7	Guided Learning Hours	25		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Be able to understand the contexts of an interview		1.1 Explain the relationship between objectives of interviews and types of interview 1.2 Review conditions under which types of interviews could be conducted 1.3 Summarise results which could be expected from different types of interview			
2. Be able to understand the skills of interview techniques		2.1 Explore the skills of opening an interview 2.2 Distinguish between the giving and receiving of information 2.3 Discuss the recording of information given and received 2.4 Outline the skills required to guide and control the interview process			
3. Be able to understand the summarising and closing of interviews		3.1 Describe the techniques and skills which summarise an interview 3.2 Select techniques and skills to close an interview 3.3 Organise and manage the results and agreements from interviews			

Title:	Managing equality and diversity				
Unit aim:	This unit is about promoting equality and valuing the diversity of individuals' and teams.				
Level:	4	Unit Number:	4008	QCA Unit Number	F/502/2163
Credit value:	7	Guided Learning Hours	30		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to understand legislation, regulations, policies, and codes of practice relevant to equality and valuing of diversity		1.1 Describe the need to acknowledge and recognise individuals' background and beliefs 1.2 Discuss the need to respect diversity, value people as individuals and not discriminate against individuals 1.3 Describe the process of providing individuals with the information needed for them to make informed decisions about exercising their rights			
2. Be able to understand how organisation and individual behaviour affects individuals and teams		2.1 Illustrate how individual behaviour can affect an individual and a team 2.2 Describe how organisational behaviour can affect an individual and a team 2.3 Collect and analyse feedback from individuals on personal behaviour 2.4 Devise an improvement plan based upon received feedback			
3. Be able to understand how to encourage equality and diversity in others		3.1 Identify and challenge others when they are not promoting equality and valuing diversity 3.2 Provide opportunities to help others to promote equality and value diversity 3.3 Discuss sources from which to seek support when experiencing difficulty in understanding how to promote equality and value diversity			

Title:	An introduction to staff inspection techniques				
Unit aim:	This unit is about providing an introduction to the skills and knowledge required in the field of staff inspection review.				
Level:	4	Unit Number:	4009	QCA Unit Number	J/502/2164
Credit value:	8	Guided Learning Hours	40		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Be able to understand the role of staff inspection review		1.1 Explain types of staff inspection review and the role of the staff inspector 1.2 Discuss the component parts of a staff inspection review			
2. Be able to understand the planning of a staff inspection review		2.1 Outline the planning and conducting of a staff inspection review 2.2 Assess risk factors associated with a staff inspection review 2.3 Determine stakeholders impacted by a staff inspection review 2.4 Prepare a presentation of staff inspection review findings			
3. Be able to understand major elements to be considered when determining how work is undertaken and organised		3.1 Describe major elements to be considered when recommending the need for work to be undertaken in an organisational context 3.2 Identify major elements to be considered when recommending how work is organised at the operational and organisational levels			
4. Be able to understand workload grading and job evaluation assessment		4.1 Demonstrate how to accurately calculate the workload for a specific post, from information supplied 4.2 Describe how to evaluate a job, using techniques which involve weighting factors and common criteria			

Title:	Personal development as a manager and leader				
Unit aim:	This unit is about improving individual management and leadership skills and competencies against objectives.				
Level:	5	Unit Number:	5001	QCA Unit Number	T/501/5033
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to assess and plan for personal professional development		1.1 Explain the importance of continual self-development in achieving organisational objectives 1.2 Assess current skills and competencies against defined role requirements and organisational objectives 1.3 Identify development opportunities to meet current and future defined needs 1.4 Construct a personal development plan with achievable but challenging goals			
2. Be able to plan for the resources required for personal professional development		2.1 Identify the resources required to support the personal development plan 2.2 Develop a business case to secure the resources to support the personal development plan			
3. Be able to implement and evaluate the personal development plan		3.1 Discuss the processes required to implement the personal development plan 3.2 Evaluate the impact of the personal development plan on the achievement of defined role requirements and organisational objectives 3.3 Review and update the personal development plan			
4. Be able to support and promote staff welfare		4.1 Discuss the relationship between staff welfare and organisational objectives 4.2 Explain the process for assessing staff welfare 4.3 Identify the actions to be taken by the manager in dealing with a staff welfare issue 4.4 Describe how to communicate responsibilities for staff welfare to the team 4.5 Discuss records that may be maintained to demonstrate that staff welfare is supported			

Title:	Being a leader				
Unit aim:	This unit is about leadership skills and the understanding of ethical and cultural issues within the organisation.				
Level:	5	Unit Number:	5012	QCA Unit Number	D/501/8136
Credit value:	7	Guided Learning Hours	30		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand the organisation's ethical and value-based approach to leadership		1.1 Evaluate the impact of the organisation's culture and values on leadership 1.2 Discuss how organisational specific, legal, regulatory and ethical requirements impact on leadership demands 1.3 Evaluate current and emerging social concerns and expectations impacting on leadership in the organisation			
2. Be able to understand leadership styles		2.1 Evaluate the relationship between management and leadership 2.2 Evaluate leadership styles 2.3 Discuss why leadership styles need to be adapted in different situations			
3. Be able to secure achievement of team involvement and objectives through leadership		3.1. Develop a culture of professionalism, mutual trust, respect and support within the team 3.2 Evaluate the impact of a leader's clear focus in leading the team in the achievement of these objectives 3.3. Evaluate how the leader supports and develops understanding of the organisation's direction 3.4 Discuss how leadership styles are adapted to meet changing needs, and to enable team development and commitment			

Title:	Introduction to management coaching and mentoring				
Unit aim:	This unit is about introducing the practice of management coaching and mentoring.				
Level:	5	Unit Number:	5014	QCA Unit Number	A/501/9665
Credit value:	6	Guided Learning Hours	40		
Learning outcomes <i>The learner will:</i>		Assessment criteria <i>The learner can:</i>			
1. Understand the concept and purpose of management coaching and mentoring		1.1 Describe the purpose of coaching in human resources development 1.2 Describe the role of mentoring in management 1.3 Evaluate the difference between coaching and mentoring			
2. Be able to determine the use of management coaching and mentoring as a tool in human resources development		2.1 Evaluate the benefits of coaching and mentoring in performance management 2.2 Explain the role of coaching and mentoring in team learning			
3. Understand the relationship between coaching and mentoring and organisational objectives		3.1 Analyse the role of a manager as a coach and mentor 3.2 Explain how coaching and mentoring is linked to organisational objectives			