



Centre Assessment Guidance

for

Level 3 First Line Management

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Introduction

This document aims to support CMI Centres in the delivery, assessment and verification of the Level 3 Qualifications in First Line Management. 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
3A1	CMI Level 3 Award in First Line Management (QCF)	500/4119/8
3C1	CMI Level 3 Certificate in First Line Management (QCF)	500/4118/6
3D1	CMI Level 3 Diploma in First Line Management (QCF)	500/4121/6

Accreditation dates

These qualifications are accredited from 1st September 2008, which is their operational start date in Centres. The accreditation ends on 31st December 2010, and the final date for certification is 31st December 2013.

Qualifications summary

These qualifications are designed for supervisors and first line managers, to support the development of their skills in maintaining and developing the effectiveness and efficiency of the operations for which they are responsible for, by motivating and developing the people who work in the team or department; fostering effective communications and developing a sense of team/corporate identify.

Although the qualifications can be offered to learners from age 16, in practice the majority of learners at this level would be expected to be over 18. The Institute 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 3 Award and Certificate

Units		Credits	GLH
Unit 3001	Personal development as a first line manager	6	20
Unit 3002	Resource planning	6	20
Unit 3003	Meeting stakeholder needs	6	20
Unit 3004	Managing and communicating information	6	20
Unit 3005	Developing individuals and teams	6	20
Unit 3006	Recruitment and selection	6	20
Unit 3007	Maintaining quality standards	6	20
Unit 3008	Improving team performance	7	20
Unit 3009	Management communication	6	20
Unit 3010	Being a leader	6	25

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 - 25

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 - 50

Table 2 – Units and rules of combination for Level 3 Diploma

Units		Credits	GLH
Group A			
Unit 3001	Personal development as a first line manager	6	20
Unit 3002	Resource planning	6	20
Unit 3003	Meeting stakeholder needs	6	20
Unit 3004	Managing and communicating information	6	20
Unit 3005	Developing individuals and teams	6	20
Group B			
Unit 3006	Recruitment and selection	6	20
Unit 3007	Maintaining quality standards	6	20
Unit 3008	Improving team performance	7	20
Unit 3009	Management communication	6	20
Unit 3010	Being a leader	6	25

Diploma - Learners need to complete all core units (Group A) and two optional units (Group B) to a total of at least 42 credits to achieve the qualification. Range of guided learning hours: 140 – 145

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 3001	Personal development as a first line manager	A2, B11, B6, E5, D1, D6
Unit 3002	Resource planning	B8, D1, E1, C2
Unit 3003	Meeting stakeholder needs	D2, E5, F3, F6
Unit 3004	Managing and communicating information	D6, C2, E4, B6
Unit 3005	Developing individuals and teams	D6, D7, D1, B6
Unit 3006	Recruitment and selection	B11, D3
Unit 3007	Maintaining quality standards	D6, F9
Unit 3008	Improving team performance	D1, D6, D3, D7
Unit 3009	Management communication	C4, D1, F8
Unit 3010	Being a leader	D1, D2

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

Learners' work for Institute purposes is given either a "pass" or "fail" result. There is no grading for Institute qualifications, and external verification of learners' work only confirms that the required criteria for achievement have been met. Centres are, of course, free to apply their own grade scales, but it must be understood that these are completely separate from the Institute qualification.

What work is expected of the learners?

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 3. The amount and volume of work for each unit at this level should be broadly comparable to a word count of 2000 - 2500 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 Institute offers the additional service of external assignment to centres, who wish to use Institute 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. The Institute 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 unnecessarily repetition the learning. Details of the process for recording such APEL 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 3 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:	Personal development as a first line manager				
Unit aim:	This unit is about personal development and planning, work planning, relationship building and health and safety.				
Level:	3	Unit Number:	3001	QCA Unit Number	J/501/5005
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand how to develop and use a personal development plan		1.1 Identify the links between organisational objectives and personal development objectives 1.2 Prepare a personal development plan which meets agreed objectives 1.3 Identify a range of learning and development opportunities to support the achievement of the personal development plan 1.4 Review the progress of the plan			
2. Know how to plan and manage work		2.1 Describe the methods or processes available to determine work plan priorities 2.2 Explain how to manage time to achieve work plan objectives 2.3 Describe the reasons for incorporating flexibility into a work plan			
3. Understand how to develop and maintain effective working relationships to achieve objectives		3.1 Explain the styles and approaches to leadership which would be used in different situations to encourage productive working relationships 3.2 Explain how to develop and maintain good working relationships with managers, colleagues and team members 3.3 Describe how to work with team members to maintain standards of work and behaviour that achieves objectives			
4. Be able to maintain a healthy, safe and productive working environment		4.1 Identify the responsibilities of a first line manager to ensure a healthy and safe working environment 4.2 Explain how health and safety risks are identified and how these are monitored to ensure Health and Safety in the workplace 4.3 Identify the actions to be undertaken after identifying a Health and Safety risk			

Title:	Resource planning				
Unit aim:	This unit is about planning, modifying and controlling resources.				
Level:	3	Unit Number:	3002	QCA Unit Number	R/501/5007
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand how to plan resource needs with the team		1.1 Identify a teams responsibilities in connection with managing resources 1.2 Describe the components of a plan which manages the team's use of resources to achieve the teams objectives 1.3 Describe the impact of environment and legal factors on the team resource plan			
2. Understand the need for change to resource requirements		2.1 Identify how information obtained impacts on changes to resource requirements. 2.2 Describe trends and developments that affect resources 2.3 Identify the impact of resource change on the teams objectives			
3. Be able to monitor, record and control resources within the work area		3.1 Describe the need to monitor and record the use of resources 3.2 Explain the importance of recording relevant and accurate information and using records to plan for future resource requirements			

Title:	Meeting stakeholder needs				
Unit aim:	This unit is about identifying, meeting and supporting stakeholder requirements.				
Level:	3	Unit Number:	3003	QCA Unit Number	Y/501/5008
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 identify stakeholders and plan to meet their needs		1.1 Identify stakeholders in relation to the team's objectives 1.2 Describe how the team's objectives meets stakeholder requirements 1.3 Identify work plans with the team, gaining commitment to meet stakeholder needs 1.4 Evaluate and modify the work plans to meet the stakeholder needs			
2. Understand the process required to continually improve meeting stakeholder needs		2.1 Identify improvements to meet stakeholder needs 2.2 Identify resources and costs to support improvements 2.3 Identify benefits obtained from improvements			
3. Be able to prepare a case to support a change in meeting stakeholder needs		3.1 Identify the individuals to whom a case for change is to be made 3.2 Describe the components of a case for change 3.3 Identify how a case for change supports the team's objectives 3.4 Describe how to monitor and review the effect of the change			

Title:	Managing and communicating information				
Unit aim:	This unit is about gathering, analysing and communicating information.				
Level:	3	Unit Number:	3004	QCA Unit Number	D/501/5009
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Know how to gather and select data		1.1 Describe criteria used in sourcing data 1.2 Identify quantitative and qualitative sources of data 1.3 Access data in line with legal and organisational requirements relevant to a work related activity			
2. Understand how to interpret data and information related to a work activity		2.1 Select data and information specifically related to the work activity 2.2 Identify trends and patterns 2.3 Identify the impact of the trends and patterns on future activities 2.4 Identify conclusions and make recommendations			
3. Know how to communicate the results of the information analysis		3.1 Identify the communication methods that could be used 3.2 Identify the target audience for the communication 3.3 Evaluate the impact of the communication			

Title:	Developing individuals and teams				
Unit aim:	This unit is about identifying the development opportunities of individuals and teams to meet team and organisational objectives.				
Level:	3	Unit Number:	3005	QCA Unit Number	R/501/5394
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand the factors involved in leading a team to achieve agreed objectives		1.1 Describe the principles underlying leadership of individuals and teams 1.2 Identify the links between individuals, teams and organisational objectives 1.3 Explain the methods of communicating individual and team objectives			
2. Understand the current competencies of individuals and teams		2.1 Describe the methods of conducting individual and team competence reviews 2.2 Identify the links between current competencies and the team and organisational objectives 2.3 Identify the activities to support the development of current competencies of the team to current and future team and organisational objectives			
3. Know how to develop the competencies of individuals and teams		3.1 Identify development opportunities for individuals and teams 3.2 Describe the methods of agreeing development opportunities with individuals and teams 3.3 Identify processes to measure and review individual and team development objectives			

Title:	Recruitment and selection				
Unit aim:	This unit is about identifying the need for staff, and the recruitment and selection process.				
Level:	3	Unit Number:	3006	QCA Unit Number	D/501/5396
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand the purpose of a recruitment and selection process.		1.1 Identify the requirement to review the current staffing levels against organisational needs 1.2 Collect data and information to support the review of staffing levels 1.3 Prepare a report to support a case for staff			
2. Understand the process for recruitment		2.1 Describe the stages of a recruitment process 2.2 Identify the component parts of a job description and a person specification 2.3 Identify the legal and organisational requirements that apply to the recruitment process			
3. Understand the process for selection		3.1 Describe the stages of a selection process 3.2 Describe the methods that can support the selection decision 3.3 Identify the legal and organisational requirements that apply to the selection process			

Title:	Maintaining quality standards				
Unit aim:	This unit is about concepts of quality, the impact of quality and the measurement of quality in teams and organisations.				
Level:	3	Unit Number:	3007	QCA Unit Number	H/501/5397
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand the concept of quality		1.1 Describe the meaning of 'quality' in the organisational context 1.2 Identify the factors that affect quality in the organisation 1.3 Describe the role and responsibilities for quality in the organisation			
2. Understand the impact of quality on team operations		2.1 Identify areas of team operations that can be affected by quality 2.2 Identify the benefits of quality to a team 2.3 Describe the impact of team quality on the organisation's objectives			
3. Understand how to measure an aspect of quality for a team activity		3.1 Explain how work is measured against quality standards 3.2 Explain how to measure work against organisational quality standards 3.3 Describe how to respond to quality measurement results			

Title:	Improving team performance				
Unit aim:	This unit is about the impact of individuals performance on teams, recognising performance behaviours and implementing improvement measures.				
Level:	3	Unit Number:	3008	QCA Unit Number	K/501/5031
Credit value:	7	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Be able to identify issues which affect performance		1.1 Describe the manager's role in identifying performance issues in the team 1.2 Describe how to evaluate individual and team performance and behaviours 1.3 Identify the limits of responsibility for dealing with individual and team performance			
2. Know how to select and apply the best course of action to address a performance issue		2.1 Identify the range of approaches available 2.2 Describe the different methods available in providing help and support in order to improve performance of an individual 2.3 Explain how to conduct a performance counselling session for an individual 2.4 Explain the importance of maintaining confidentiality			
3. Be able to take action to achieve the performance issue of an individual		3.1 Agree with a team member an action plan to address a performance issue 3.2 Explain the range of support services available 3.3 Explain how to ensure that the desired outcomes are achieved 3.4 Explain the circumstances when disciplinary and grievance procedures may be invoked 3.5 Explain the first line manager's role in a disciplinary and grievance situation 3.6 Identify why records of action plan achievements and actions taken are required			

Title:	Management communication				
Unit aim:	This unit is about the identification, selection and use of management communication techniques.				
Level:	3	Unit Number:	3009	QCA Unit Number	M/501/5032
Credit value:	6	Guided Learning Hours	20		
Learning outcomes		Assessment criteria			
<i>The learner will:</i>		<i>The learner can:</i>			
1. Understand the importance and principles of management communication		1.1 Describe the role of communication in the management environment 1.2 Identify the effects of communication on management practice 1.3 Describe the communication principles that support team activities			
2. Understand how to use methods of communication to achieve the management objectives		2.1 Describe the processes for conducting a team briefing 2.2 Identify the stages of organising and leading a formal management meeting 2.3 Describe the structure of a written management report			
3. Understand how to review the effectiveness of communication in the achievement of the management objectives		3.1 Identify feedback methods to determine impact of communication 3.2 Evaluate the feedback to determine achievement of the management objectives			

Title:	Being a leader				
Unit aim:	This unit is about the leadership skills of a leader who has first line management and leadership responsibility.				
Level:	3	Unit Number:	3010	QCA Unit Number	Y/501/8135
Credit value:	6	Guided Learning Hours	25		
Learning outcomes	Assessment criteria				
<i>The learner will:</i>	<i>The learner can:</i>				
1. Understand the organisational requirements for the leader	1.1 Identify the organisational requirements for respecting the cultures, values and ethics of others 1.2 Describe the levels of authority and responsibility of the leader in the organisation 1.3 Explain the impact of the leader on personal objectives and team achievement 1.4 Describe the role of the leader in maintaining integrity, fairness and consistency in action planning and decision making				
2. Be able to understand leadership styles	2.1 Describe the relationship between management and leadership 2.2 Describe leadership styles and opportunities for development for the leader 2.3 Explain action-centred leadership 2.4 Discuss how and why leadership styles need to be adapted in different situations				
3. Understand how the leader builds a shared sense of purpose with a team	3.1 Describe how to establish a culture of mutual trust and respect with the team 3.2 Identify techniques to motivate and encourage the development of team members 3.3 Describe how the leader develops the teams understanding of its shared purpose and organisational direction				