

# **GUIDANCE FOR PROVIDERS**

## **Operations/Departmental Manager**

April 2018



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Following a review of apprenticeships commissioned by the UK Government, the Richard Review of Apprenticeships (published November 2012) recommended a more employer-focussed approach to the development, delivery and funding of apprenticeships in England. The apprenticeship system has therefore been undergoing a series of reforms in order to increase quality, simplify the system (including funding), increase flexibility and put employers in the driving seat so that apprenticeships reflect the skills required by employers. The apprenticeships being developed under these reforms are called 'Trailblazers' and these are gradually replacing the old frameworks. The reforms also seek to ensure that employers work with professional/ trade bodies so that apprentices are able to gain professional recognition where possible.

The Operations/Department Manager Trailblazer apprenticeship is part of a suite of apprenticeships<sup>1</sup> that have been developed by a group of employers led by Serco and Civil Service Learning (CSL), in liaison with other bodies including the Chartered Management Institute and a number of Providers. The apprenticeship includes work-based learning, business education (where CMI's Level 5 Diploma in Management & Leadership can be incorporated) and the opportunity for membership of the Chartered Management Institute on completion of the apprenticeship. Although employers are central to the new system, providers are fundamental to the successful delivery of high quality apprenticeships.

This document incorporates the published apprenticeship Standard and Assessment Plan as approved by the Department of Business, Innovation and Skills (May 2016). It is intended to ensure that Providers have the information needed in order to prepare apprentices for the end-point assessment for this apprenticeship. Note that this document is not intended to be a definitive source of information about apprenticeships – you can find more information at <http://www.managers.org.uk/management-apprenticeships> and at the [.gov website](#).

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<sup>1</sup> See also the Team Leader/Supervisor Apprenticeship (level 3), Chartered Manager Degree Apprenticeship (level 6) and Senior Leader Master's Degree Apprenticeship.

# 1: GENERAL INFORMATION

This section includes general information about apprenticeships and this particular apprenticeship, what's included and how providers can get involved in the delivery.

## 1.1 ABOUT THE CHARTERED MANAGEMENT INSTITUTE

The Chartered Management Institute (CMI) is the only chartered professional body in the UK that is dedicated to promoting the highest standards in management and leadership excellence. Over 130,000 managers use its services on a daily basis. It was over 60 years ago that, as the British Institute of Management back then, the organisation developed the UK's very first diploma in management studies. In the years that followed CMI has constantly been at the forefront of all aspects of management training and thinking.

CMI's practical qualifications are ideal for managers and leaders at any level, and CMI remain the only awarding<sup>2</sup> and independent body recognised by the Privy Council to award Chartered Manager status (CMgr MCMI).

CMI is also included on the Education and Skills Funding Agency's Register of Apprentice Assessment Organisations. This means that CMI is able to assess this apprenticeship using the end-point assessment method described in the Assessment Plan, and validate that the apprentice meets the Standard and can be awarded the apprenticeship certificate.

## 1.2 ABOUT APPRENTICESHIPS

### APPRENTICESHIP REFORMS

Employer developed, industry recognised Standards are replacing the current apprenticeship frameworks. Each Standard represents a specific occupational role, including the knowledge and skills necessary for the role. All approved Standards are publicly [available here](#) along with an Assessment Plan for each that specifies how the Standard is to be assessed.

A key change under the reforms is that qualifications are not normally a mandatory requirement as part of the apprenticeship, unlike the old frameworks. They may however be recommended, and Providers may choose which, if any, to use (unless a Licence to Practice or equivalent is required).

OLD FRAMEWORK	NEW STANDARDS
Initial assessment of potential apprentice	Initial assessment of potential apprentice
Work based learning and off-the-job training	Work based learning and off-the-job training
Mandatory requirements: <ul style="list-style-type: none"><li>English &amp; Maths</li><li>Employment rights &amp; responsibilities</li><li>Personal learning &amp; thinking skills</li></ul>	Mandatory requirements: <ul style="list-style-type: none"><li>English &amp; Maths</li><li>Assessment of behaviours</li></ul>
On-programme assessment	On-programme assessment (if required)

<sup>2</sup> Regulated by Ofqual in England and Northern Ireland, Scottish Qualifications Authority Accreditation in Scotland, and Qualifications Wales in Wales.

	Gateway to End Point Assessment
	Independent summative End Point Assessment
Certification of successful apprentices	Grading and certification of successful apprentices

Note that all Standards must be assessed by an independent body using a summative end-point assessment. This will cover the whole Standard (sampling where necessary) to ensure that the apprentice is competent in their role. The methods to be used for the end-point assessment are detailed in the Assessment Plan for each apprentice standard.

New Standards are not required to align to national standards. Providers should have in place an agreement with the employer and end-point assessment organisation to continually ensure and measure quality.

## **BENEFITS OF APPRENTICESHIPS**

An apprenticeship is first and foremost a job with substantial training and the development of knowledge and skills and behaviours, including transferable skills. Apprentices must be in paid employment for the duration of their apprenticeship, and combine working with studying. Apprenticeships are a way for people of all ages to ‘earn while they learn’, gaining a qualification and a real future.

Apprenticeships have a number of benefits for employers, apprentices, and Providers.

- Apprentices can acquire the skills they need to work and progress within certain roles;
- Apprentices will be employed and paid a wage throughout, will gain a full apprenticeship certificate, and gain a head-start into their chosen profession compared with many of their counterparts;
- Providers can strengthen links with local employers and offer an apprenticeship that meets employer needs;
- Apprenticeships are a tried and tested way for employers to recruit new staff, re-train or up-skill existing staff;
- Productivity is increased over time.

### **1.3**

## **ABOUT THE OPERATIONS/DEPARTMENTAL MANAGER APPRENTICESHIP**

The Operations/Departmental Manager Apprenticeship is a Trailblazer Apprenticeship that has been developed by a group of employers led by Serco and CSL, in liaison a number of Providers and organisations including CMI. The involvement of CMI means that we’ve been included at every step of the way, from development of the Standard through to the end-point assessment. This puts us in prime position to conduct the end-point assessment, and to make sure that our Level 5 Diploma in Management & Leadership maps to the Standard so that apprentices can gain an additional qualification.

An Operations/Departmental Manager is someone who manages teams and/or projects, and achieves operational or departmental goals and objectives, as part of the delivery of the organisations strategy. They are accountable to a more senior manager or business owner. Working in the private, public or third sector and in all sizes of organisation, specific responsibilities and job titles will vary, but the knowledge, skills and behaviours needed will be the same.

Key responsibilities may include creating and delivering operational plans, managing projects, leading and managing teams, managing change, financial and resource management, talent management, coaching and mentoring.

The apprenticeship includes business education, work-based learning and professional development. It is based upon the published apprenticeship Standard and Assessment Plan as developed by employers, who will ensure that these remain relevant and current. The Standard is incorporated into the document at Appendix 1.

## TRAINING

There should be provision of underpinning knowledge and training to enable apprentices to meet the Standard and to prepare for the end-point assessment. Apprentices will study the whole of the published Standard which specifies the knowledge, skills and behaviours required for an Operations/ Departmental Manager. This may be achieved via a range of different delivery models including day release, block release, distance learning and online, or through a more integrated approach designed in association with the apprentice's employer.

It is recommended, but not required, that the provision of underpinning knowledge comprises the completion and achievement of the CMI Level 5 Diploma in Management and Leadership or equivalent management qualification recognised by Ofqual. To assist in this process, CMI has mapped the content of the Standard to the CMI Level 5 Diploma in Management and Leadership. Providers will need to be approved as a centre by CMI in order to deliver the CMI Level 5 Diploma in Management and Leadership. Email [qualifications@managers.org.uk](mailto:qualifications@managers.org.uk) or call 01536 207496 for more information.

## WORK BASED LEARNING

Apprentices must be in employment for the duration of the apprenticeship. Work-based learning allows apprentices to 'learn while they earn', and to develop and apply the knowledge, skills and behaviours contained within the Standard. The apprentice's job role must allow sufficient opportunities for the apprentice to undertake activities and tasks related to the Standard, and to implement learning acquired through their studies. They must have access to real work which is productive and gives apprentices opportunities to develop, practice, and evidence knowledge and skills to meet the Standard. Off-the-job training and assessment will take place as part of their paid working hours.

## CHARTERED MANAGER

During the CMI end-point assessment, the independent apprenticeship assessor will assess the apprentices' evidence to determine if they have acquired the skills, knowledge and behaviours to become a Chartered Manager<sup>1</sup>. On completion of the Standard, including successful end-point assessment for the Operation/Departmental Apprenticeship, the Apprentice will become a member of the Chartered Management Institute (MCMI) and will be granted the CMgr<sup>1</sup> designation which will remain valid as long as they continue their professional registration and maintain CPD.

Chartered Manager (CMgr) is the highest status that can be achieved in the managerial profession. Awarded only by CMI, it is recognised throughout the public and private sectors, across all managerial disciplines. Most managers agree it offers benefits well beyond typical management qualifications, and list it as one of the three most effective ways to develop their abilities

### Chartered Managers:

- Add value – deliver added value to their organisations
- Get results – using their managerial skills to lead people and manage change.
- Innovate – create new product, service or market developments.
- Exceed targets – meet or beat performance targets
- Deliver improvements – initiate significant savings or performance improvements with new ways of working
- Work more confidently – become more confident in applying skills and increasing self-awareness.

\*Chartered Managers deliver **£391,443** in added value to their organisation. 68% of CMgrs make significant savings or performance improvements;

- 65% have innovated to create new products or services;
- 67% consistently beat targets.

Managers report greater self-awareness (93%) and confidence in applying their skills (86%) as a result of becoming Chartered.

*\*Findings taken from 'Professionalising Management: the impact of the Chartered Manager'*

<sup>1</sup>In order to achieve Chartered Management Status at EPA stage, the Apprentice must have been a manager for a minimum of 3 years

## 1.5 WHO THIS APPRENTICESHIP IS AIMED AT

The apprenticeship is suitable for those who are, or wish to become, operations/departmental managers. This includes individuals who are at the start of their career as well as those aspiring or existing managers who may already have developed practical experience but who wish to develop their theoretical understanding of management skills further.

An operations/departmental manager is someone who manages teams and/or projects, and achieves operational or departmental goals and objectives, as part of the delivery of the organisations strategy. They are accountable to a more senior manager or business owner. Working in the private, public or third sector and in all sizes of organisation, specific responsibilities and job titles will vary, but the knowledge, skills and behaviours needed will be the same.

Key responsibilities may include creating and delivering operational plans, managing projects, leading and managing teams, managing change, financial and resource management, talent management, coaching and mentoring.

Roles may include: Operations Manager, Regional Manager, Divisional Manager, Department Manager and specialist managers.

## 1.6 ENTRY REQUIREMENTS

The entry requirement for this apprenticeship will be decided by each employer, but may typically be five GCSEs at Grade C or higher. Other relevant or prior experience may also be considered as an alternative. Providers must liaise with employers to determine their requirements, in line with any specific requirements of the provider.

Apprentices without level 2 English and mathematics will need to achieve this level prior to taking the end-point assessment. Evidence of this must be collated by the provider and provided to the end-point assessment organisation as part of the Gateway process. It is also recommended that the apprentice is supported to become digitally literate where this is important to their role.

## 1.7 DURATION

It will typically take 2½ years to complete this apprenticeship, although the exact duration will be dependent on the previous experience of the individual. Providers should liaise with employers and potential apprentices to establish the duration of the programme required.

The end-point assessment can only be taken by an apprentice once they have completed the minimum of 12 months of learning and their employer and training provider are content they have attained sufficient skills, knowledge and experience. The entire duration of the apprenticeship standard for both training delivery and end-point assessment must be recorded on the (Individual Learning Record) ILR as a minimum of 372 days, to be eligible for funding.

## 1.8 HOW PROVIDERS CAN GET INVOLVED

The apprenticeship can be delivered through organisations that are listed on the Education and Skills Funding Agency Register of Apprenticeship Training Organisations (RoATP). Each provider must develop its own apprenticeship programme and map this to the published Standard. To deliver the apprenticeship a

provider must either be:

- Currently listed on RoATP and already receive funding for apprenticeship delivery from the ESFA;
- A subcontractor to another provider listed on the ESFA's Register of Training Providers who is in receipt of funding for apprenticeships from the ESFA.

Providers may wish to deliver the whole apprenticeship directly or, act as the lead apprenticeship provider, sharing the delivery by subcontracting with other providers. The process that providers must follow is shown below.

### SUMMARY PROCESS

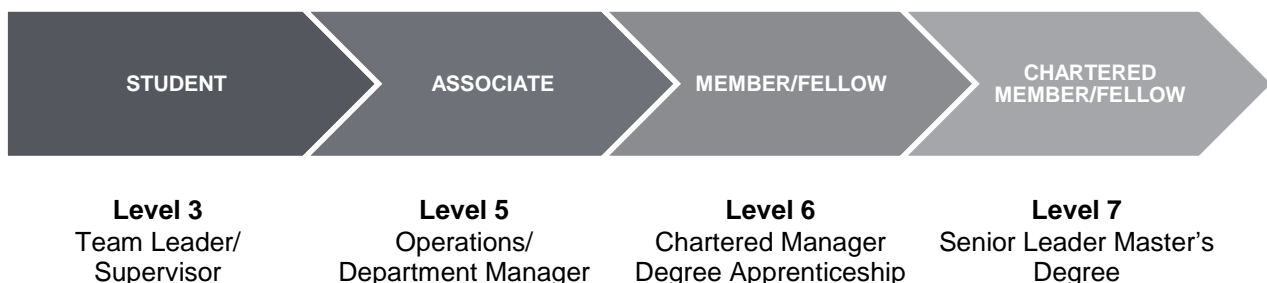
- Ensure that you are listed on the Register of Apprenticeship Training Providers;
- Liaise with employers re apprentice recruitment, selection, induction;
- Complete an Individual Learning Record (ILR) for each apprentice (ESFA process);
- Deliver training including study and assessment for any qualification delivered;
- Undertake on-programme assessment and regular reviews of apprentice's progress;
- Ensure that apprentice has achieved English and mathematics at level 2 minimum, and has the knowledge and skills to progress through the Gateway to the end-point assessment;
- Liaise with employer and the CMI to evidence the above and arrange the end-point assessment;
- End-point assessment takes place;
- CMI independent assessor allocates grade;
- Apprenticeship certificate awarded to successful apprentices.

## 1.9 MEMBERSHIP

On completion of the apprenticeship, apprentices may choose to register as full members with CMI to support their professional career development and progression.

Where providers deliver the CMI Level 5 Diploma in Management and Leadership as part of the knowledge requirements, the apprentice will get CMI membership from the point of registration onwards. This membership gives the apprentice access to specifically tailored ManagementDirect resources and qualification support. Providers that are not already approved to deliver the qualification should contact CMI to find out about becoming an approved centre ([qualifications@managers.org.uk](mailto:qualifications@managers.org.uk) / 01536 207496).

CMI membership signifies dedication to the profession and continued profession development. The diagram below demonstrates the relationship between CMI membership categories and the suite of Trailblazer apprenticeships.





### MANAGEMENTDIRECT

Apprentices that are registered for a CMI qualification<sup>3</sup> will have access to ManagementDirect, CMI's on-line resource tool that provides valuable support to apprentices including:

- **E-Learning Modules**  
From developing a management style to the principles of project management.
- **Leader Videos**  
Experts talk about overcoming real-life management issues.
- **Thinkers**  
Summaries of the ideas of major theorists to help problem solving.
- **Interactive Scenarios**  
What decisions would you make on these management challenges?
- **Published Articles**  
A database of articles from Professional Manager.
- **Checklists**  
Hundreds of practical tick lists of activities to ensure a best practice approach
- **E-Journals**  
Journals, publications and research documents offering latest industry insight
- **Templates**  
Document outlines and research summaries on key business initiatives such as devising a marketing plan

ManagementDirect content has been mapped to learning outcomes for CMI's management and leadership qualifications, and to the apprenticeship Standard. This provides a tailored experience for those taking a CMI qualification as part of their apprentice programme.

### EDUCATION AND SKILLS FUNDING AGENCY

The ESFA produces a number of documents that aim to support employers and providers. The Apprenticeship Staff Support Programme has produced resources to support providers in understanding and implementing the apprenticeship reforms. The resources include a 'Resources for Planning and Action' document, which includes a section on planning for the delivery of apprenticeship standards, also four free podcasts - An overview of the reforms; learning from providers; understanding the changes to assessment; and the changing employer-provider conversation.

These resources can be found [here](#).

## 1.11 FUNDING

This information is constantly changing and evolving.

Please see the Frequently Asked Questions on CMI's website where we endeavour to keep information as current as possible and can be accessed at: <http://www.managers.org.uk/management-apprenticeships/more/faqs>

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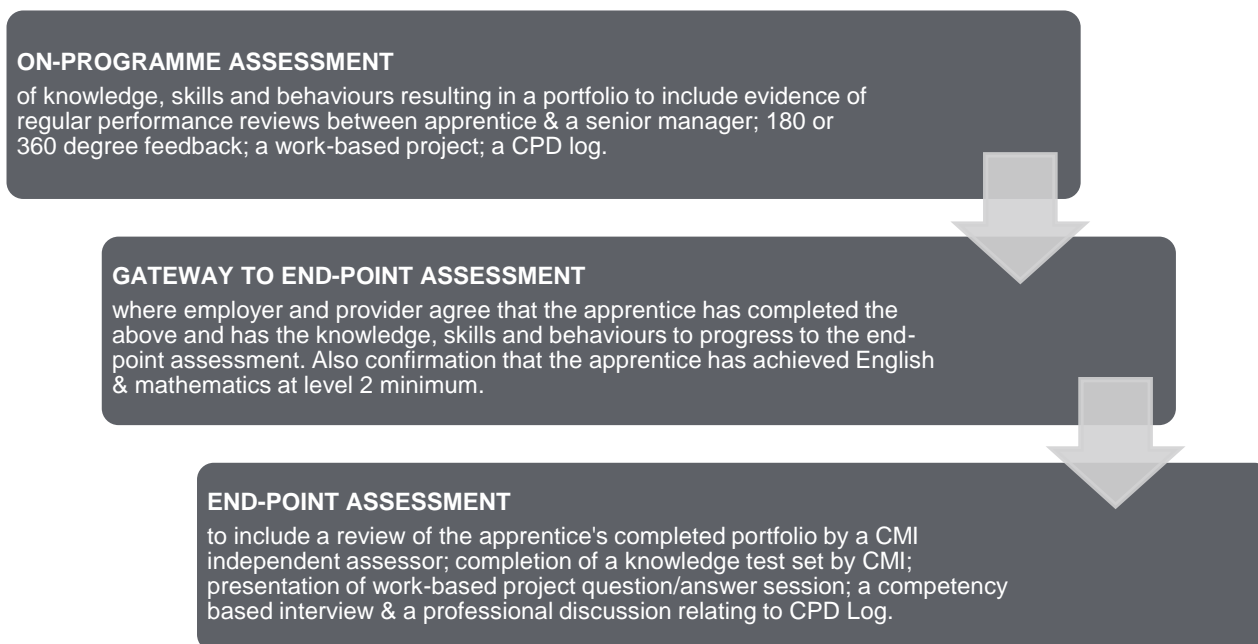
<sup>3</sup> Note that the CMI Level 5 Diploma in Management & Leadership maps to the Standard.

## 2: ASSESSMENT

This section provides information about how the apprentice is to be assessed, including the formative on-programme assessment through to the summative end-point assessment.

### 2.1 SUMMARY OF ASSESSMENT

There are a number of elements that make up assessment for the apprenticeship including formative, on-programme assessment and a summative end-point assessment.



### 2.2 ON-PROGRAMME ASSESSMENT

Formative on-programme assessment must take place to demonstrate learning and development activities and their application in the workplace. Apprentices must be assessed whilst undertaking work-based activities and the outcome of assessment recorded. Methods used to assess the apprentice must be valid and reliable, and allow for the generation of evidence which is sufficient to make judgments about the apprentice's level of knowledge and understanding, skills, behaviours and competencies.

Where the apprentice is studying the Level 5 Diploma in Management and Leadership as part of the knowledge requirements for the apprenticeship, the qualification will count towards achievement of the Standard.

Evidence of on-programme assessment must be collated in a portfolio of evidence. The portfolio will be expected to contain evidence of the application of knowledge and demonstration of skills and behaviours relating to leading and managing people, building relationships, communication, operational management, project management, finance, self-awareness, management of self and decision making, taking responsibility, inclusivity, being agile, and professionalism.

Evidence is not prescribed and could include assignments, reports, evidence of tasks undertaken, demonstrations, presentations, assignments, appraisals against performance objectives, plans, records of

observation of performance, personal reflective log, and feedback on behaviours via contact with others, team work - manager's report, emails, customer comments, peer review etc.

The portfolio must however include evidence of:

- Regular reviews of performance between the apprentice and line manager;
- Feedback from line manager, peers and direct reports;
- A Continual Professional Development (CPD) Log;
- A work-based project.

The evidence contained in the portfolio will comprise of complete and/or discrete pieces of work that cover the totality of the Operations/Departmental Manager Apprenticeship Standard. The portfolio will also show how the apprentice has demonstrated the behaviours, especially around contact with others, team work and areas where they have exceeded the requirements of the role.

## **REGULAR REVIEWS OF PERFORMANCE BETWEEN THE APPRENTICE & SENIOR MANAGER**

Regular reviews between the line manager and apprentice must take place and records of these retained. These reviews should include the apprentice's progress towards activities that contribute towards the apprenticeship, and ensure that the apprentice is being given the opportunity to develop knowledge and skills in the workplace. These records must be made available as part of the portfolio.

## **FEEDBACK FROM LINE MANAGER, PEERS & DIRECT REPORTS**

Feedback should be obtained on the apprentice's performance, including 180 degree or 360 degree feedback from managers, peers, direct reports and customers/ stakeholders. 360-degree feedback is where contributors include people at all levels of relationship with the apprentice, i.e. bosses, peers/colleagues, as well as direct reports. 180-degree feedback is where contributors are at the same level as the apprentice (peers or colleagues), and the person the apprentice reports to.

This exercise should be conducted sensitively and input should be anonymous to the apprentice where possible. The outcome of this exercise should be discussed with the apprentice to allow opportunities for further development based upon this feedback. This may be in the form of an action plan or included in a personal development log (see below). Evidence of this process must be included in the portfolio of evidence.

## **A CONTINUAL PROFESSIONAL DEVELOPMENT LOG**

The portfolio must contain evidence of CPD, training and personal development activities and how learning was applied to the role and workplace. This can include all training and development undertaken as part of the apprenticeship. A personal development log should be maintained and made available as part of the portfolio. This will form part of a professional discussion with the independent assessor as part of the end-point assessment.

All evidence contained within the portfolio must relate to that produced by the apprentice.

## **A WORK-BASED PROJECT**

The portfolio must contain evidence of a work-based project to be completed within the final 6 months of the apprenticeship. This will bring together elements of learning from different parts of the programme and show accumulated knowledge and understanding of management and its application in their organisation. The project topic will be agreed between the employer, provider and apprentice, and will be of benefit to the business. Each project must enable the following to be demonstrated:

- The application of knowledge and skills meet the outcomes in the standard;
- The approach to planning and completion of the project;
- The application of behaviours from the standard.

### **Design of project**

- A specification must be devised of what has to be delivered on completion of the project – this must

include the outputs, project plans etc.;

- Terms of reference must be developed by the apprentice and agreed by the provider and employer;
- Approach to the problem, solution design and implementation, the final report and presentation;
- Apprentices must document their assumptions and highlight the consequences of these assumptions – enabling them to demonstrate their understanding of commercial pressures and the application of their thinking and problem solving skills;
- Agreement to be made between the apprentice, employer and provider on what systems, tools and platforms will be required (if any) to complete the tasks and how these will be made available.

### Delivery of project

- Providers will work with the employer and apprentice to agree the project title and support arrangements required to enable the project to be undertaken;
- The project should normally be based on an agreed business problem that forms part of the apprentice's role;
- Suitable time should be set aside by the employer for the apprentice to plan, undertake and write up their project;
- The apprentice will first work out what is required and present terms of reference and an initial plan for agreement with the employer and provider;
- The project will typically be undertaken at the employers premises;
- The employer and provider will ensure that the apprentice has access to the tools and systems required to complete the tasks within the project;
- The apprentice will provide a signed statement to confirm the project is their own work;
- The project will be set and completed during the final 6 months of the apprenticeship.

### Requirements for the project environment

- A suitable project environment should be provided ensuring access to all required tools and systems. This may be the apprentices' normal place of work/work station, or another environment suitable for the project;
- Someone responsible for managing the project from the employer perspective;
- Someone from the provider to oversee and provide support to the apprentice.

The project should be conducted as part of the apprentice's normal work. The employer should make allowance, in terms of time and resource, for the project to be undertaken. Any elements which need to be undertaken outside of normal work should be agreed between the employer, apprentice and training provider so that apprentices are not disadvantaged in any way from performing their job and meeting the requirements of the project.

## 2.3 GATEWAY TO END POINT ASSESSMENT

The Gateway process must be used to confirm to CMI that the apprentice has met the pre-requisite requirements of the Standard before they move to the end-point assessment. The provider will need to confirm to CMI that:

- The apprentice has achieved a minimum level 2 in both English and mathematics;
- The apprentice has completed a portfolio of evidence that covers the totality of the Standard and includes evidence of regular reviews of performance between the apprentice and line manager; feedback from line manager, peers and direct reports; and a CPD Log;
- The employer and provider agree that the apprentice is ready for the end-point assessment.

## 2.4 END POINT ASSESSMENT

A summative end-point assessment takes place once the apprentice has completed the training programme and the employer and provider agree that the apprentice is ready to progress to the end-point assessment. This will normally take place at the provider's premises.

A relevant Level 5 Diploma in Management and Leadership or equivalent management qualification may be used as evidence towards achievement of the Standard. This must be mapped to demonstrate which elements of the qualification map specifically to parts of the Standard.

### END POINT ASSESSMENT ORGANISATIONS

Any organisation that wishes to deliver the end-point assessment for the apprenticeship must do so in accordance with the published Assessment Plan, and be approved by the Education and Skills Funding Agency (ESFA). All approved organisations are shown on the List of End Point Assessment Organisations on the ESFA's website.

CMI has the assessment expertise and necessary resources to undertake the end-point assessment having a large number of independent assessors that are regionally spread and available for conducting independent assessments. Training and standard setting takes place on a regular basis to ensure that CMI's independent assessors are consistent in their assessment decisions.

### ARRANGING THE END POINT ASSESSMENT

It is the employer's responsibility to choose the end-point assessment organisation, though it is likely that in reality this will happen in liaison with the provider. This section describes the end-point assessment for the apprenticeship where CMI is the chosen body for the end-point assessment.

Although the end-point assessment can be arranged early on, it can't actually take place until the requirements of the Gateway Process described above have been met. Providers must contact CMI as the chosen end-point assessment organisation at least 3 months before the anticipated end-point assessment date. This timescale also allows time for CMI to allocate an independent assessor.

Providers should allow sufficient time for the independent assessor to review the apprentice's portfolio prior to the interview and professional discussion taking place.

### CONDUCTING THE END POINT ASSESSMENT

The end-point assessment can take place when the requirements of the Gateway Process have been met. The end-point assessment is an overall synoptic assessment that covers the whole Standard. The end-point assessment will be undertaken by an independent assessor appointed by CMI.

#### Review of portfolio

Each apprentice's portfolio of evidence will be reviewed by an independent assessor in advance of the presentation, interview and professional discussion. The review will check coverage of the Standard, and that the portfolio includes evidence of regular reviews of performance between the apprentice and senior manager; feedback from line manager, peers, direct reports and customers/ stakeholders; the work-based project; and a CPD Log as required.

#### Test set by CMI

The knowledge requirements within the Standard will be tested using a structured series of questions to assess the apprentice's knowledge. A series of different scenarios and situations will be used, with a series of questions requiring responses which will demonstrate the apprentice's knowledge of that particular topic. The knowledge test may be delivered on-line or be paper-based, and is likely to be multiple-choice. CMI will set out the test specifications including the number of questions to be included, time allowed, and conditions for invigilation, to ensure consistency and quality.

## Presentation and Q&A session

Apprentices must deliver a short presentation about the findings of their work-based project to a panel comprising the independent assessor, provider and employer. The presentation must describe the objectives and outputs of their work based project, and will demonstrate what the apprentice set out to achieve; what they have produced in the project; how they approached the work and dealt with any issues; confirm the demonstration of appropriate interpersonal and behavioural skills.

Practical requirements for the presentation:

- The presentation will take place following the completion for the project and the preparation of the final report;
- The apprentice will receive appropriate notice of their presentation time (a minimum of 7 days' notice);
- A structured brief will be used to support the presentation to ensure a consistent approach;
- The presentation will be of 15 minutes duration;
- The question and answer session will be for 15 minutes duration;
- The presentation will be conducted face to face or via live media, whichever is the most appropriate for the apprentice and employer;
- The apprentice must be put at ease to enable them to do their best.

The presentation will be assessed and a question and answer session will follow. The apprentice will be required to provide responses to a series of competency based questions put to them by the panel members. The independent assessor will chair this panel. The questions will focus on the findings of the work-based project and will also require the apprentice to draw on their broader experiences throughout their apprenticeship.

## Interview and professional discussion

The knowledge requirements within the Standard will also be tested by a one-to-one interview that will comprise a series of structured, competency based questions put to the apprentice by the independent assessor. The questions will require the apprentice to draw on their experiences throughout their apprenticeship. The interview can be conducted using a range of media (telephone interview, live media, online or written), whichever is the most appropriate for the apprentice.

The apprentice will also be required to take part in a professional discussion with the independent assessor. This will focus on evidence of CPD provided as part of the CPD Log contained within the portfolio, training and personal development activities and how learning was applied to the role and workplace. The apprentice will provide evidence of any additional learning/CPD undertaken during the apprenticeship, which will include:

- Activity undertaken during the Level 5 Diploma or learning activity;
- Details of any formal or informal learning undertaken;
- Details of any professional discussions undertaken or support provided through Professional Bodies.

The independent assessor will undertake a professional discussion with the apprentice to identify the objective of the activity, and reflect on the outcome and how learning gained was applied.

## AREA OF STANDARD ASSESSED BY EACH METHOD

METHOD	AREA ASSESSED
Knowledge test using scenarios and questions	Knowledge of leading people, managing people, building relationships, communication, operational management, project management, finance

Structured competency based interview	Knowledge and application of learning relating to of leading people, managing people, building relationships, communication, operational management, project management, finance
Review of evidence portfolio	Application of knowledge and demonstration of skills and behaviours relating to leading people, managing people, building relationships, communication, operational management, project management, finance, self-awareness, management of self and decision making, taking responsibility, inclusivity, being agile, professionalism
Assessment of the work-based project followed by a presentation on work-based project with Q&A	The approach, implementation and outcomes of the work based project, and how learning was applied.
Professional discussion	Evidence of CPD, training and personal development activities and how learning was applied to the role and workplace

## 2.5 FINAL ASSESSMENT AND GRADING

The independent assessor will review the evidence for each apprentice and grade the apprentice on the following scale: fail/pass/merit/distinction. Full detail of the grading protocol is set out in the Assessment Plan.

## 2.6 APPEALS PROCESS

This section outlines how apprentices may appeal against decisions regarding the outcome of the end-point assessment. Note that an appeal against any qualification delivered as part of the underpinning knowledge must go through the relevant Awarding Organisation's own appeals process.

Appeals against the outcome of the end-point assessment should be addressed to CMI as the independent assessment organisation. These should clearly state the grounds for appeal and be made within 20 working days of the receipt of the results.

Appeals may be made by post to the Chartered Management Institute, Management House, Cottingham Road, Corby, Northamptonshire NN17 1TT. Or via email to [apprenticeship@managers.org.uk](mailto:apprenticeship@managers.org.uk).

CMI will confirm, in writing, acknowledgement of receipt of the appeal within 10 working days.

CMI will arrange for the Lead independent assessor to review the documentation relating to the results. The Lead independent assessor will not be informed of the decision of the first assessor, and may conduct a telephone interview with the appellant as part of this process. The decision of the Lead independent assessor is final.

In the event that an apprentice fails to pass the independent assessment, or is not satisfied with the grade awarded, an appeal against the decision may be made. The process is as follows:

- Any appeal must be made in writing within 28 days of the fail decision or grade being confirmed, clearly stating the grounds for appeal
- Appellants must send in a cheque for £150 along with the written appeal (the cheque is held pending the appeal outcome)
- CMI then organise a review of the case through the Lead independent assessor, or if the appeal is against this person through another independent assessor

- The relevant assessment documentation will be reviewed and a telephone interview may also take place
- If the appeal is successful, then the cheque is destroyed
- If the appeal is unsuccessful then the cheque is cashed and the original fail decision or grade remains in place
- All appeals must be sent to [apprenticeships@managers.org.uk](mailto:apprenticeships@managers.org.uk)

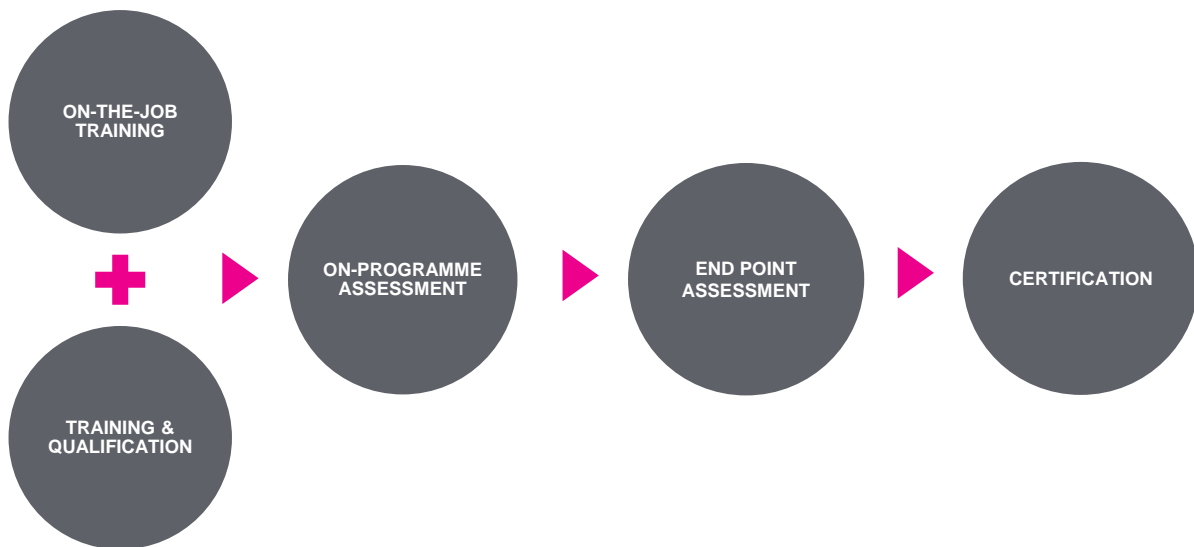
If the appeal identifies any shortcoming or failure in the assessment process, CMI will take steps to:

- Identify any other apprentice who has been affected by the failure,
- Correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- Ensure that the failure does not recur in the future.

## 2.7 CERTIFICATION PROCESS

Following the end-point assessment, the independent assessor will grade the assessment and provide the results to the CMI. The CMI will apply to the ESFA for the Apprentice Certificate.

**In summary the apprentice's journey is as follows:**





# 3: ROLES & RESPONSIBILITIES

## 3.1 PROVIDER'S ROLE

Each provider must:

- Develop its own training programme and ensure this maps to the Standard (where a qualification is used this may already map to the Standard);
- Be approved as a centre where the Level 5 Diploma in Management and Leadership is delivered to evidence knowledge requirements;
- Develop approaches that will deliver high quality education and training to apprentices and fulfil employer expectations. This may be achieved via a range of different delivery models including day release, block release, distance learning and online, or through a more integrated approach designed in association with the apprentice's employer;
- Ensure that the apprentice meets the minimum entry requirements in liaison with the employer;
- Assess and provide feedback to the apprentice;
- Take part in periodic reviews with the employer to review the apprentice's progress;
- Ensure internal quality assurance of their own formative assessment that takes place as part of the apprenticeship;
- Liaise with employers to ensure that apprentice development plans are in place and executed, giving apprentices opportunities to access develop, practice, and evidence knowledge and skills to meet the Standard;
- Liaise with CMI and the employer regarding the end-point assessment.

## 3.2 EMPLOYER'S ROLE

Each employer must:

- Identify apprentices that may be suitable for the Apprenticeship;
- Ensure the apprentice is undertaking real work which is productive and gives apprentices opportunities to access develop, practice, and evidence knowledge and skills to meet the Standard;
- Allow the apprentice to attend external off-the-job training and assessment as part of their paid working hours;
- Take part in regular reviews with the Provider to review the apprentice's progress;
- Liaise with the Provider regarding the end-point assessment;
- That the apprenticeship will last for a minimum of 12 months and be expected to employ an apprentice for the full duration of their apprenticeship;
- In most cases employers will be expected to employ an apprentice for at least 30 hours per week.

A useful guide for employers is [available here](#).

CMI as the End Point Assessment organisation must:

- Appoint qualified and experienced independent assessors
- Develop assessment materials for use during the end-point assessment
- Ensure that the independent assessors are standardised and provided with clear guidance so that assessment decisions across all assessors are consistent
- Liaise with the Provider with regards to the end-point assessment
- Conduct the end-point assessment and use this to allocate grades to apprentices
- Complete all necessary administration around the apprenticeship
- Provide apprentices with access to ManagementDirect – CMI's on-line resource.

# 4: APPENDIX

## 1 LEARNING OUTCOMES & ASSESSMENT CRITERIA

### KNOWLEDGE

Has factual, procedural and theoretical knowledge and understanding of a subject or field of work to complete tasks and address problems that while well-defined, may be complex and non-routine. Can interpret and evaluate relevant information and ideas. Is aware of the nature of the area of study or work. Is aware of different perspectives or approaches within the area of study or work.

### SKILLS

Identify, select and use appropriate cognitive and practical skills, methods and procedures to address problems that while well-defined, may be complex and non-routine. Use appropriate investigation to inform actions. Review how effective methods and actions have been.

LEARNING OUTCOME	ASSESSMENT CRITERIA
The candidate will...	The candidate can...
<b>A. OPERATIONAL MANAGEMENT</b>	
<p>Know and understand:</p> <p>A.1 Operational management approaches and models including creating plans to deliver objectives and set KPI's</p> <p>A.2 Business development tools e.g. SWOT and approaches to continuous improvement</p> <p>A.3 Operational business planning techniques, including how to manage resources, development of sales and marketing plans, setting targets and monitoring performance</p> <p>A.4 Management systems, processes and contingency planning</p> <p>A.5 How to initiate and manage change, identifying barriers &amp; solutions</p>	<p>A.1.1 Explain models and approaches to operational management including the creation of plans to deliver objectives and the setting of KPIs</p> <p>A2.1 Evaluate business development tools and approaches to continuous improvement (e.g. SWOT)</p> <p>A3.1 Explain strategic resource management A3.2 Analyse the importance of a sales and marketing plans A3.3 Describe how to set targets and monitor performance</p> <p>A4.1 Explain the key elements of a management system A4.2 Discuss the importance of these elements and explain how they contribute towards operational management A4.3 Assess the importance of contingency planning A4.4 Indicate typical content for departmental/project contingency plans</p> <p>A5.1 Evaluate key change management models A5.2 Describe potential barriers to change and evaluate methods for overcoming these barriers</p>

<p>A.6 Data security, management &amp; effective use of technology in an organisation</p> <p>Be able to:</p> <p>A.7 Input to strategic planning</p> <p>A.8 Create plans in line with organisational objectives</p> <p>A.9 Support, manage and communicate change by identifying barriers and overcoming these</p> <p>A10 Demonstrate commercial awareness and the ability to identify and shape new opportunities</p> <p>A11 Create and deliver operational plans including setting KPIs and monitoring performance against plans</p> <p>A12 Produce reports, providing management information based on the collation, analysis and interpretation of data</p>	<p>A6.1 Explain the importance of data security with reference to relevant legislation</p> <p>A6.2 Evaluate the use of technology in the management of data</p> <p>A7.1 Demonstrate a contribution towards the strategic planning process</p> <p>A7.2 Review effectiveness of contribution</p> <p>A8.1 Create plans at a departmental level that support the organisation's objectives</p> <p>A9.1 Create a plan to manage change within a select part of the organisation</p> <p>A9.2 Identify barriers to change and describe methods for overcoming these</p> <p>A9.3 Demonstrate communication of change</p> <p>A9.4 Review the effectiveness of change management plan and communication</p> <p>A10.1 Demonstrate commercial awareness through the identification of new opportunities</p> <p>A10.2 Effectively shape new opportunities in accordance with own company's policies</p> <p>A11.1 Set clear targets/ KPIs against operational plans</p> <p>A11.2 Deliver plans demonstrating monitoring of performance against targets/ KPIs</p> <p>A12.1 Collate, analyse and interpret a range of data</p> <p>A12.2 Use data and information to produce management reports</p>
<b>B. PROJECT MANAGEMENT</b>	
<p>Know and understand:</p> <p>B1 How to set up and manage a project using relevant tools and techniques</p> <p>B2 Process management</p> <p>B3 Approaches to risk management.</p> <p>Be able to:</p> <p>B4 Use relevant project management tools</p> <p>B5 Plan, organise and manage resources</p>	<p>B1.1 Evaluate project management tools and techniques</p> <p>B1.2 Describe how to apply project management tools to set up and manage a project</p> <p>B2.1 Explain process management</p> <p>B3.1 Evaluate approaches to risk management</p> <p>B3.2 Select and apply appropriate risk management model(s) to projects</p> <p>B4.1 Apply project management tools to the development of a project plan and its monitoring</p> <p>B5.1 Demonstrate the identification and management of resources to deliver project outcomes</p>

B6 Monitor progress against project plan	B6.1 Demonstrate monitoring and review of project against the project plan
B7 Identify risks and their mitigation	B7.1 Demonstrate the identification of risks and the mitigation of these B7.2 Show how corrective actions are taken as necessary to ensure project delivery
<b>C. FINANCE</b>	
Know and understand:	
C.1 Business finance: how to set budgets	C1.1 Assess the importance of financial management within a department/project C1.2 Describe methods for setting budgets
C.2 How to manage budgets	C2.1 Describe how to manage a budget and the system used by company
C.3 Financial forecasting	C3.1 Evaluate methods of financial forecasting
Be able to:	
C.4 Monitor budgets	C4.1 Demonstrate management of a departmental/project budget in accordance with targets
C.5 Provide financial reports	C5.1 Produce accurate financial reports
C.6 Consider the financial implications of decisions and adjust approach and recommendations accordingly	C6.1 Demonstrate reviews of budget in accordance with decisions made C6.2 Show revisions to budget where appropriate to take account of the financial impact of decisions made
<b>D. LEADING PEOPLE</b>	
Know and understand:	
D1 Different leadership styles	D1.1 Evaluate different models of leadership styles D1.2 Describe own leadership style and the associated strengths and weaknesses
D2 How to lead multiple and remote teams and manage team leaders	D2.1 Explain how to lead multiple and remote teams and manage team leaders to achieve outcomes
D3 How to motivate and improve performance	D3.1 Assess methods for improving performance
D4 How to support people using coaching and mentoring approaches	D4.1 Describe coaching and mentoring models D4.2 Explain how these can be used to support people and improve performance within the department/ project
D5 Organisational cultures and diversity and their impact on leading and managing change	D5.1 Describe the organisational culture and evaluate the management of equality and diversity within the department/ projects
D6 How to delegate effectively	D6.1 Explain effective delegation

<p>Skills – be able to:</p> <p>D7 Support the development of people through coaching and mentoring and the management of change</p> <p>D8 Communicate organisational vision and goals and how these to apply to the department and teams</p> <p>D9 Support development through coaching and mentoring</p> <p>D10 Enable and support high performance working</p> <p>D11 Support the management of change within the organisation</p>	<p>D7.1 Demonstrate the development of people through coaching and mentoring</p> <p>D8.1 Demonstrate communication of organisational vision and goals</p> <p>D9.1 Support development of others through coaching and mentoring</p> <p>D10.1 Demonstrate support for high performance working</p> <p>D11.1 Demonstrate management of the department/ project through change</p>
<b>E. MANAGING PEOPLE</b>	
<p>Know and understand:</p> <p>E.1 How to manage multiple teams</p> <p>E.2 How to develop high performing teams</p> <p>E.3 Performance management techniques</p> <p>E.4 Talent management models</p> <p>E.5 How to recruit people</p> <p>E.6 How to manage and develop people</p> <p>Be able to:</p> <p>E.7 Manage talent and performance</p> <p>E.8 Develop, build and motivate teams by identifying their strengths and enabling development within the workplace</p> <p>E.9 Delegate and enable delivery through others</p>	<p>E1.1 Analyse multiple team management and review approaches to this</p> <p>E2.1 Explain how to develop high performing teams</p> <p>E3.1 Explain performance management techniques performance management techniques including setting objectives, conducting appraisals and reviewing performance and how to deal with those that are under-performing</p> <p>E4.1 Discuss talent management models</p> <p>E5.1 Describe recruitment strategies</p> <p>E6.1 Evaluate people management models</p> <p>E7.1 Manage performance including setting and monitoring objectives and addressing where there are performance issues</p> <p>E7.2 Identify and manage talent/high performers</p> <p>E8.1 Identify individual's and/or teams strengths and demonstrate how to support to develop these</p> <p>E9.1 Practice effective delegation demonstrating support to enable delivery of objectives</p>
<b>F. BUILDING RELATIONSHIPS</b>	

<p>Know and understand:</p> <p>F.1 Approaches to partner, stakeholder and supplier relationship management and engagement including negotiation, influencing and effective networking</p> <p>F.2 Collaborative working techniques to enable delivery through others</p> <p>F.3 How to share best practice</p> <p>F.4 How to manage conflict at all levels</p> <p>Be able to:</p> <p>F.5 Build trust, and use effective negotiation and influencing skills</p> <p>F.6 Manage conflict</p> <p>F.7 Identify and share good practice</p> <p>F.8 Work collaboratively with others both inside and outside of the organisation</p> <p>F.9 Use specialist advice and support to deliver against plans</p>	<p>F1.1 Analyse approaches to partner, stakeholder and supplier relationship management and engagement, including negotiation, influencing and effective networking showing sensitivity to cultural diversity</p> <p>F2.1 Explain how collaborative working techniques enable delivery through others</p> <p>F3.1 Describe methods for sharing best practice</p> <p>F4.1 Assess conflict management models and how these apply across all levels</p> <p>F5.1 Demonstrate actions that build trust both within and without the company F5.2 Demonstrate the use of negotiation strategies and influencing skills to achieve outcomes</p> <p>F6.1. Show how conflict has been managed to successful resolution</p> <p>F7.1 Demonstrate where good practice has been identified and shared to the benefit of all or part of the company</p> <p>F8.1 Demonstrate collaborative working both inside and outside of the company</p> <p>F9.1 Demonstrate the use of specialist advice and support to deliver against plans</p>
<b>G. COMMUNICATION</b>	
<p>Know and understand:</p> <p>G.1 Interpersonal skills</p> <p>G.2 Different communication forms &amp; techniques (verbal, written, non-verbal, digital)</p> <p>Be able to:</p> <p>G.3 Communicate effectively (verbal, non-verbal, written, digital)</p> <p>G.4 Be flexible in communication style</p> <p>G.5 Chair meetings</p>	<p>G1.1 Explain interpersonal skills and the importance of these G1.2 Assess models of interpersonal skills including the strengths and weaknesses of different types of communication (written, verbal non-verbal, digital)</p> <p>G2.1 Evaluate the application of different communication types in different context</p> <p>G3.1 Demonstrate effective and appropriate use of verbal, written and digital forms of communication in a range of settings</p> <p>G4.1 Communicate with a range of audiences G4.2 Show adaption of messages to suit the audience</p> <p>G5.1 Demonstrate effective chairing of meetings to</p>

G.6 Present using a range of media	achieve outcomes G6.1 Present to different audiences using a range of media
G.7 Use active listening	G7.1 Demonstrate the use of active listening summarising and providing feedback
G.8 Give constructive feedback and challenge where necessary	G8.1 Show how to give both positive and constructive feedback to team members G8.2 Demonstrate the management of difficult conversations including challenging others
<b>H. SELF-AWARENESS</b>	
Know and understand:	
H.1 Own impact through self-awareness	H1.1 Assess the importance of being self-aware and the potential impact that this can have on own and others' performance H1.2 Devise and assess strategies for obtaining feedback on self
H.2 Emotional intelligence	H2.1 Evaluate models of emotional intelligence and provide a rationale as to why this is important to managers
H.3 Different learning and behaviour styles	H3.1 Review different learning and behaviour styles and describe how these can impact upon others/working relationships H3.2 Identify own learning and working style and the potential implications of these
Be able to:	
H.4 Reflect on own performance	H4.1 Obtain and use feedback to analyse the potential impact of own behaviour on others and performance (both positive and negative) H4.2 Review own performance, identifying development needs, detailing actions to address these and demonstrating the application of learning
H.5 Reflect on own working style and its impact on others	H5.1 Review own working style and describe the impact of this on others H5.2 Identify strategies to maximise strengths and minimise weaknesses
<b>I. MANAGEMENT OF SELF</b>	
Know and understand:	
I1 Use of time management techniques and tools	I1.1. Assess different time management techniques and tools
I2 Approaches to planning including managing multiple tasks	I2.1 Describe approaches to planning including managing multiple tasks
Be able to:	
I.3 Create a personal development plan	I3.1 Create a personal development plan that sets both short term and long term achievable goals for self and monitor progress towards these I3.2 Demonstrate commitment to continual personal development



I.4 Use time management and prioritisation techniques	I4.1 Review own time management skills, describing and justifying priorities I4.2 Demonstrate use of time management techniques and tools to manage workload and pressure
<b>J. DECISION MAKING</b>	
Know and understand:	
J.1 Understand organisational values and ethics and their impact on decision making	J1.1 Explain the organisations values and ethics and the impact of these on decision making
J.2 Problem solving and decision making techniques, Including data analysis	J2.1 Describe what types of data and other information may be required to inform decision making and justify their use J2.2 Explain methods to effectively apply problem solving and decision making techniques
Be able to:	
J.3 Undertake critical analysis and evaluation to support decision making	J3.1 Demonstrate the use of critical analysis and evaluation to support decision making
J.4 Use effective problem solving techniques	J4.1 Use evidence to problem solve and demonstrate how this is used to make a range of decisions J4.2 Review the effectiveness of decisions made

BEHAVIOURS	CODE OF CONDUCT	ASSESSMENT METHODS
<b>K1. TAKES RESPONSIBILITY</b>		
<ul style="list-style-type: none"> <li>Drive to achieve in all aspects of work</li> <li>Demonstrates resilience and accountability</li> <li>Determination when managing difficult situations</li> <li>Seeks new opportunities</li> </ul>	<ul style="list-style-type: none"> <li>Continually developing and maintaining professional knowledge and competence</li> <li>Upholds the reputation of the profession and the institute</li> </ul>	Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours.
<b>K2. INCLUSIVE</b>		
<ul style="list-style-type: none"> <li>Open, approachable, authentic, and able to build trust with others</li> <li>Seeks the views of others and values diversity</li> </ul>	<ul style="list-style-type: none"> <li>Creates a positive impact on society</li> <li>Respecting the people with whom you work</li> </ul>	Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours.
<b>K3. AGILE</b>		
<ul style="list-style-type: none"> <li>Flexible to the needs of the organisation</li> <li>Is creative, innovative</li> </ul>	<ul style="list-style-type: none"> <li>Acts in the best interest of organisation, customers, clients and/or</li> </ul>	Portfolio will include evidence obtained using a range of assessment methods to show

<p>and enterprising when seeking solutions to business needs</p> <ul style="list-style-type: none"> <li>• Positive and adaptable, responding well to feedback and need for change</li> <li>• Open to new ways of working</li> </ul>	<p>partners</p>	<p>that the candidate has demonstrated these behaviours.</p>
<p><b>K4. PROFESSIONAL</b></p>		
<ul style="list-style-type: none"> <li>• Sets an example, and is fair, consistent and impartial</li> <li>• Open and honest</li> <li>• Operates within organisational values and adheres to CMI's <a href="#">Professional Code of Conduct and Practice</a>.</li> </ul>	<ul style="list-style-type: none"> <li>• Behaves in an open, honest and trustworthy manner</li> <li>• Acts in the best interest of organisation, customers, clients and/or partners</li> <li>• Upholds the reputation of the profession and the institute</li> </ul>	<p>Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours.</p>

## Chartered Management Institute (CMI)

CMI is the only Chartered professional body in the UK dedicated to promoting the highest standards of management and leadership excellence.

With a member community of over 120,000, CMI has been providing forward-thinking advice and support for more than 60 years. We continue to give managers and leaders, and the organisations they work in, the tools they need to improve their performance and make an impact.

We are a UK awarding body for management and leadership qualifications, and the only body that awards Chartered Manager, the hallmark of any professional manager.

For more information, please visit:

[www.managers.org.uk/apprenticeships](http://www.managers.org.uk/apprenticeships)

email: [apprenticeships@managers.org.uk](mailto:apprenticeships@managers.org.uk)

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