

# GUIDANCE FOR PROVIDERS

## Team Leader

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 Team Leader/ Supervisor 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 3 Diploma in First Line Management 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 [CMI's microsite for apprenticeships](#), and at the [.gov website](#).

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<sup>1</sup> See also the Operations Manager Apprenticeship (level 5) and the Chartered Manager Degree Apprenticeship (level 6)

# 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 100,000 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 FRAMEWORK  |
|--|--|
| 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> |

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

|   |   |
|---|---|
| On-programme assessment                 | On-programme assessment (if required)               |
|   | 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 body 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, 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;
- Training costs are presently co-funded by the government.

### **1.3**

## **ABOUT THE TEAM LEADER/SUPERVISOR APPRENTICESHIP**

The Team Leader/ Supervisor 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 3 Diploma in Principles of Management and Leadership maps to the Standard so that apprentices can gain an additional qualification.

A team leader/supervisor is a first line management role, with operational/ project responsibilities or responsibility for managing a team to deliver a clearly defined outcome. They provide direction, instructions and guidance to ensure the achievement of set goals. Working in the private, public or third sector and in all sizes of organisation, specific responsibilities will vary, but the knowledge, skills and behaviours needed will be the same whatever the role.

Key responsibilities are likely to include supporting, managing and developing team members, managing projects, planning and monitoring workloads and resources, delivering operational plans, resolving problems, and building relationships internally and externally.

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.

## 1.4 WHAT'S INCLUDED IN THIS APPRENTICESHIP

### 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 and skills required for a team leader/ supervisor. 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 3 Diploma in Principles of Management and Leadership or equivalent management qualification recognised by Ofqual, equating to at least 370 hours total qualification time (37 credits). To assist in this process, CMI has mapped the content of the Standard to the CMI Level 3 Diploma in Principles of Management and Leadership. Providers will need to be approved as a centre by CMI in order to deliver the CMI Level 3 Diploma in Principles of 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 and skills 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.

## 1.5 WHO THIS APPRENTICESHIP IS AIMED AT

The apprenticeship is suitable for those who are, or wish to become, team leaders and/or supervisors. This includes individuals who are at the start of their career that wish to become team leaders/supervisors 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.

A team leader/supervisor is a first line management role, with operational/project responsibilities or responsibility for managing a team to deliver a clearly defined outcome. They provide direction, instructions and guidance to ensure the achievement of set goals. Working in the private, public or third sector and in all sizes of organisation, specific responsibilities will vary, but the knowledge, skills and behaviours needed will be the same whatever the role.

Roles/Occupations may include Supervisor, Team Leader, Project Officer, Shift Supervisor, Foreperson, and Shift Manager.

## 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 body as part of the Gateway process.

## 1.7 DURATION

It will typically take 12-18 months 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 (ESFA) Register of Apprentice Training Providers (RoATP). 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

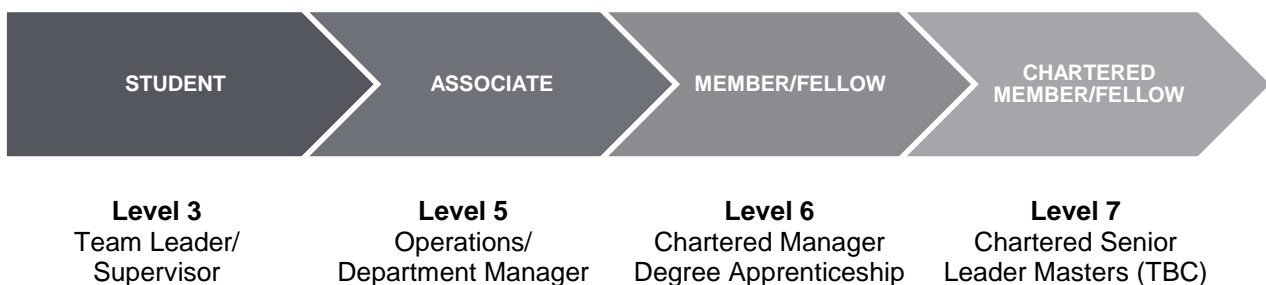
- Ensure that you are listed on the Register of Apprenticeship Training Providers (RoATP);
- Liaise with employers regarding apprentice recruitment, selection and induction drawing up an Agreement between all three parties;
- Complete an Individual Learning Record (ILR) for each apprentice (ESFA process);
- Deliver training (including study and assessment for any qualification delivered);
- Undertake on-programme assessment and regular reviews of apprentice's progress;
- Ensure that the 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 CMI to evidence the above and arrange the end-point assessment;
- The Apprentice Assessment Organisation then:
  - › Provides the end-point assessment;
  - › CMI independent assessor allocates grade;
  - › Apprenticeship certificate awarded to successful apprentices.

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

Where providers deliver the CMI Level 3 Diploma in First Line Management or the CMI Level 3 Diploma in Principles of Leadership and Management 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.

### **THE EDUCATION AND SKILLS FUNDING AGENCY (ESFA)**

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; The changing employer-provided 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. <http://www.managers.org.uk/apprenticeships-and-epa/more/faqs>

## 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.

#### ON-PROGRAMME ASSESSMENT

of knowledge and skills resulting in a portfolio to include evidence of regular performance reviews between apprentice & line manager; 180 or 360 degree feedback; a CPD log.

#### GATEWAY TO END-POINT ASSESSMENT

where employer and Provider agree that the apprentice has completed the above and has the knowledge and skills to progress to the end-point assessment. Also confirmation that the apprentice has achieved English & Maths at Level 2.

#### END-POINT ASSESSMENT

to include a review of the apprentice's completed portfolio by a CMI independent assessor; completion of a knowledge test set by CMI; competency based interview & a professional discussion relating to CPD Log.

### 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 and competencies.

Where the apprentice is studying the Level 3 Diploma in First Line Management or Level 3 Diploma in Principles of Leadership and Management as part of the knowledge requirements for the apprenticeship, the qualification will count towards achievement of the Standard (depending upon which combination of units are taken).

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 management, 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, practical exercises, projects, minutes, appraisals against performance objectives, plans, records of observation of performance and professional discussions, 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.

## **REGULAR REVIEWS OF PERFORMANCE BETWEEN THE APPRENTICE & LINE 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 and direct reports. 360-degree feedback is where the respondents include people at all levels of relationship with the apprentice, i.e. line managers, peers/colleagues, as well as direct reports. 180-degree feedback is where the respondents 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.

## **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 employer and 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 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 on-programme assessment and the employer and provider agree that the apprentice is ready to progress to the end-point assessment.

A relevant Level 3 Diploma in Management 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 Endpoint 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 in 2.3 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 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 line manager; feedback from line manager, peers and direct reports; and a CPD Log as required.

#### Test set by CMI

A knowledge test will incorporate leading people, managing people, building relationships, communication, operational management, project management, finance.

#### Interview and professional discussion

The apprentice will be required to take part in an interview and professional discussion with the independent

assessor. The interview will comprise a series of 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 professional discussion will focus on evidence of CPD provided as part of the portfolio, training and personal development activities and how learning was applied to the role and workplace.

The interview and professional discussion may be conducted face-to-face, via video or teleconference or if necessary over the telephone.

## 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. All candidates must participate in all three elements of the end-point assessment and achieve a minimum of 50% for each component. The table below shows the weighting.

| METHOD   | AREA ASSESSED   | ASSESSED BY                         | WEIGHTING |
|--|---|-------------------------------------|-----------|
| Knowledge Test using scenarios and questions     | Knowledge of leading people, managing people, building relationships, communication, operational management, project management, finance  | Independent Assessment Organisation | 30%       |
| Structured competency based interview            | Knowledge and application of learning relating to leading people, managing people, building relationships, communication, operational management, project management, finance   | Independent Assessment Organisation | 30%       |
| Assessment of portfolio of evidence              | 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 | Independent Assessment Organisation | 20%       |
| Professional discussion relating to CPD activity | Evidence of CPD, training and personal development activities and how learning was applied to the role and workplace  | Independent Assessment Organisation | 20%       |

The marks will then be combined to give the final grading:

| GRADE       | TOTAL MARK   |
|-------------|--------------|
| Distinction | 70+          |
| Merit       | 60+          |
| Pass        | 50+          |
| Fail        | Less than 50 |

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:

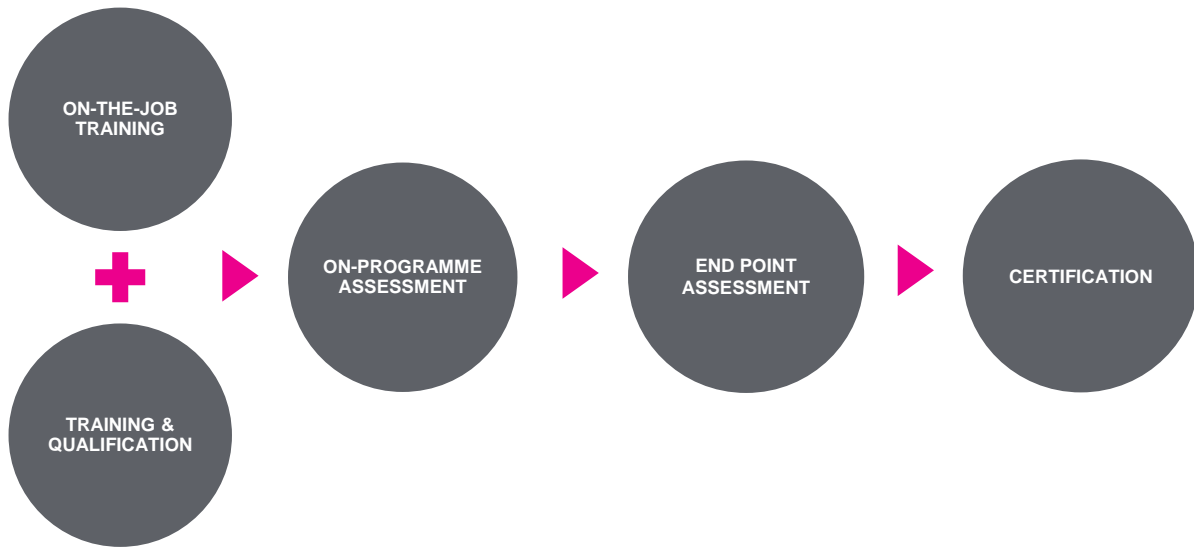
- Any appeal must be made in writing within 28 days of the fail decision or grade being confirmed, clearly stating the grounds for appeal
- Appellants must send in a cheque for £150 along with the written appeal (the cheque is held pending the appeal outcome)
- CMI then organise a review of the case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

If the apprentice successfully passes the End-point Assessment the CMI will advise the Education and Skills Funding Agency who will award 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 3 Diploma in First Line Management or Level 3 Diploma in Principles of 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 lasts for a minimum of 12 months and that the apprentice employed for the full duration of their apprenticeship;
- In most cases employers 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

The assessment criteria shown in the grid below has been developed by CMI as guidance only.

### 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>  |  |
| Know and understand:  |  |
| A1 The organisational strategy, the development of this and how it relates to operational plans   | A1.1 Describe the organisation's strategy and how this was developed<br>A1.2 Explain how the department's/team's operational plan relates to the organisation's strategy |
| A2 How to implement operational/ team plans   | A2.1 Implement/monitor actions within the team and evaluate results  |
| A3 How to manage change within the team   | A3.1 Describe how to effectively manage change within the team   |
| A4 How to manage resource within the team   | A4.1 Describe resources available to the team and explain how these enable the achievement of team goals   |
| A5 Data management and the use of different technologies in business  | A5.1 Outline the use of different technologies and how data is managed within the organisation   |
| Skills - be able to:  |  |
| A6 Communicate organisational strategy and deliver operational plans Communicate organisational strategy and deliver operational plans, translating goals into deliverable actions for the team and monitoring outcomes | A6.1 Demonstrate management of the team to deliver team goals<br>A6.2 Translate goals into deliverable actions and monitor outcomes                                      |

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| A7 Organise, prioritise and allocate work  | A7.1 Manage the team through organising, prioritising and allocating work   |
| A8 Effectively use available resources   | A8.1 Demonstrate effective use of the resources that are available  |
| A9 Collate and analyse data and produce reports  | A9.1 Analyse information and data to produce simple management reports  |
| A10 Adapt to change, identifying challenges and solutions  | A10.1 Describe with examples challenges to adapting to change and propose solutions to these  |
| <b>B. PROJECT MANAGEMENT</b>   |   |
| Know and understand:   |   |
| B1 The project lifecycle and roles   | B1.1 Explain key stages of a the lifecycle of a project, describing own and others roles within specific project(s)   |
| B2 How to deliver a project through managing resources   | B2.1 Describe how to manage a project, including resource management to achieve project aims  |
| B3 How to identify issues and risks  | B3.1 State how issues and risks are identified and mitigated as necessary   |
| B4 Project management tools  | B4.1 Identify relevant project management tools and describe their application to the management of the project   |
| Skills - be able to:   |   |
| B5 Organise and manage resources and risk  | B5.1 Develop and implement plans to ensure the achievement of project objectives<br>B5.2 Demonstrate management of resources<br>B5.3 Demonstrate management of risk |
| B6 Monitor progress against project plan take corrective actions to ensure project delivery using project management tools | B6.1 Monitor progress towards the achievement of project outcomes taking corrective actions as necessary, demonstrating successful use of project management tools  |
| <b>C. FINANCE</b>  |   |
| Know and understand:   |   |
| C1 Organisational governance/compliance procedures within the organisation   | C1.1 Outline the organisation's management processes around finance including compliance procedures   |
| C2 How to deliver value for money  | C2.1 Devise strategies for delivering value for money within the team   |
| C3 How to monitor and control budgets to ensure efficiencies and that costs do not overrun                                 | C3.1 Describe how to monitor a budget to ensure efficiencies and that costs do not overrun  |
| Skills - be able to:   |   |
| C4 Apply organisational governance/compliance requirements to ensure effective budget controls                             | C4.1 Demonstrate competent management of a budget ensuring control over expenditure in accordance with targets  |

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|   | C4.2 Provide accurate financial updates to management   |
| <b>D. COMMUNICATION</b>   |   |
| Know and understand:  |   |
| D1 Different forms of communication and their application                           | D1.1 Analyse the strengths and weaknesses of different types of communication (written, verbal non-verbal, digital)<br>D1.2 Assess the application of different communication types in different contexts |
| D2 How to chair meetings  | D2.1 Identify key factors for effectively chairing a team meeting   |
| D3 How to provide constructive feedback and hold difficult conversations            | D3.1 Describe methods to provide constructive feedback and hold difficult conversations   |
| D4 How to raise concerns  | D4.1 Explain how to raise concerns including whistle blowing  |
| Skills - be able to:  |   |
| D5 Communicate effectively and regularly using verbal, written and digital channels | D5.1 Show effective and appropriate use of verbal, written and digital forms of communication   |
| D6 Chair meetings to achieve outcomes   | D6.1 Demonstrate confident and effective chairing of team meetings including preparation and follow up to achieve outcomes  |
| D7 Present to team and management   | D7.1 Prepare and present to team and management   |
| D8 Use active listening and provide constructive feedback                           | D8.1 Demonstrate the use active listening<br>D8.2 Demonstrate use of communication skills to provide constructive feedback  |
| <b>E. LEADING PEOPLE</b>  |   |
| Know and understand:  |   |
| E1 Different leadership styles  | E1.1 Compare a range of leadership styles, identifying own style and the associated strengths and weaknesses  |
| E2 The benefits of coaching to support people and improve performance               | E2.1 Evaluate the use of coaching to support people and improve performance   |
| E3 Organisational culture, equality, diversity and inclusion                        | E3.1 Describe the organisational culture and evaluate the management of equality, diversity and inclusion within the organisation   |
| Skills - be able to:  |   |
| E4 Communicate organisational strategy and team purpose                             | E4.1 Demonstrate communication of organisational strategy and team purpose  |
| E5 Adapt own style to suit audience   | E5.1 Demonstrate adaptation of communication style to suit different audiences  |

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| <p>E6 Support the development of the team/ people through role modelling values and behaviours, coaching and mentoring and the management of change</p>  | <p>E6.1 Demonstrate the development of team members/people through role modelling values and behaviours, coaching and mentoring to meet identified development needs<br/>E6.2 Demonstrate management of the team through change</p>   |
| <b>F. MANAGING PEOPLE</b>  |   |
| <p>Know and understand:</p> <p>F1 People and team management models including team dynamics and motivation techniques</p> <p>F2 How to use HR systems and processes to ensure legal requirements</p> <p>F3 Performance management techniques including setting goals and objectives, conducting appraisals, reviewing performance</p> <p>F4 Absence management, providing constructive feedback, and recognising achievement and good behaviour</p> <p>Skills - be able to:</p> <p>F5 Build a high performing team by supporting and developing and motivating individuals</p> <p>F6 Set goals and objectives</p> <p>F7 Monitor progress</p> | <p>F1.1 Evaluate people and team management models<br/>F1.2 Analyse team dynamics and motivation techniques</p> <p>F2.1 Outline HR systems and processes to ensure legal requirements are met</p> <p>F3.1 Describe performance management techniques including setting goals and objectives, conducting appraisals and reviewing performance</p> <p>F4.1 Describe how to recognise achievement and good behaviour, provide constructive feedback, and how to manage absence</p> <p>F5.1 Demonstrate successful team building skills by supporting, developing<br/>F5.2 Demonstrate successful team building skills by motivating individuals to achieve</p> <p>F6.1 Set clear, realistic, achievable operational and personal goals and objectives for the team</p> <p>F7.1 Monitor and manage team progress towards objectives providing clear guidance and feedback</p> |
| <b>G. BUILDING RELATIONSHIPS</b>   |   |
| <p>Know and understand:</p> <p>G1 Approaches to stakeholder and customer management including engagement approaches</p> <p>G2 Emotional intelligence</p> <p>G3 How to manage conflict</p> <p>G4 How to facilitate cross-team working to support delivery of organisational objectives</p>  | <p>G1.1 Analyse approaches to stakeholder and customer management including engagement approaches</p> <p>G2.1 Explain the importance of emotional intelligence in building relationships</p> <p>G3.1 Explain approaches to conflict management and when to apply these</p> <p>G4.1 Explain the benefits and challenges of cross-functional working and how to facilitate this method of working to support delivery of organisational objectives</p>  |

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| Skills - be able to:   | G5.1 Demonstrate activities that build trust with and across the team   |
| G5 Build trust with and across the team  | G6.1 Use negotiation strategies and influencing skills to achieve outcomes  |
| G6 Effectively negotiate and influence   | G7.1 Demonstrate management of conflict to successful resolutions   |
| G7 Manage conflict   | G8.1 Show the ability to effectively input to discussions   |
| G8 Able to input to discussions and provide feedback to team and more widely     | G8.2 Demonstrate the ability to provide feedback to the team and more widely across the company   |
| G9 Identify and share good practice  | G9.1 Identify and share good practice within and across teams   |
| G10 Build relationships with customers and manage these effectively              | G10.1 Demonstrate the building and effective management of relationships with customers   |
| <b>H. AWARENESS OF SELF</b>  |   |
| Know and understand:   |   |
| H1 How to be self-aware and understand inclusivity and unconscious bias          | H1.1 Analyse the potential impact of own behaviour on others, including both positive and negative factors<br>H2.1 Explain unconscious bias giving examples as to how this can effect inclusivity and impact upon the team      |
| H2 Different learning styles   | H2.1 Describe different learning styles and apply these to self and the team  |
| H3 Feedback mechanisms   | H3.1 Evaluate mechanisms for obtaining feedback on self   |
| H4 Emotional intelligence  | H4.1 Describe emotional intelligence and explain how to use this in own role  |
| Skills - be able to:   |   |
| H5 Reflect on own performance, seeking feedback and understand why things happen | H5.1 Review own performance, identifying development needs and detailing actions to address these   |
| H6 : Make timely changes by applying learning from feedback received             | H6.1 Obtain feedback on self from the team and management<br>H6.2 Utilise feedback gained to review self and own performance<br>H6.3 Demonstrate the application of learning from feedback gained through making timely changes |
| <b>I. MANAGEMENT OF SELF</b>   |   |

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| <p>Know and understand:</p> <p>I1 Time management tools and techniques</p> <p>I2 How to prioritise activities and approaches to planning</p> <p>Skills - be able to:</p> <p>I3 Create an effective personal development plan</p> <p>I4 Use time management techniques to effectively manage workload and pressure</p>   | <p>I1.1 Assess a range of techniques and tools for managing time</p> <p>I1.2 Review own time management skills</p> <p>I1.3 Describe own priorities and justify these</p> <p>I2.1 Explain the importance of forward planning, describing and demonstrating methods to achieve this</p> <p>I3.1 Create a personal development plan that sets achievable goals for self and monitor progress towards these</p> <p>I4.1 Demonstrate use of time management techniques and tools to manage workload and pressure</p>   |
| <b>J. DECISION MAKING</b>   |   |
| <p>Know and understand:</p> <p>J1 Different problem solving and decision-making techniques</p> <p>J2 How to analyse data to support decision making</p> <p>J3 How to utilise data to support decision making</p> <p>Skills - be able to:</p> <p>J4 Use effective problem solving techniques to make decisions</p> <p>J5 Use information from the team and others to solve problems and make decisions</p> <p>J6 Escalate issues where necessary</p> | <p>J1.1 Describe and evaluate different problem solving and decision making techniques</p> <p>J2.1 Describe what types of data and other information from the team may be required to inform decision making</p> <p>J3.1 Analyse and interpret data to support problem solving and decision making</p> <p>J4.1 Demonstrate the use of problem solving techniques to make a range of decisions relating to delivery</p> <p>J5.1 Demonstrate the use of data and other information to solve problems relating to delivery and make decisions regarding these</p> <p>J5.2 Review the effectiveness of decisions made</p> <p>J6.1 Demonstrate the organisation's process for escalating issues, showing how and when issues should be escalated</p> |

| <b>BEHAVIOURS</b>   | <b>CODE OF CONDUCT</b>   | <b>ASSESSMENT METHODS</b>   |
|---|--|---|
| <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</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</li> </ul> | <p>Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours.</p> |

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| managing difficult situations   | institute  |  |
| <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</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 and enterprising when seeking solutions to business needs</li> <li>• Positive and adaptable, responding well to feedback and need for change</li> </ul> | <ul style="list-style-type: none"> <li>• Acts in the best interest of organisation, customers, clients and/or partners</li> </ul>  | Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours. |
| <b>K4. PROFESSIONAL</b>   |  |  |
| <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 a professional code of practice.</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> | Portfolio will include evidence obtained using a range of assessment methods to show that the candidate has demonstrated these behaviours. |



## 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.

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