

LEVEL 4 IN MANAGEMENT AND LEADERSHIP



(RQF) Syllabus | March 2022 | Version 7



QUALIFICATION PURPOSE

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

TITLES AND REFERENCE NUMBERS

The titles given below are the titles as they will appear on the qualification when awarded to the Learner. The qualification reference number is the number allocated to the qualification by the Regulator at the time of submission, which confirms that this is a regulated qualification on the RQF and on the Register. The CMI code is the code which should be used when registering Learners with CMI.

Therefore all CMI Centres must use the full qualification title as per below when advertising or making reference to the qualifications.

CMI CODE	TITLE	QUALIFICATION REFERENCE NUMBER
4A1V2	CMI Level 4 Award in Management and Leadership	600/9450/3
4C1V2	CMI Level 4 Certificate in Management and Leadership	600/9451/5
4D1V2	CMI Level 4 Diploma in Management and Leadership	601/0100/3

KEY DATES

These qualifications are regulated from 1st September 2013, and the operational start date in CMI Centres is 1st January 2014. The regulation ends on 31st August 2024.

PROGRESSION

CMI would recommend the below qualifications as a possible progression route, once completing Management and Leadership qualifications:

- CMI Level 5 Qualifications in Management and Leadership
- CMI Level 5 Qualifications in Coaching and Mentoring

Please see also the CMI Website for further information on CMI's portfolio of Level 4 and Level 5 qualifications.

ENTRY AND RECRUITMENT REQUIREMENTS

These qualifications can be offered to Learners from age 19. CMI does not specify entry requirements for these qualifications, but Centres are required to ensure that Learners admitted to the programme have sufficient capability at the right level to undertake the learning and assessment.

CMI Centre must ensure Learners are recruited with integrity onto appropriate qualifications that will:

- meet their needs
- enable and facilitate learning and achievement
- enable progression

In order to achieve this, the CMI Centre will need to:

- Provide relevant programme information, guidance and advice, to enable informed Learner choice
- Publish entry and selection criteria
- Demonstrate that Learners are recruited with integrity
- Carry out comprehensive Learner induction that:
 - addresses programme and organisational requirements
 - explains Learner facilities
 - identifies Learners' development needs
 - develops an Individual Learning Plan

The qualification is offered in the medium of the English Language.

EQUIVALENCES

CMI qualifications at RQF Level 4 portray practical skills and competences that are rated in academic terms as being comparable to Higher National Certificates (HNC).

DEFINITIONS

Total Qualification Time (TQT) is defined as *the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification. Total Qualification Time is comprised of the following two elements –*

- a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and*
- b) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the immediate supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.*

Total Unit Time (TUT) is defined as *the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a unit.*

Guided Learning Hours is defined as *the activity if a Learner in being taught or instructed by – or otherwise participating in education or training under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.*

Immediate Guidance or Supervision is defined as *the guidance or supervision provided to a Learner by a lecturer, supervisor, tutor or other appropriate provider of education or training –*

- a) with the simultaneous physical present of the Learner and that person, or*
- b) remotely by means of simultaneous electronic communication*

Credit value is defined as *being the number of credits that may be awarded to a Learner for the successful achievement of the learning outcomes of a unit. One credit is equal to 10 hours of TQT.*

Rule of Combination is defined as *being a rule specifying the combination of unit which may be taken to form a particular qualification, any units which must be taken and any related requirements.*

CMI Level 4 Certificate in Management and Leadership

Learners need to complete any combination of units to a minimum of 13 credits. The minimum Total Qualification Time is 130 hours, including 45 Guided Learning Hours.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
Unit 4001V1	Managerial styles and behaviours	6	20	60
Unit 4002V1	Managing stakeholders' expectations	7	25	70
Unit 4003V1	Understanding organisational culture, values and behaviour	7	30	70
Unit 4004V1	Understanding team dynamics	7	25	70
Unit 4005V1	Management report writing	7	25	70
Unit 4006V1	Management and leadership influencing skills	7	25	70
Unit 4007V1	Managing interviews	7	25	70
Unit 4008V1	Promoting equality and diversity	7	30	70
Unit 4009V1	Staff inspection review	8	40	80

RELATIONSHIP TO NATIONAL OCCUPATIONAL STANDARDS (NOS) FOR MANAGEMENT AND LEADERSHIP

UNIT NUMBER	UNIT NAME	NOS UNITS
Unit 4001V1	Managerial styles and behaviours	LAA1; LAA2; LBA2; LBA9
Unit 4002V1	Managing stakeholders' expectations	LSS2; LFD2
Unit 4003V1	Understanding organisational culture, values and behaviour	LBA8
Unit 4004V1	Understanding team dynamics	LBA3; LDB1; LDB6; LDB8
Unit 4005V1	Management report writing	Not covered
Unit 4006V1	Management and leadership influencing skills	LAA1; LBA3; LDB1
Unit 4007V1	Managing interviews	LDA2; LDA5; LDA6; LDB4
Unit 4008V1	Promoting equality and diversity	LBA7
Unit 4009V1	Staff inspection review	Not covered

DELIVERY OF CMI QUALIFICATIONS

CMI does not specify the mode of delivery for its qualifications at Level 4; therefore CMI Centres are free to deliver the Level 4 qualifications using any mode of delivery that meets the needs of their Learners. However, CMI Centres should consider the Learners' complete learning experience when designing the learning programmes.

CMI Centres must ensure that the chosen mode of delivery does not unlawfully or unfairly discriminate, whether direct or indirect, and that equality of opportunity is promoted. Where it is reasonable and practical to do so, it will take steps to address identified inequalities or barriers that may arise.

Please ensure that the content of the Centre Delivery plan is approved by the CMI Quality Manager.

For CMI requirements regarding Tutor/Deliverers of CMI qualifications please refer to the CMI Centre Handbook for more information.

ASSESSMENT AND VERIFICATION

The criteria of the assessment of a CMI qualification will be to meet the assessment criteria detailed within each individual unit.

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

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

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

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

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

- Accurate, current and authentic
- Relevant in depth and breadth

and must also show the Learner's:

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

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

It is important to ensure consistency of assessment, and that demands made on Learners are comparable within and between CMI Centres. A number of assessment methods can be used.

CMI Centres are encouraged to use a range of methods to ensure that all the learning outcomes and assessment criteria are met, and to enhance Learners' development. Assessment methods can include:

- Case studies
- Role play
- Time constrained tests
- Examinations
- Assignments
- Reports
- Integrated work activities
- Viva voce
- Projects
- Presentations

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

For CMI requirements regarding Assessors and Internal Verifiers of CMI qualifications please refer to the CMI Centre Handbook for more information.

WORD COUNT & APPENDICES

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

Learner work should aim to minimise the amount of unnecessary attachments or appendices. Information that is essential to the Learners work in order to meet the learning outcomes and assessment criteria should be included within the main body of the report. However, CMI understands that from time to time a Learner may need to include additional supporting information which enhances the overall work and it is recommended that it is kept to a minimum and does not over-exceed.

EXTERNAL ASSESSMENT

As part of our dedicated service, Chartered Management Institute (CMI) Awarding Body offers the opportunity for all centres to have their Learner's assignments externally assessed.

Some CMI Centres choose to send one assignment of the qualification to be externally assessed, as it gives the Learner a CMI quality stamp, as it is marked and assessed by the Awarding Body.

This service provides CMI Centres with a simplistic, professional and cost effective way to get their CMI Learner's work assessed and certificated within a six week period. Please refer to fee's guide for the actual cost.

Further information on this service and the units for which is available appears on the CMI website.

ACCESSIBILITY OF CMI QUALIFICATIONS

There may be incidents where Learners may require special consideration and reasonable adjustments to the delivery and assessment of qualifications. In the event of this, Centres should notify their allocated Quality Manager and CMI.

RECOGNITION OF PRIOR LEARNING AND ACHIEVEMENT

For further guidance on RPL and exemptions can be found in CMI RPL policy. Please [click here](#).

MEMBERSHIP

If an individual is not already in membership at the time of registering on a CMI qualification then your Learner will be provided with free Affiliate membership of the CMI through until the completion of their studies. For details of the benefits of membership please [click here](#). There may be the opportunity to upgrade during the Learners studies dependant on successfully completing an assessment with CMI.

CHARTERED MANAGER

Chartered Managers are consistent high performer, committed to current best practice and ethical standards.

A unique designation, exclusively awarded by the Chartered Management Institute, Chartered Manager embodies a professional approach to management through knowledge, competence, professional standards and commitment to continuing professional development (CPD).

To find out more about how to become a Chartered Manager please [click here](#).

STUDY RESOURCES

Management Direct

www.managers.org.uk/mgtdirect

It's fast, comprehensive and free to members

Management Direct is a complete online library of comprehensive and up-to-date material that addresses current management practice, supports studying and those looking to develop their skills.

- 220 Management Checklists and 60 Management Thinker profiles
- One page overviews of key Management Models
- Multimedia resources – 400 Leader Videos and e-learning modules
- CMI research and Professional Manager articles
- Authoritative definitions of management terms
- Over 11,000 articles and 600 ebooks to read online when you need them
- Learning Journey playlists for many units giving you easy access to resources specifically selected to support your studies
- Resources to develop your Study Skills, including factsheets on assignment writing, references and citations, learning styles, note taking and avoiding plagiarism.

E-journals

For in depth research try our e-journals service

CMI has joined forces with EBSCO Information Services to offer members access to Business Source: Corporate, a database providing direct access to articles on management and business from a range of academic journals and business magazines. Members also have access to country, company and industry reports from leading providers.

Access to Business Source Corporate is through ManagementDirect.

Online CPD

CPD can take many forms, but the most important feature of any activity you undertake is that there are clear learning outcomes. In many cases these may enable you to have a direct impact at work.

Our online CPD scheme enables you to record your learning objectives and the activities you have undertaken and encourages you to assess its impact in your role as a manager. Print reports for your reviews, appraisals or interviews.

Access to CPD is through ManagementDirect.

MANAGERIAL STYLES AND BEHAVIOURS

Unit Level	4	Good Practice CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners. When assessing this unit please be aware that the learner has to meet all the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 4 level of difficulty.
Unit Number	4001V1	
Ofqual Reference	D/504/9015	
Credit Value	6	
Total Unit Time	60	
Guided Learning Hours	20	

1	Understand assumptions about human nature and managerial behaviour	Identify models which make suppositions about human nature and behaviour at work	For this assessment criterion you are required to identify some of the models, of which there are many. You might include some of the following in your answer: <ul style="list-style-type: none"> • Herzberg – motivational and maintenance factors • Kolb's learning cycle • Belbin's team roles • Action Centre Leadership - Adair • McGregor – Theory X and Y
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			<ul style="list-style-type: none"> ● Maslow - Hierarchy of Needs ● Vroom – Expectancy Theory ● John Adair - Action-centred leadership <p>You could provide a brief outline of the selected models.</p>
		<p>Discuss how attitudes and assumptions can influence managerial behaviour</p>	<p>The answer to this question could be far ranging but to give focus you might build upon your answer to 1.1 and explore how personal experiences can affect individuals. This could include:</p> <ul style="list-style-type: none"> ● The halo effect ● Gender ● Race ● Background ● Education ● Length of service, ● Age ● Diversity issues
		<p>Evaluate a model of managerial style in which the manager can apply skills to identify, study and review their patterns of behaviour</p>	<p>There are many models that can be used in your answer. You are required, however, to evaluate and not just describe a model that a manager can use to study and review their behaviour.</p> <p>You might use one of the following although this is not an exhaustive list:</p> <ul style="list-style-type: none"> ● The Managerial Grid - Blake and Mouton ● Action Centred Leadership –Adair ● Situational Leadership –Blanchard

			Ten Management Roles –Mintzberg
2	Understand how management style can influence managerial behaviour	Describe styles of management	<p>You might build upon your answer in 1.3 but might also include the following, again using examples to support your response and show a deeper understanding of the various models:</p> <ul style="list-style-type: none"> • The Gods of Management – Handy • A coaching style • Change management style <p>Using your answers from the earlier performance criteria you could build in how you identify managerial effectiveness. This could be linked to a range of performance measures including SMART objectives, agreed KPI's and personal and peer review.</p> <p>Building upon your responses to 2.1 and 2.2 you can use this section to draw the links between effectiveness and style.</p>
		Identify measures of managerial effectiveness	
		Discuss links between management style and managerial effectiveness and efficiency	
3	Understand the need to apply a range of management styles	Describe situations which would require application of differing management styles and behaviour	<p>Giving examples from the workplace you should describe specific situations and circumstances but could support your answer through the use of models which could include the models that you have used elsewhere in your assignment. Use of Situational Leadership models might be particularly useful.</p> <p>This assessment criterion requires that you assess the relationship and not merely give a description. Here you can assess the measures given elsewhere in this assignment and also ensure that includes behaviours as these may</p>
		Explain the relationship between individual managerial performance and expected organisational managerial performance and behaviour	

not have been covered in previous sections of your assignment.

Unit Aims

This unit is about the skills of effective and efficient managerial style and behaviour. It will assess how managerial styles and behaviour may be adapted in line with organisational expectations.

MANAGING STAKEHOLDERS' EXPECTATIONS

Unit Level

4

Good Practice

Unit Number

4002V1

CMI's Unique Selling Point (USP) is that our centres can deliver and assess our qualifications in a variety of ways, provided the learner demonstrates achievement of the assessment criteria. The best practice details offered below aim to support our USP and at the same time give our centres an idea of the type of evidence of knowledge, understanding or ability that we would wish to see from learners.

Ofqual Reference

H/504/9016

Credit Value

7

Total Unit Time

70

Guided Learning Hours

25

When assessing this unit please be aware that the learner has to meet **all** the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 4 level of difficulty.

1

Understand and know organisational stakeholders

Differentiate between relevant organisational stakeholders

A brief definition of stakeholders would be a helpful start, you could use Friedman and Miles or others, before explaining in more detail the

			<p>range of different types of stakeholders, why they are considered to be stakeholders in an organisation and the differing responsibilities the organisation has towards them. You could refer to the Stanford Research Institute in conceiving the stakeholder concept and the some of the work of the theorists who developed it further.</p>
		Distinguish between primary and secondary organisational stakeholders	<p>A simple definition of each type is required, your answer would greatly benefit from examples, from your own organisation would be helpful as would reference to theorists, such as those mentioned above and Donaldson and Preston, Mitchell, Agle, and Wood, and Phillips. It might help demonstrate your understanding if you list the stakeholders of your own organisation or department in a table under the headings or primary and secondary.</p>
2	Understand primary and secondary stakeholder expectations	Differentiate between the expectations of primary and secondary organisational stakeholders	<p>Explain the focus and needs of the stakeholders' interests in the organisation and how they differ from each other, and what their criteria for success are – their expectations of the organisation. Using a real life organisation and its stakeholders would be useful, and you could expand upon the table drawn up at 1.2 by adding a column to show the expectations of the different stakeholder groups. You could also link this with 3.1 below.</p>
		Identify monitoring systems for analysing the achievement of primary and secondary organisational stakeholder expectations	<p>Once the stakeholders' expectations have been established the organisation needs to assess to what extent they have been met. You should identify the monitoring processes in your organisation (if possible) that are in place to do</p>

			<p>this and how the analysis of actual performance against expectations is carried out. These might include, for example service level agreements (SLA), key performance indicators (KPI), customer satisfaction surveys and many others. You should try to identify both the quantitative and the qualitative indicators</p>
3	Be able to develop provisions offered to primary and secondary organisational stakeholders	Identify provisions offered to primary and secondary organisational stakeholders	<p>You might usefully start this section by briefly explaining why stakeholders are important to an organisation and what they can offer to it. It is then really about managing the needs and expectations of the stakeholders so that they are able to support the direction and projects of the organisation. You may wish to provide a list which identifies what provisions (outputs) your organisation offers, or could offer in terms of products, goods or services (including to internal stakeholders such as employees). This AC links with both 1.2 and 2.1 above, and you could potentially address all of these together.</p>
		Develop provisions for a primary or secondary organisational stakeholder that would impact on stakeholder expectations	<p>You can build on your answer from above, to further develop and improve what is already offered to stakeholders, by taking three or four of the stakeholders already identified and showing how you could improve your provision to provide a positive benefit. For example, a supplier might want to see an improvement in invoice payment time, an employee might want better communications in your providing examples, a customer might want better quality products or quicker response times for queries. This needs careful balancing to ensure that time and effort</p>

spent on providing for stakeholders means you continue to enjoy their support, whilst still achieving the primary aims of the organisation. It would be useful for your answer to include an acknowledgement of effort versus return. You may wish to refer to your organisation's stakeholder strategy and stakeholder communications plan as a start point and to the issues and change logs for inspiration. You could consider different provisions for different stakeholders, which may be dependent on their degree of influence and interest (see Mendelow's power and interest grid).

Devise a method which reviews the impact of the developed provisions to the stakeholder

You could further develop and improve the method you identified for AC2.2, or you are free to devise something new. You should describe your methods and how you will analyse the products/goods, service or communication to ascertain whether and to what extent the development has affected the stakeholders and their commitment to the organisation. You may wish to focus on new technologies and software, especially for services and communications, not only in the identification and development (ACs 3.1 and 3.2) but here as well in the review of their impact.

Unit Aims

This unit is about the identification of organisational stakeholders, determining and monitoring their expectations and identifying opportunities to enhance stakeholder provision.

APPENDIX 1

Command Verb Definitions

Command Verb	Definition
Analyse	Break the subject or complex situation(s) into separate parts and examine each part in detail; identify the main issues and show how the main ideas are related to practice and why they are important. Reference to current research or theory may support the analysis.
Appraise	Assess, estimate the worth, value, quality, performance. Consider carefully to form an opinion.
Assess	Provide a reasoned judgement or rationale of the standard, quality, value or importance of something, informed by relevant facts/rationale.
Comment	Identify and write about the main issues, express an opinion, giving reaction to what has been read/observed.
Compare	Review the subject(s) in detail – looking at similarities and differences.
Conduct	Organise and perform a particular activity
Consider	Take (something) into account (i.e. different ideas, perspectives, theories, evidence) when making a judgement
Create	Originate or produce a solution to a problem.
Critically Evaluate	Consider the strengths and weaknesses, arguments for and against and/or similarities and differences. The writer should then judge the evidence from the different perspectives and make a valid conclusion or reasoned judgement. Apply current research or theories to support the evaluation when applicable. Critical evaluation not only considers the evidence above but also the strength of the evidence based on the validity of the method of evidence compilation.
Critically	Typically used to qualify verbs such as evaluate, assess, appraise, analyse and reflect. Give in-depth insight, opinion, debate, verdict based on a wide variety of sources, theory, research which may agree and contradict an argument.
Critique	A detailed analysis and assessment of something, especially a literary, philosophical, or political theory.
Define	Show or state clearly and accurately.

Describe	Provide an extended range of detailed factual information about the topic or item in a logical way.
Determine	Settle/conclude an argument/question as a result of investigation or by referring to an authority.
Develop	Elaborate, expand or progress an idea from a starting point building upon given information.
Differentiate	Recognise or ascertain a difference to identify what makes something different.
Discuss	Give a detailed account including a range of views or opinions, which include contrasting perspectives.
Distinguish	Draw or make distinction between
Draw	Present a conclusion or decision about what is likely to happen based on facts.
Establish	Discover, prove or show something to be true or valid by determining the facts.
Evaluate	Consider the strengths and weaknesses, arguments for and against and/or similarities and differences. The writer should then judge the evidence from the different perspectives and make a valid conclusion or reasoned judgement. Apply current research or theories to support the evaluation when applicable.
Examine	Inspect (something) thoroughly in order to determine its nature or condition.
Explain	Make something clear to someone by describing or revealing relevant information in more detail.
Formulate	To devise or develop an idea or concept in a concise and systematic way.
Identify	Ascertain the origin, nature or definitive characteristics of something.
Interpet	To clarify/explain the meaning of something
Investigate	Carry out a systematic or formal inquiry to discover and examine the facts of (problem, options, incident, allegation etc) so as to establish the truth.
Justify	Provide a rationale for actions and/or decisions. Your rationale should be underpinned by research, academic theory, data analysis or experience.
Outline	A general description/broad account/summary of something showing essential features/outline the case briefly but not the detail.
Prepare	To make or develop something ready which will happen in the future
Produce	To make, create or form something. Put together, assemble. leads to an outcome/result.
Recommend	Put forward proposals, an alternative or suggestion(s) supported by a clear rationale appropriate to the situation/context.
Reflect	Consciously contemplate, appraise or give balanced consideration to an action or issue.

Research	A detailed study or investigation of a subject in order to establish facts and reach new conclusions.
Review	To examine, survey, reconsider a subject, theory or item.
Specify	Identify or state a fact or requirement clearly and precisely in detail.
Summarise	Sum up or give a brief account of relevant information in own words.
Use	The action of using something for a particular purpose.

APPENDIX 2

Revisions to Document

The below table summarises any revisions made to this document since publication.

Revisions to Document	Document Version	Date Revisions Made
Extension to Qualification regulation now ends on 31/08/2024	Version 7	March 2022
Extension to Qualification regulation now ends on 31/08/2022	Version 6	March 2020
Command Verbs Definitions - Appendix 1		
Extension to Qualification regulation now ends on 31/08/2020	Version 5	April 2018