

# LEVEL 3 MANAGEMENT COACHING AND MENTORING



(RQF) Syllabus | November 2022 | Version 9





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# QUALIFICATION PURPOSE

These qualifications are designed for supervisors and first line managers, to support the development, coaching and mentoring skills and techniques of individuals, teams and achieve objectives.

# 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
3A2V2	CMI Level 3 Award in Management Coaching and Mentoring	600/9463/1
3C2V2	CMI Level 3 Certificate in Management Coaching and Mentoring	600/9464/3
3D2V2	CMI Level 3 Diploma in Management Coaching and Mentoring	601/0102/7

# 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 2025.

# PROGRESSION

CMI would recommend the below qualifications as a possible progression route, once complete the Coaching and Mentoring qualifications:

- CMI Level 3 Qualifications in First Line Management

Please see also the CMI Website for further information on CMI's portfolio of Level 3 qualifications.

# ENTRY AND RECRUITMENT REQUIREMENTS

These qualifications can be offered to Learners from age 16. 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 3 portray practical skills and competences that are rated in academic terms as being comparable to GCE AS/A Levels.

## 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.*

# RULES OF COMBINATION

## CMI Level 3 Award in Management Coaching and Mentoring

Learners need to complete any combination of units to a minimum of 5 credits. The minimum Total Qualification Time is 50 hours, including 20 Guided Learning Hours.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
Unit 3011V1	Principles, skills and impact of coaching and mentoring	7	30	70
Unit 3012V1	Coaching and mentoring for individual and team needs	6	20	60
Unit 3013V1	Managing the coaching and mentoring relationships	5	20	50
Unit 3014V1	Coaching and mentoring processes	7	30	70
Unit 3015V1	Completing the coaching and mentoring process	5	20	50
Unit 3016V1	Coaching and mentoring process evaluation	5	20	50

## CMI Level 3 Certificate in Management Coaching and Mentoring

Learners need to complete any combination of units to a minimum of 13 credits. The minimum Total Qualification Time is 130 hours, including 50 Guided Learning Hours.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
Unit 3011V1	Principles, skills and impact of coaching and mentoring	7	30	70
Unit 3012V1	Coaching and mentoring for individual and team needs	6	20	60
Unit 3013V1	Managing the coaching and mentoring relationships	5	20	50



Unit 3014V1	Coaching and mentoring processes	7	30	70
Unit 3015V1	Completing the coaching and mentoring process	5	20	50
Unit 3016V1	Coaching and mentoring process evaluation	5	20	50

### CMI Level 3 Diploma in Management Coaching and Mentoring

Learners need to complete all Group A units and any combination of units to a minimum of 7 credits from Group B. Learners need to complete a total of 37 credits to achieve this qualification. The minimum Total Qualification Time is 370 hours, including 145 Guided Learning Hours.

UNIT NUMBER	UNIT NAME	CREDITS	GLH	TUT
<b>MANDATORY GROUP A</b>				
Unit 3011V1	Principles, skills and impact of coaching and mentoring	7	30	70
Unit 3012V1	Coaching and mentoring for individual and team needs	6	20	60
Unit 3013V1	Coaching and mentoring relationships	5	20	50
Unit 3014V1	Coaching and mentoring processes	7	30	70
Unit 3015V1	Completing the coaching and mentoring process	5	20	50
<b>OPTIONAL GROUP B</b>				
Unit 3016V1	Coaching and mentoring process evaluation	5	20	50
Unit 4003V1	Understanding organisational culture, values and behaviour	7	30	70
Unit 4004V1	Understanding team dynamics	7	25	70
Unit 4008V1	Promoting equality and diversity	7	30	70

# DELIVERY OF CMI QUALIFICATIONS

CMI does not specify the mode of delivery for its qualifications at Level 3; therefore CMI Centres are free to deliver the Level 3 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 3. The amount and volume of work for each unit at this level should be broadly comparable to a word count of 2000- 2500 words.

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.

rpl

## 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

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 dependent 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](http://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.

All these resources are freely available to members from one source. Definitions give you a headline understanding of topic; Checklists and Models provide the essentials; and books and articles enable you to research further. Depending on your need you choose how far you want to go.

## 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.

# PRINCIPLES, SKILLS AND IMPACT OF COACHING AND MENTORING

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	3011V1	
<b>Ofqual Reference</b>	M/504/9049	
<b>Credit Value</b>	7	
<b>Total Unit Time</b>	70	
<b>Guided Learning Hours</b>	30	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand the principles of coaching and mentoring	1.1 Define coaching and its purpose	In addition to defining coaching and mentoring it is useful to consider the differences between them. You may also consider how you would use each of these interventions. There are many definitions for each so you may wish to consider how you would explain them to a potential coachee or mentee to ensure their understanding.
		1.2 Define mentoring and its purpose	



**1.3** Describe the role of a coach

**1.4** Describe the role of a mentor

Provide examples of when you think each intervention could be used such as in development or managing performance. The coaching continuum model by Witherspoon helps to outline the different roles and assists the coachee to identify their learning needs. Short term and long term goals should be taken account of. It is useful to consider how it may assist individuals or teams to acquire knowledge, skills or change in behaviour or attitude.

In determining the role and expectations of each you may wish to consider which is non-directive and directive by explaining your reasoning. Downey developed a spectrum of coaching skills model which outlines the different skills involved moving from directive to non-directive.

You may provide examples of why you adopted mentoring or coaching and how you ensured that the coachee or mentee understood the difference to help them determine which will meet their individual objectives.

You may wish to explain the role in a similar manner to a job description which outlines the tasks you would expect each to fulfil. This would link to 2.1 when you begin to think about the qualities of a coach or mentor.

2

Understand the skills required of a coach

2.1

Discuss the communication skills required of a coach

You may wish to consider how you create the environment and conditions to allow the coachee to feel comfortable to undertake the learning. List the skills that are relevant to creating effective relationships. You may wish to explore the impact of:

- Questioning skills
- Listening skills
- Body language
- Tone of voice

You may wish to provide examples of good questions, how you demonstrate good listening skills and appropriate body language as well as tone.

You may wish to consider how the ratio of speaking and listening at each of the process might vary.

It may be useful to consider the impact of communication by looking at the research by Mehrabian.

Outline why this is important in building the relationship. It is useful to consider how you will establish ground rules at the outset of each process and explain how you would achieve this with the coachee or mentee. The European

2.2

Describe the need for sensitivity and confidentiality in a coaching relationship

			<p>Mentoring and Coaching Council provide useful guidance.</p> <p>Consider how you will prepare for giving feedback to ensure that it is constructive rather than destructive. You could identify three methods of providing feedback. You may wish to consider how you currently provide feedback providing examples. There are a number of methods which may involve written or verbal feedback.</p>
3	Understand the skills required of a mentor	2.3 Identify methods of feedback and support for a coachee in a coaching relationship	<p>You may wish to consider the skills required of a coach and determine if the same skills are required of a mentor, and whether there are additional requirements. It is important that you consider why the skills are important to mentoring. You could achieve this by providing examples.</p> <p>In providing examples you may wish to illustrate how you would ensure that sensitivity and confidentiality are maintained. You may wish to pay particular attention to establishing the ground rules at the onset of the relationship but also address how you would maintain it throughout the relationship.</p> <p>You may want to compare this to coaching and consider any differences. Again to demonstrate</p>
		3.1 Discuss the communication skills required of a mentor	
		3.2 Describe the need for sensitivity and confidentiality in a mentoring relationship	
3.3 Identify methods of feedback and support for mentee mentoring relationship			

			your understanding you may want to provide examples of when you have provided feedback.	
4	Understand the impact of coaching on individual, team and organisational performance	4.1	Identify the benefits of coaching for an individual	You may wish to develop a template to highlight the benefits of coaching covering the individual, team and organisation. It is useful to reflect on the benefits in your own organisation. In terms of individual benefits you may want to think about some of the outcomes coaching presents such as taking responsibility to solve problems. You may then want to identify the benefits to the team of this such as enabling the team to develop solutions finally stating the benefit to the organisation of having individuals and teams involved in problem solving. Another benefit could be higher motivation levels identifying the benefits of this to the individual, team and organisation.
		4.2	Identify the benefits of coaching for a team	
		4.3	Identify the benefits of coaching for an organisation	
5	Understand the impact of mentoring on individual, team and organisational performance	5.1	Identify the benefits of mentoring for an individual	It is important that you make the distinction between coaching and mentoring so that you draw out and separate the benefits of each. You may want to develop a template to demonstrate the benefits of mentoring to an individual, team and organisation. You may want to consider the benefits to motivation and engagement, performance management and resource implications etc.
		5.2	Identify the benefits of mentoring for a team	
		5.3	Identify the benefits mentoring for an organisation	

## ADDITIONAL INFORMATION ABOUT THIS UNIT

## Unit Aims

This unit is about the core principles, skills and impact of coaching and mentoring on individuals and teams.

# COACHING AND MENTORING FOR INDIVIDUAL AND TEAM NEEDS

Unit Level	3
Unit Number	3012V1
Ofqual Reference	H/504/9050
Credit Value	6
Total Unit Time	60
Guided Learning Hours	20

**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 3 level of difficulty.

## LEARNING OUTCOMES

1	Understand the impact on the individual and team needs of the coaching process
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## ASSESSMENT CRITERIA

1.1	Identify the expected outcome of the coaching process on individual needs
1.2	Identify the expected outcome of the coaching process on team needs

## GOOD PRACTICE

Directive and non-directive approaches may be considered in terms of determining whether it is the coach or the coachee who establish the desired goals. Consideration should be given to how you will work together to ensure that the goals are identified and prioritised and how they relate to the needs of the organisation. You may wish to provide examples to demonstrate this.

There are a number of models such as GROW and ACHIEVE which can be used to establish clear goals and outcomes at the outset. These

		<b>1.3</b>	Identify the performance improvements and changes expected from the individual and team at the conclusion of the coaching process	<p>can be used on a one to one basis or within the team. In identifying goals it is important to ensure that they are SMART. Consider how you would best determine the most appropriate goals and check that the goals are relevant to individual and team requirements. The provision of workplace examples would help to demonstrate your understanding – at least one each for an individual and a team would be helpful.</p> <p>Ensuring that clear goals and outcomes have been established, a further part of the model is to assess the individual/team’s current situation or circumstances and their current reality. Consider how you will establish short and medium term milestones to create a sense of achievement and growth</p>
<b>2</b>	Understand the impact on the individual and team needs of the mentoring process	<b>2.1</b>	Identify the expected outcome of the mentoring process on individual needs	<p>It would be useful to consider how the goals of mentoring are established. You may wish to consider the model outlined by Clutterbuck which addresses goal setting as part of the opening relationship stage.</p> <p>You need to show that you have considered team mentoring as well as mentoring on a one to one basis and what this could achieve.</p> <p>You may wish to consider how mentoring is used in your own organisation and what outcomes it has produced both for an individual and for a team.</p>
<b>2.2</b>	Identify the expected outcome of the mentoring process on team needs	<b>2.3</b>	Identify the performance improvements and changes expected from the individual and team at the conclusion of the mentoring process	

<b>3</b>	Understand the individual and team knowledge, skills or behaviours	<b>3.1</b>	Describe current knowledge, skills or behaviours of the individual	<p>There are two distinct pieces of work required in this section. NOTE: Answers for both an individual and a team are required in each case.</p> <p>1). The first 2 assessment criteria ask you to describe the current competences of an individual, <u>and</u> then those of a team.</p> <p>2). The second 2 assessment criteria then require you to compare the current status of both individual and team competence with what the organisation actually requires of them. The result of this exercise should be the identification of gaps which might be filled via a range of development activities. NOTE: You are <u>not</u> required to produce a development plan.</p> <p>Competence includes knowledge, skills and behaviours. Knowledge in this context may also embrace experience. Behaviours relate to attitude and the way in which the work is performed.</p> <p>This is most easily answered from the perspective of live (anonymous) examples from the workplace if at all possible. Sources of information might include performance and development reviews (appraisals), competence reviews, team roles or psychometric profiles, 360 degree feedback systems, and customer feedback.</p> <p>When looking at organisational requirements, the required standards may be available in the format of a job description and/or a person specification, and/or in a set of competences for the job roles. There may also be targets or Key Performance Indicators (KPIs) by which the performance of a</p>
		<b>3.2</b>	Describe current knowledge, skills or behaviours of the teams	
		<b>3.3</b>	Identify the gap between current and expected performance in knowledge, skills or behaviour of the individual	
		<b>3.4</b>	Identify the gap between current and expected performance in knowledge, skills or behaviour of the team	



team and individuals is measured. For instance in a customer service environment, staff may be targeted to answer the telephone within a certain number of rings, or to respond to email enquiries within an agreed timeframe.

You may also find that a gap analysis was conducted at the start of an organisational coaching or mentoring programme. Or, if you perform a coaching or mentoring role yourself then you may have a log of examples showing how you have worked with a coachee or mentee. In this case you could use the start point of the coaching or mentoring relationship as the 'current' status, and identify how the programme was designed to support the individual in uplifting their competence in order to list the gaps.. You may also wish to consider the individual's own self-assessment and reflection.

Having determined the actual knowledge, skills and behaviour of the individual and the team this needs to be mapped against the ideal or desired requirements in order to identify the gaps in performance.

One way to show your answer could be to develop a table to illustrate in a columnar format the actual and required knowledge, skills and behaviours and the resulting gaps.

If it is not possible to use workplace examples, then you could outline a realistic scenario based upon your experience or wider reading.  
(Updated December 2015)

<b>4</b>	Understand the stages of a coaching process	<b>4.1</b> Explain the stages of a coaching process to meet agreed individual or team needs	<p>It is useful to select a coaching model and explain how you would use it. ACHIEVE and GROW are two such models used in coaching.</p> <p>It might be useful to explain how you would ensure that each stage of the model is explored sufficiently to allow the individual or team to move forwards to the next stage.</p>
<b>5</b>	Understand the stages of a mentoring process	<b>5.1</b> Explain the stages of a mentoring process to meet agreed individual or team needs	<p>You may wish to refer to the model adopted by Clutterbuck which outlines six clear stages to ensure that the process meets with its objectives.</p>

## ADDITIONAL INFORMATION ABOUT THIS UNIT

<b>Unit Aims</b>	<p>This unit is about understanding what the individual and team need from coaching and mentoring and the construction of a suitable process to meet those needs.</p>
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# MANAGING THE COACHING AND MENTORING RELATIONSHIPS

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	3013V1	
<b>Ofqual Reference</b>	K/504/9051	
<b>Credit Value</b>	5	
<b>Total Unit Time</b>	50	
<b>Guided Learning Hours</b>	20	

## LEARNING OUTCOMES

<b>1</b>	Understand the coaching and mentoring relationships
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## ASSESSMENT CRITERIA

<b>1.1</b>	Identify the learning style of the coachee to be used in the coaching process
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## GOOD PRACTICE

You may wish to identify different models to determine preferred learning styles such as Honey and Mumford, VAK or Kolb's learning cycle. You should aim to illustrate this with an example to demonstrate its application to coaching.

You should illustrate how you should ensure that both mentee and mentor are clear about what the relationship is and is not about. You may wish to consider discussing the setting of ground rules and establishing a mentoring contract and identify

		<b>1.2</b>	Define the relationship between the mentee and the mentor to be used in the mentoring process	<p>what this may include and at what point in the process you would jointly agree this.</p> <p>Identify how you would determine individual strengths and development areas for a coachee and a mentee. Examples would bring this to life and help to illustrate your understanding. Describing the similarities and differences between the types of strengths and development needs that a coachee might have compared with those of a mentee would show that you are able to distinguish between the two processes. In your descriptions, consider the coachee's/mentee's self-awareness as well as processes that would help to define this accurately.</p>
		<b>1.3</b>	Describe the strengths and opportunities of the coachee	
		<b>1.4</b>	Describe the strengths and opportunities of the mentee	
<b>2</b>	Understand the goals of the coaching and mentoring relationship	<b>2.1</b>	Agree the goals, timescales and ownership of the coaching process and the relationship to performance	<p>For coaching and mentoring it is important to set clear SMART objectives to be achieved in addition to establishing the means in which you can achieve them by working together. This section requires you to show how this can be achieved. You might want to consider how you can encourage ownership by the coachee and mentee and demonstrate you understand how the process can lead to improved performance. For instance, joint involvement in goal setting can foster greater ownership, as can committing goals to written format for later review. Workplace examples of SMART goals and action plans from both coaching and mentoring programmes would be helpful here, and these need to show a relationship to the improvement of work performance. You may wish to develop a progress review sheet as a working document to monitor</p>
		<b>2.2</b>	Agree the goals, timescales and ownership of the mentoring process and the relationship to performance	

				and review progress in between the coaching and mentoring sessions.
		2.3	Describe the support available to the mentee	You may wish to describe existing approaches such as appraisals, and personal development planning, workplace monitoring and assessment outlining what support these may offer. You may also wish to consider other points of reference such as colleagues, Line Management, team members etc. and in addition any further support that the organisation makes available specifically to mentees/coachees e.g. network groups.
		2.4	Describe the support available to the coachee	
3	Understand possible barriers to the coaching process	3.1	Explain possible organisational barriers to the coaching process including methods to overcome or minimise these barriers	<p>These next two learning outcomes could be addressed by the development of templates showing potential barriers in each case and ways in which they might be overcome. For each of these assessment criteria you need to firstly identify and explain the potential barriers that might exist, then to consider what could be put in place to overcome or reduce each barrier.</p> <p>For organisational barriers you may want to consider the buy into coaching from Senior Management and how you may want to engage them in the process. You may also want to consider whether the culture is open to coaching and how you could highlight the benefits in adopting coaching in the organisation.</p>
		3.2	Explain possible coachee barriers to the coaching process, including methods to overcome or minimise these barriers	

				<p>removed. For example you may want to consider timings, venues, expectations, boundaries etc. This could be either informal or formal. You may also want to reflect upon the nature of the relationship and barriers such as trust, empathy, honesty etc and how these can be developed to reduce any negative impact. Example barriers might include pressure to cancel scheduled coaching/mentoring when there are task pressures and deadlines, problems with the availability of meeting rooms, or the attitude of line managers who may not all be supportive of a process outside the 'line'.</p>
		<b>3.3</b>	<p>Explain possible coach barriers to the coaching process, including methods to overcome or minimise these barriers</p>	<p>You may wish to explore similar barriers to the coachee that are still relevant such as boundaries, time etc. whilst considering if there remain any barriers specific to the coach. An example may be the experience or training the coach may have, or commitment if this is a role in addition to the normal job role.</p>
<b>4</b>	<p>Understand possible barriers to the mentoring process</p>	<b>4.1</b>	<p>Explain possible organisational barriers to the mentoring process including methods to overcome or minimise these barriers agreed individual or team needs</p>	<p>You may want to consider if there are any particular barriers to mentoring that also serve as barriers to coaching, as well as any additions/differences.</p>
		<b>4.2</b>	<p>Explain possible mentee barriers to the mentoring process, including methods to overcome or minimise these barriers</p>	<p>Again you may want to refer back to the coachee barriers and determine their appropriateness for mentoring, and any additions/differences. An additional issue with mentoring is the risk of creating a dependency, for which you would need to consider some solutions such as having a</p>

			<p>pre-established agreement to discuss how to manage the closure. You may wish to include this if there is sufficient word count. It is useful to determine how the mentor could assist the mentee in taking responsibility to ensure the outcomes are met.</p> <p>It is helpful to build into the process how you will identify success measures to demonstrate improvement and progress so that there is a clear sense of achievement and completion of the process. It is also useful to explore ground rules in relation to contact outside of the formal process and beyond. You may want to include examples of how you may achieve this.</p>
		<p><b>4.3</b> Explain possible mentor barriers to the mentoring process, including methods to overcome or minimise these barriers</p>	<p>You may wish to make reference to the mentee barriers and determine if any equally apply to the mentor. In addition you may want to also refer back to potential coach barriers and determine their relevance to mentoring, and any additions/differences.</p>

**ADDITIONAL INFORMATION ABOUT THIS UNIT**

**Unit Aims**

This unit is about developing the coaching and mentoring process based upon an understanding of relationships, goals and possible barriers.

# COACHING AND MENTORING PROCESSES

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	3014V1	
<b>Ofqual Reference</b>	M/504/9042	
<b>Credit Value</b>	7	
<b>Total Unit Time</b>	70	
<b>Guided Learning Hours</b>	30	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand the implementation of the coaching process	1.1 Discuss the different methods of coaching and training available to the coach	Consider how people learn. You may wish to refer to Kolb or Honey and Mumford or VAK learning styles. You could also consider how learners retain information by referring to the research conducted by Alfred Mehrabian. Ensure that you state what impact this has on which method of coaching you select. You may wish to discuss the different methods used within coaching and state which would be conducive to different learning styles.



		<b>1.2</b>	Identify coaching opportunities in the organisational environment	Provide examples of when you have coached or have been coached yourself to identify opportunities. It would be useful to look at Witherspoon's coaching continuum to determine how coaching is used in organisations. Consider the research that has been conducted by professional bodies such as CMI/CIPD.
		<b>1.3</b>	Describe the coaching process	You may wish to explain how you have adopted a coaching model such as GROW or ACHIEVE. In addition to explaining each stage it is useful to consider the type of questions you may ask to assist each stage and check learning, the balance of speaking and listening, how you will ensure different methods of learning in manageable sessions. You could also highlight the responsibilities of the coach and the coachee in the learning.
<b>2</b>	Understand the implementation of the mentoring process	<b>2.1</b>	Discuss the methods of mentoring available to the mentor	It is useful to outline the different forms mentoring can take including informal and formal. You may wish to refer again to your own experience by providing examples.
		<b>2.2</b>	Identify mentoring opportunities in the organisational environment	You may wish to link this to 1.2 and consider the purpose of mentoring in order to establish opportunities. You may want to outline how mentoring supports your business or department plans.
		<b>2.3</b>	Describe the mentoring process	Clutterbuck outlines a clear process for mentoring. Julie Hay explores a similar framework for mentoring, basing the process on procedural, professional, personal and psychological levels.

				You may wish to look at how you would develop a process based on these dimensions.
<b>3</b>	Understand the reviewing of progress and provision of feedback	<b>3.1</b>	Discuss the need for objective and constructive feedback in the coaching process	You may wish to outline the principles of providing objective and constructive feedback. You may also want to consider the balance between the coach providing feedback as well as the learner's own reflections and self-assessment.
		<b>3.2</b>	Discuss the need for exploratory feedback in the mentoring process	<p>Consideration should be given to how this feedback will be given and the role of the mentor and mentee in the provision of the feedback. Consider at what points in the process you would give feedback.</p> <p>The following 2 assessment criteria may be answered together, although you will need to ensure you distinguish between the potentially different requirements for confidentiality and ethics in a coaching process as opposed to a mentoring process.</p>
		<b>3.3</b>	Discuss the need for confidentiality and ethics in coaching sessions	<p>The European Coaching and Mentoring Council provide guidance relating to coaching and mentoring. It would be useful to consider how you would adopt this guidance in the workplace. You may want to consider the context, boundary management, professionalism and integrity of the coach/mentor.</p> <p>It is important to consider the relationship between the coach/mentor, coachee/mentee and the potential third party of the Line Manager who may</p>

			have requested the coaching/mentoring for a member of their team and the impact on confidentiality.
		<b>3.4</b>	Discuss the need for confidentiality and ethics in mentoring sessions
			It would be useful to state at what stage in the process you would discuss this with the individual to ensure that you have the appropriate standards in place. Outline how you would build contracting or setting ground rules within the process.
		<b>3.5</b>	Identify the achievement of progress and recognise success
			You may wish to approach your answer to this criterion by using examples of SMART goals you may have established as part of a coaching or mentoring process in order to identify key deliverables, and how these have been reviewed to identify progress and recognise success. You could develop an action plan template to recognise important success measures. It may be of value to identify other means to record and note success such as learning journals, personal development plans, or business performance measures.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding the implementation of the coaching and mentoring process and provision of feedback on progress and achievement.

# COMPLETING THE COACHING AND MENTORING PROCESS

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	3015V1	
<b>Ofqual Reference</b>	T/504/9053	
<b>Credit Value</b>	5	
<b>Total Unit Time</b>	50	
<b>Guided Learning Hours</b>	20	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand the skills of concluding the coaching process	1.1 Discuss coachee success against individual, team and organisational performance criteria or standards agreed at the process outset	It could be of value to link this to the desired knowledge, skills, behaviour outlined in Unit 3012, if this has been a part of your studies, as this unit is asking you to show the outcomes of the coaching intervention. However, if you are studying this as a discrete unit, then it would be helpful to identify what gaps in knowledge, skills and behaviours the coachee had at the beginning of the programme and to acknowledge how effectively these have been addressed. You could produce this information in the form of a template

				and use this as a basis for discussion. It is important to recognise how well the individual was encouraged to define their own success measures and to participate in the final review. You may wish to consider the long term advantages of the coachee taking ownership for their actions.
		1.2	Identify further areas for development through coaching	It would be useful to discuss how you would encourage the coachee to identify future learning needs at the end of the review of achievements. You could consider what improvements have been made and identify existing gaps to highlight how coaching may assist. These could possibly be added as extra rows if you have used a template at 1.1
		1.3	Describe methods to recognise success	Consideration should be given to how the coach provides feedback but also how the coachee, line manager and the organisation recognise the changes in knowledge, skills and behaviours, and whether there is any formal process for this to happen. You may wish to refer to the final stages of the coaching models (GROW or ACHIEVE) as one method of recognising success.
2	Understand the skills of concluding the mentoring process	2.1	Discuss mentee success against individual, team and organisational performance criteria or standards agreed at the process outset	This is similar to 1.1, and could be approached in the same way, but this time from the perspective of a mentoring intervention rather than a coaching intervention. It is important to reflect on the questions you might ask to encourage the mentee to reflect on their progress.
		2.2	Identify further areas for development through mentoring	You may wish to consider further areas for development through mentoring such as

			signposting to other agencies/people, reading material, work shadowing etc. Otherwise this criterion could be answered in a similar way to 1.2.
	2.3	Describe the need to minimise on-going mentee dependency on the mentor	It is valid to refer back to the contracting and establishing goals stage of the process which should determine ending of the relationship. You could also describe what is understood by dependency and how this can develop despite each party having the best of intentions. Reference to the 5 cs of mentoring may also be helpful.
	2.4	Describe methods to recognise success	If the goal setting is established using SMART objectives you will be more likely to be able to recognise success. Methods may include observation, assessment, self-reflection and feedback. You might also refer to the 5 Cs of mentoring

## ADDITIONAL INFORMATION ABOUT THIS UNIT

<b>Unit Aims</b>	This unit is about successfully concluding the coaching and mentoring process and recognising the success achieved.
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# COACHING AND MENTORING PROCESS EVALUATION

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	3016V1	
<b>Ofqual Reference</b>	A/504/9054	
<b>Credit Value</b>	5	
<b>Total Unit Time</b>	50	
<b>Guided Learning Hours</b>	20	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand the evaluation of the individual and team in the coaching process	1.1 Discuss the knowledge, skills and behaviours of the coachee which benefit from the coaching process	<p>You could develop a template to identify gaps in knowledge, skills and behaviour. Where possible it is useful to provide examples of how the process has assisted the individual. You may wish to refer back to the coaching continuum which clarifies the areas that coaching fulfils. It is useful to refer back to models such as GROW or ACHIEVE which clearly have a start and end point.</p> <p>It is useful to explore the type of questions you would ask to gain feedback from the coachees to</p>

		<b>1.2</b>	Discuss areas of difficulty experienced during the coaching process	<p>uncover any issues they experienced as well as consider how they were resolved. Difficulties could cover a number of areas such as expectations, timings and availability of the sessions, relationships, unclear goals, lack of support from line managers etc.</p> <p>Exploration of SMART goals will assist coachees to determine outcomes. It is valuable to link this to personal development plans, team plans or business plans. It is also of value to explore what skills are employed in raising the self-awareness of the coachee and how much of this increased self-awareness will continue outside of the formal process.</p>
		<b>1.3</b>	Describe the impact of the coaching on the coachee, team and organisational performance	
<b>2</b>	Understand the evaluation of the individual and team in the mentoring process	<b>2.1</b>	Discuss the knowledge, skills and behaviours of the mentee which benefit from the mentoring process	<p>As in 1.1 above, a template could assist this process of highlighting existing knowledge, skills and behaviours versus desired knowledge, skills and behaviours.</p> <p>Both 2.2 and 2.3 are similar to 1.2 and 1.3, and your answers could be approached in the same way.</p>
		<b>2.2</b>	Discuss areas of difficulty experienced during the mentoring process	
		<b>2.3</b>	Describe the impact of the mentoring on mentee, team and organisational performance	
<b>3</b>	Understand the coach experience gained from the coaching process	<b>3.1</b>	Describe the coach learning gained from the coaching process	It may be useful to build reflection into your practice as a coach as well as seek feedback from those you are coaching. You may wish to maintain a coaching log to achieve this or include it in a personal development plan. Learning may include aspects of your coaching practice such as listening skills, contracting, appropriate questioning technique or use of a model to



					<p>structure the session. The learning may relate to knowledge you have gained or a skill you have observed which would improve the way you undertake your own job role. You may wish to give examples of your own learning. Having identified learning gained it is important to capture further opportunities to build on your strengths as well as identify your gaps using SMART objectives. You may wish to build upon the previous examples by stating areas for development written using SMART objectives.</p> <p>You may wish to consider what further development activities and support or guidance are available to you. This may include within your own team or from others within the organisation. You may wish to look at how you can set up formal support systems such as supervision, continuing professional development workshops etc.</p>
		<b>3.2</b>	Identify the coach areas for development as a result of the coaching process		
		<b>3.3</b>	Assess further opportunities for the coach in support of individual, team and organisational performance development		
<b>4</b>	Be able to understand the mentor experience gained from the mentoring process	<b>4.1</b>	Describe the mentor learning gained from the mentoring process		<p>It would be useful to reflect upon your approach to the response to LO 3 and adapt this to answer from a mentoring perspective, recognising that there may be areas of cross over. It is good practice to maintain a mentoring log which you may want to draw upon to reflect on your learning as a mentor. It may be beneficial to construct a personal development plan detailing areas for development as well as opportunities to develop those skills further.</p>
		<b>4.2</b>	Identify the mentor areas for development as a result of the mentoring process		

**4.3** Assess further opportunities for the mentor in support of individual, team and organisational performance development

You may want to consider what further development activities and support or guidance are available to help you develop your practice, as well as new opportunities you can offer as a mentor to continue individual, team and organisational performance development.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about evaluating the coaching and mentoring process and identifying development opportunities for the coach, mentor and organisation.

# UNDERSTANDING ORGANISATIONAL CULTURE, VALUES AND BEHAVIOUR

<b>Unit Level</b>	3	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	4003V1	
<b>Ofqual Reference</b>	K/504/9017	
<b>Credit Value</b>	7	
<b>Total Unit Time</b>	70	
<b>Guided Learning Hours</b>	30	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand the concept of culture to an organisation	1.1 Determine a framework for analysing organisational culture	<p>It is helpful to provide a definition of culture. You may wish to consider models such as that of Handy, Schein, Johnson and Scholes or Hofstede. Consider aspects of culture that are seen or acted upon as well as those that are less obvious such as assumptions or beliefs.</p> <p>To explain external influences you may want to consider PESTLE. For internal factors you could include symbols, stories, strategies, norms, behaviours, structures etc. Consideration can be</p>

		<b>1.2</b>	Explain internal and external factors that could influence organisational culture	<p>given to how the culture supports the organisation goals.</p> <p>This determines what it is really like to work in an organisation. Identify the positives and negatives. You could refer to your selected model and determine how it applies to your own organisation as an employee or you may wish to evaluate it from a customer perspective.</p>
		<b>1.3</b>	Evaluate the current organisational culture	
<b>2</b>	Understand the impact of values that underpin individual and organisational performance	<b>2.1</b>	Discuss the concept of values to an organisation	Provide a definition of what values are. You could include an explanation of why values are important and how they are communicated to staff and customers. You could illustrate this from your own organisation's values or from a well-known organisation. NB there is no need to copy out the values in the text
		<b>2.2</b>	Outline the concept of values to an individual	Consider how organisational values may be similar or different to individual values. Give an example of when an organisational value can conflict with a personal value.
		<b>2.3</b>	Describe how the manager's personal values can influence interaction with team members	Explain what behaviours the manager demonstrates and how this impacts on the team. You could evaluate words they use and compare them to actions they take. You may list your own values again as a manager and illustrate how you role model those values.
<b>3</b>	Understand the relationship between values and behaviour	<b>3.1</b>	Describe the coach learning gained from the coaching process	You could include how organisational values are communicated and how they are integrated into the organisation. You could consider how they are used in business planning, decision making,

			recruitment and selection, performance management, development of leaders. The use of a couple of practical examples would help to demonstrate your understanding.
		<b>3.2</b>	Identify the coach areas for development as a result of the coaching process
		<b>3.3</b>	Assess further opportunities for the coach in support of individual, team and organisational performance development

You could explain by means of example how your own organisational values impact not only on your actions of you but also those of your colleagues. Determine what behaviours you demonstrate and why they are important. Refer to 3.1 in terms how the values are communicated or are incorporated into ground rules and performance management procedures/processes.

Provide examples of individual values and how these impact on the behaviours of a team. You may wish to reflect on your values and assess what impact they have on others providing examples, or to provide an example of a colleague whose personal values influence others – for good or bad.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding organisational culture, organisational and individual values, and their impact on behaviour.

# UNDERSTANDING TEAM DYNAMICS

<b>Unit Level</b>	4	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	4004V1	
<b>Ofqual Reference</b>	M/504/9018	
<b>Credit Value</b>	7	
<b>Total Unit Time</b>	70	
<b>Guided Learning Hours</b>	25	

## LEARNING OUTCOMES

**1** Understand the differences between groups and teams

## ASSESSMENT CRITERIA

**1.1** Compare differences between a 'group' and a 'team'

## GOOD PRACTICE

In answering this section it would be useful to use one or more models to support your comparison. Some of the models, concepts and ideas which you could use or refer to include:

- Groups and teams - Kakabadse et al 1988
- Teams – Bennett, 1994
- Groups and teams - Stages of team building - Kakabadse and Smith 1993
- Belbin's team roles and team size
- Perkins - Leading from the Edge - High performing teams

**1.2** Identify the practical implications of differences between groups and teams for the manager

- Margerison & McCann's Team Wheel

In answering this section you could comment on how managers lead, manage and work with teams and groups.

You might also note that often manager's use these terms interchangeably despite literature indicating both that the management processes and outputs may be very different and that these differences may have important consequences for a manager.

You might make some comment on SIGs (special interest groups) which may or may not form part of the formal organisational and reporting structure of an organisation but do impact on the role of a manager.

You might also identify the implications of working with teams as part of a formal structure, for example, project teams and their reporting decision/action cycles

Here you could identify specific situations when the formation of a group and/or a team would be necessary, for example a project. In answering this section some comments about the make-up and development of teams using a model, for example Belbin team roles or Tuckman, could support your answer.

**1.3** Explain situations when the formation of a group and/or a team would be necessary

<b>2</b>	Understand the concept of formal and informal group norms	<b>2.1</b>	Identify the definitions of formal and informal group norms	<p>Here you are asked to highlight the definitions and differences of formal and informal groups and you could call upon a range of models and concepts to support your findings. Some of the models, concepts and ideas which could be used or referred to in answering this section could be those used elsewhere in your assignment but could also include:</p> <ul style="list-style-type: none"> <li>• Core Group Theory – Kleiner</li> <li>• Group think – Janis</li> <li>• The Discipline of Teams John Katzenbach (with Douglas K. Smith)</li> <li>• The informal and formal organisation - Follett and Parker</li> </ul>
		<b>2.2</b>	Discuss the evolution of formal and informal group norms	<p>Here you are asked for a brief discussion of the evolution of formal and informal group norms and your discussion could be enhanced with the use of models such as Tuckman and Smith and Kakabadse and Katzenbach and Smith and Follett and Parker</p>
		<b>2.3</b>	Examine the process of changing formal and informal group norms	<p>In answering this section you are asked to examine and not merely describe the process of changing formal and informal group norms. Building on your earlier sections you will examine for example how informal groups might become formal groups due to purpose or over a period of time.</p>
		<b>2.4</b>	Describe the value of formal and informal group norms	<p>Here you are asked to build upon your examination in 2.3 and to describe the value of formal and informal group norms and in so doing</p>



			describe the various similarities and differences to managers and group members	
3	Understand group development and maturity	3.1	Discuss the stages of group development and maturity	<p>Here you are asked to discuss and not merely describe the stages of group development. Here you could use a model such as Tuckman and not merely show the diagram or list the stages but discuss what each stage might mean for the group for example how well they might perform at each stage. Apart from Tuckman some other models that could be used include:</p> <ul style="list-style-type: none"> <li>• Hersey and Blanchard's Situational Leadership model</li> <li>• Tannenbaum and Schmidt Continuum</li> <li>• Bennis &amp; Shepard - Group Development Models</li> </ul>
		3.2	Explain factors which could influence the cohesiveness of work groups	<p>Using models used elsewhere in your assignment you could explain using examples from your own work environment to show groups that have or have not worked well together to achieve their stated aims.</p>
		3.3	Evaluate the advantages and disadvantages of cohesive work groups	<p>Here you are being asked to evaluate. This requires you to show both the advantages and disadvantages of cohesive workgroups. Again you might find it useful to give an example from your workplace as well as call upon models used elsewhere in your assignment.</p>
4	Understand management of remote, displaced or virtual teams	4.1	Discuss the advantages of a remote, displaced or virtual team	<p>Here you are being asked to consider the advantages of remote working or working with teams of individuals who do not work in the one location. Whereas most of the models used to</p>

		<p>explain groups and teams are applicable to remote teams it could be useful to consider some of the issues specific to remote teams for example: motivation, creating a sense of identity and belonging and a variety of methods of communication. You might find it useful to show these in tabular form. Models, concepts and ideas which could be used in this section include:</p> <ul style="list-style-type: none"> <li>● Shannon and Weaver - communication model</li> <li>● Gareth Morgan, McGill University - Future management competences</li> <li>● Hofstede - Cultural dimensions</li> <li>● Deal and Kennedy -Cultural types</li> <li>● Hertel, G., Geister, S., &amp; Konradt, U. (2005). Managing virtual teams: A review of current empirical research. Human Resource Management Review, 15, 69-95. ISSN: 1053-4822</li> </ul>
	<p><b>4.2</b> Discuss the disadvantages of a remote, displaced or virtual team</p>	<p>Having discussed the advantages in 4.1, here you are being asked to discuss the disadvantages. You may even show these in a tabular form as in 4.1.Please note this is not a section for pure description and will require some discussion as in 4.1.</p>
	<p><b>4.3</b> Analyse the communication and leadership skills required to manage a remote, displaced or virtual team</p>	<p>Here you are to explore the role of a leader as a communicator to a virtual or remote team. You will need to look at the different methods and challenges of communication which could include the following:</p> <ul style="list-style-type: none"> <li>● Cultural factors</li> <li>● Intranet and internet challenges</li> </ul>

- Online Work and Communication
- Language
- Religion
- Values and attitude
- Education
- Law and Politics

You might also consider the type of team, its make-up and reason for existing, for example is it a sales team or a group of subject experts. Types of virtual team you might like to consider include:

- Networked teams
- Parallel teams
- Project and service development teams
- Work, production or functional teams
- Service and support teams

In answering this section you could also include the leadership skills required to support remote workers to increase a sense of belonging, team identity and motivation. You could include some theories on motivation and engagement to support ideas that are specific to remote workers.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about understanding groups and teams, understanding their norms and development, and the skills of managing remote, displaced or virtual teams.

# PROMOTING EQUALITY AND DIVERSITY

<b>Unit Level</b>	4	<b>Good Practice</b>  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 <b>all</b> the assessment criteria in order to pass. The unit is written using framework level descriptors and the assessment criteria is at a level 3 level of difficulty.
<b>Unit Number</b>	4008V1	
<b>Ofqual Reference</b>	T/504/9022	
<b>Credit Value</b>	7	
<b>Total Unit Time</b>	70	
<b>Guided Learning Hours</b>	30	

LEARNING OUTCOMES		ASSESSMENT CRITERIA	GOOD PRACTICE
1	Understand legislation, regulations, policies, and codes of practice relevant to equality and valuing of diversity	1.1 Describe the need to acknowledge and recognise individuals' background and beliefs	You could begin this section with a brief explanation of what is covered by the Equality Act 2012 and the principles that should be followed to ensure diversity is valued and individuals' identity considered appropriately and then go on to describe why it is important to do so. This can be linked to AC1.2, which moves from acknowledging and recognising individuals' background and beliefs to a need to respect and not be discriminatory. You should be familiar with the 'protected characteristics' of the Act and the key
		1.2 Discuss the need to respect diversity, value people as individuals and not discriminate against individuals	

			<p>legal principles enshrined in the legislation, as well as relevant policies and codes of conduct from your own organisation or those which any organisation would be expected to hold.</p> <p>If you are able to draw on the actual processes in your organisation that would be helpful, you should be able to describe the process (what it is, or should be) of providing information to individuals to cover at least: induction, discipline, grievance and redundancy.</p>
		<b>1.3</b>	<p>Describe the process of providing individuals with the information needed for them to make informed decisions about exercising their rights</p>
<b>2</b>	Understand how organisational and individual behaviour affects individuals and teams	<b>2.1</b>	<p>Describe how individual behaviour can affect an individual and a team</p>
		<b>2.2</b>	<p>Describe how organisational behaviour can affect an individual and a team</p>
		<b>2.3</b>	<p>Analyse feedback from individuals on personal behaviour</p>
			<p>In this whole section you need to demonstrate that you understand the impact of negative behaviours such as aggression, discrimination, bullying and harassment in the workplace, and of the positive behaviours of assertiveness and treating people equally. If you are able to use personal examples to illustrate your answer that would be very useful here. You should be looking at how positive and negative behaviours impact on a team and on individuals and the nature of the impact. You may wish to comment on how an organisation deals with this.</p> <p>Organisational behaviour can be described as institutionalised in certain circumstances; you may wish to investigate this further and perhaps make comparison between organisations whose behaviour has positive outcomes on individuals and teams those that tend to be detrimental.</p> <p>The exact nature of any analysis is dependent on how the information was collected – you may wish</p>

			to comment on how you would go about this. This may be formal – e.g. via performance appraisal systems, or a 360° feedback process in which case you may have a framework to discuss here – or informal e.g. verbal feedback – direct or indirect. Describe how you would analyse responses, use real data from your workplace if possible. You could present your findings as a chart. This data and your analysis may be quite sensitive, you may wish to comment on how you would feedback any results and any special precautions that would need to be put in place, for example to may wish to devise a feedback process or you may insist that all those involved sign a confidentiality/ non-disclosure document.
<b>3</b>	Be able to use feedback to devise an improvement plan	<b>3.1</b>	Devise an improvement plan based upon received feedback
			You may wish to use the results of your analysis above as the basis for this section. It would be best to use real workplace data if possible. Your plan should include key milestones and activities, such as any training events, project management meetings, reviews and success criteria.
<b>4</b>	Understand how to encourage equality and diversity in others	<b>4.1</b>	Identify situations where others are not promoting equality and valuing diversity
		<b>4.2</b>	Provide opportunities to help others to promote equality and value diversity
			Here you could describe situations where others are not promoting equality and valuing diversity, if you can use real-life examples that would be useful. Explain in what way the individuals do not appear to be complying with legislation or organisational policies.
			In this section you could be describing how organisations promote equality and value diversity and what opportunities you provide, as a manager to encourage and support team members to

**4.3** Discuss sources from which to seek support when experiencing difficulty in understanding how to promote equality and value diversity

actively promote equality and value diversity. Your answer would be enhanced by suggestions of how you would go about monitoring the effectiveness of opportunities to help promote equality and value diversity. You might want to include reference to your Human Resources department, and other professional support that might be available in your organisation. Externally you might want to show your understanding of the work of ACAS and other Government organisations that specialise in dealing with one or more aspects of equality and diversity issues. There is also a wealth of literature, journals, scholarly articles and books written around promoting equality and valuing diversity, as well as some informative websites and organisations dedicated to this. You should research what is available and identify those you found particularly helpful and why. It is likely that there is no single source as support requirements will depend on the nature of your difficulty. This section will help you to come to know a pool of resources to support you, as a manager in promoting equality and valuing diversity.

## ADDITIONAL INFORMATION ABOUT THIS UNIT

### Unit Aims

This unit is about promoting equality and valuing the diversity of individuals' and teams.





# 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	<p>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.</p> <p>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.</p>
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.
Interpret	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
Updated links to CMI Procedures	Version 9	November 2022
Extension to Qualification regulation now ends on 31/08/2025	Version 8	July 2022
Extension to Qualification regulation now ends on 31/08/2022	Version 7	March 2020
Command Verbs Definitions - Appendix 1		