CMI Centres Guide to Work-Based Assessments & Evidence

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Version Control

CMI Centres Guide to Work-Based Assessment & Evidence	
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Version Control

This is version 1 of the Chartered Management Institute (CMI) Guide to Work-Based Assessment & Evidence. It is each Centre's responsibility to ensure that all staff involved in the provision of CMI qualifications and/or assessments familiarise themselves with this version of the document.

This document is subject to revision and is maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

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Section 1 - Purpose & Introduction to the Guide

1.1 Purpose & Introduction to the Guide

The purpose of this document is to provide guidance to CMI Marking and Moderation teams, CMI Centres and Learners on assessment methodologies that could be used with CMI-regulated qualifications. Specific guidance will also be included in the relevant qualification syllabus and/ or assessment documentation.

This document should be used in conjunction with the other documents, CMI's ManagementDirect and policies provided by CMI, as well as any other relevant qualification and assessment documentation.

1.2 Assessment Methodologies

What should I be looking for as an Assessor when reviewing or planning the assessment methods?

VACSR - Is the assessment:

- **Valid** - the assessment process is appropriate to the subject or qualification, assesses only what is meant to be assessed and the Learner's evidence relevant to the assessment criteria
- **Authentic** – the assessment and evidence produced by the Learner
- **Current -** the assessment methodology used and the evidence gathered is relevant at the time of assessment
- **Sufficient** – the assessment covers the requirements of the assessment criteria.
- **Reliable** - the use of an assessment methodology is consistent across all Learners, over time and is at the required level.

Mapped to Assessment Criteria(s) - The assessment must be clearly mapped to the assessment criteria(s) within the unit, and this is noted within the evidence. If it is not clearly mapped against the assessment criteria(s) then the assessor should revisit the assessment documentation.

1.3 Mandatory Assessment Methods - CMI Qualifications

Some qualifications may require mandatory forms of assessment to be completed. CMI has indicated within the relevant qualification syllabus handbooks when mandatory assessment methods apply.

For all of CMI's Higher Technical Qualification (HTQ), CMI assignment briefs must be used; Centres are not to develop their own assignments for HTQ.

1.4 Access to Fair Assessment

To support access to fair assessment CMI is required to publish its Reasonable Adjustments and Special Consideration Policy. This policy aims to ensure that all reasonable adjustments and special considerations are made by CMI and its Approved Centres and Registered Centres in order to alleviate or remove the effects of a substantial disadvantage for a Learner on a CMI qualification, so as to enable the Learner to demonstrate their knowledge, skills and understanding to the levels of attainment required by the assessment criteria of the qualification and allow them fair access to the assessment.

There are two ways in which access to fair assessment can be maintained:

- Reasonable Adjustments – agreed upon before the assessment takes place; or
- Special Considerations – applied post-assessment or pre-assessment submission.

Link: Reasonable Adjustment and Special Considerations Policy & Form

1.5 Confidentiality and Commercially Sensitive Evidence

It is important that Learners are fully able to articulate their answers/responses when responding to assessment requirements. Often CMI Learners work in environments or organisations that require a certain amount of commercial confidentiality and/or deal with classified information or security matters, so this may often inhibit or show "vagueness" in the response to an assessment.

Dealing with commercial confidentiality or security issues of presenting work-based evidence should lie with the Learner and Centre in the first instance, however, CMI has a responsibility to maintain the confidentiality of sensitive information that is presented for marking or moderation purposes.

In order to reduce the risk of disclosure of confidential or sensitive information, Centres and Learners should where possible apply the following rules:

- Redesign the assessment so there is no breach or disclosure of confidential or sensitive information.
- Where it is not possible to redesign the assessment and if the Learner wishes to include confidential or sensitive information then it should be sufficiently redacted. If the redacted information is pertinent to the evidence being put forward (for example, it provides evidence towards a competency) then a contextual statement detailing how the evidence meets the competency is acceptable. This contextual statement should be completed by the Learner and underpinned by a confirmation statement from the employer or Centre.
- Witness testimony in support of the redacted evidence will also be accepted from peers, line managers and supervising clients.
- Centres may wish to contact CMI and discuss the possibility of a non-disclosure agreement (NDA), however, please note this will have to be explored by the CMI legal team.
- Clearly mark assessment materials which have been determined to be confidential or sensitive and inform CMI before submission for marking or moderation purposes.
- Restrict access to confidential material to people who need it.
- Offer training for Centre staff with access to confidential or sensitive assessment material on how to maintain confidentiality.
- Monitor the content of the assessment to assure that confidential or sensitive information shared during the assessment is then not further disclosed.

CMI does not require specific client/organisation names. Client/organisation names CAN be anonymised, replacing them with 'Client A', 'Client B', etc.

We can assure you that any confidential or commercially sensitive information that is shared with the CMI will remain secure within our systems for the purposes of assessment and quality assurance.

All of our staff involved in the quality assurance process have been trained in GDPR compliance.

1.6 CMI Assessment Checking Service

The standard CMI assignment briefs and marking sheets are located within MyCMI (formerly the Partner portal) Assessment area for Centres to access and to use as a reference point: Link. registered centres must use CMI assignment briefs. Approved centres who wish to produce bespoke assignments, including changes to the assessment method to that indicated in the syllabus, should apply to CMI for approval before implementation before using the form at: CMI Assessment Brief & Marking Sheet Approval Procedure v6

1.7 CMI Command Verbs Definitions

The aim of this document is to give a definition of the command verbs used in the CMI qualifications, to guide both Learners and Centres. Some words can be used at different levels of our qualifications but as the Learner moves up the levels, the depth and breadth of answers/responses required increases.

Link: Command Verbs Definitions

1.8 The Use of Artificial Intelligence (AI) to complete CMI assignments

When is the use of AI permitted by CMI?

AI is permitted in assignments that explicitly allow the use of chatbots or similar AI composition software, as specified in the relevant assignment brief. Currently, there are no CMI assignments that allow the use of chatbots or similar AI compositions.

However, CMI recognises AI as a valuable learning tool that can be used in the following ways:

- To assist with grammar and spelling when writing.
- As a search tool to research assignment topics by mining publications in the area.
- To help structure an assignment.
- It is important to note that the use of AI should always be in accordance with the CMI assignment brief and should not be used to replace critical thinking or independent learning.

When is AI not permitted by CMI?

At CMI, we expect our Learners to produce original content that is attributed to their authorship in all assignments. While AI composition software can be a useful tool for tasks such as grammar and spelling checks or conducting research on assignment topics, it should not be used to generate original content. This includes CMI assignments that require reflection, analysis, evaluation, work-based projects, presentations, and includes all Centre-devised assessment. Assessments conducted by professional discussion either in person or virtually do not allow the use of AI by the Learner. At CMI, we encourage our Learners to develop their own thinking and demonstrate their knowledge and skills through their own work by evidencing their own experience and relating theory to experience when required. This is an important aspect of the learning process.

Learner Guidelines for to use of AI software

What if I use AI to help me write an assignment?

When utilising AI tools, such as ChatGPT, it is important to adhere to CMI's and the Centre's policies of academic integrity, and/or Plagiarism or Malpractice. If you choose to use AI for content generation, it must be properly cited and referenced in your work, in line with CMI requirements, otherwise, CMI considers the use of AI software as a form of collusion. The AI software used should be stated in a preliminary statement at the start of the work. The minimum information to include is the developer of the tool (for example, Open AI), the name of the software (for example, ChatGPT) version of the tool, the date you used the tool and for what purpose, for example, mining publications.

If AI is used to generate an answer for any individual Assessment criteria this must be stated. In-text citation should take the following form: *Open AI, personal communication, ChatGPT v 4, Feb 27, 2023*

You should ensure that you are accountable for the output of your assessment and how it was produced. This means that you should be able to distinguish which ideas are your own and which are derived from other sources such as ChatGPT, and that you are not attempting to gain an unfair advantage by presenting AI-generated content as your own. When you submit assignments you will be asked to sign an authenticity form or click a button in your Learner Management System to say that the work is your own. For CMI Registered Centres using the CMI Marking Service, it is mandatory to declare that the work submitted on behalf of the Learner has been completed by the Learner and can be verified as such. Ultimately, you are responsible for the content of your assignment and how it was constructed, so it is crucial that you can confidently answer yes to these questions.

Warnings of issues when using AI

When using AI such as ChatGPT, it's important to be aware of its limitations. ChatGPT has been known to produce false or misleading information, which is also known as 'hallucination'. This means that it may generate data or references that are inaccurate or non-existent. Therefore, it is not recommended to rely solely on the information provided by ChatGPT. Instead, cross-check and verify any information with reputable sources. Additionally, when using ChatGPT to create references or citations, it is important to double-check the accuracy and legitimacy of the sources provided, to ensure that they are valid and reliable.

Using ChatGPT as a tool to assist with writing requires effort beyond simply generating content. While it can be a helpful tool, low effort may lead to low-quality output. It is important to refine the generated content, provide

proper references, and fact-check any data provided by ChatGPT. This process requires diligence and attention to detail but ultimately leads to higher quality work and adherence to academic integrity standards set by CMI.

Section 2 - Briefing Paper

2.1 Introduction

What is a Briefing Paper?

A briefing paper is a summary of facts relating to a key issue. It often includes a suggested course of action, and would generally include a statement or instructions intended to inform another individual or group. The paper is designed to provide information quickly and effectively about an issue, and is used to inform, influence decisions or offer solutions to decision makers. A briefing paper can be used to update a team/individual following an event or in advance of an event; to suggest a course of action and or to detail findings from research or horizon scanning.

What is it designed to do?

Briefing papers are short and succinct. They are generally written in an outline format. A briefing paper will generally not exceed two pages in length. Briefing papers can provide:

- A summary of an issue.
- Explain a situation that needs correcting.
- Identifies and recommends a course of action including arguments for and against the suggested action.

How is it structured?

Structure of a typical briefing paper:

Name - A note to identify who the briefing paper is intended for

Date - The date of preparation of the briefing paper

Subject - The topic or issue of the briefing paper

Background - This provides a summary of past and/or current events that provide a context for the topic or issue, including any policies or past practices

Analysis -
- Identification of any significant aspects of the topic or issue
- Identify the options or courses of action that should be considered, including details about the advantages and disadvantages of each
- Identify actions currently taken or recommended to address the issue

Cautionary Notes - Identify any sensitive aspects of the topic or issue that may affect a person or an organisation in a negative way

Contact -The name and contact information of the writer of the briefing paper

Keep the paper brief, and use concise language, avoiding speculative language. Tips for writing a Briefing Paper - Grammar.yourdictionary.com. 2022. Tips for Writing a Briefing Document. [online] Available at: https://grammar.yourdictionary.com/grammar-rules-and-tips/tips-for-writing-a-briefing-document.html [Accessed 9 September 2022], provides clear guidance and a structured framework to start your briefing paper.

Templates, Checklists and Models

There are many templates and guides that Learners can use to aid them in starting to write a Briefing Paper. A Learner needs to consider which is the most appropriate one to use in relation to the assessment taking into consideration the command verb and assessment criteria, and the subject area that they need to cover

Here are some examples of templates, and guides that may be useful in considering how to start a Briefing Paper:

Templates:

- Example 1 - Nwcg.gov. 2022. [online] Available at: https://www.nwcg.gov/sites/default/files/docs/eb-briefing-paper-template.docx [Accessed 9 September 2022].

- Example 2 - Google - sample briefing paper - Accessed 9 September 2022

Guides:

- How to Write a Briefing Paper - step by step guide - StudyBay. 2022. *All There is to Know about a Briefing Paper | Studybay Blog*. [online] Available at: https://studybay.com/blog/how-to-write-a-briefing-paper/ [Accessed 9 September 2022].

- Research Briefing Paper - Ed.ac.uk. 2022. [online] Available at: https://www.ed.ac.uk/files/atoms/files/how_to_write_a_research_briefing_oct2016.pdf [Accessed 9 September 2022]

Section 3 - Case Studies

3.1 Introduction

What is a Case Study?

A case study is a piece of assessment evidence which allows the Learner to look at a description, analysis or illustration of a particular situation or problem. A case study is usually taken from a real-life situation and often takes the form of a problem-based inquiry approach, but may also be fabricated. Its use is primarily to show how a particular theory works in practice and the opportunity to apply knowledge and skills to real-life situations. It may also be used in the benchmarking process.

What is it designed to do?

It is designed to explore details, examining issues closely and in-depth using different research and analytical methods. For example, case studies may be used to examine how a business has developed and performed with a period of time; if a Learner is studying management. Alternatively, it can be used to review an organisation's profile and history if a Learner is studying business or to address a particular type of organisational challenge if a Learner is undertaking a leadership and management qualification.

Case studies involve a lot of storytelling, information and setting out of a particular context, history or future situation, they usually examine particular cases for a person, a group of people or an organisation. This method of assessment is very helpful, as it is very practical and enables the development of solutions to real-life situations/problems, supporting understanding of the role that theory and relevant concepts can play as part of this process.

"The benefits of utilising case studies in instruction include the way that cases model how to think professionally about real problems and situations, helping candidates to think productively about concrete experiences" (Kleinfeld, 1990 in Ulanoff, Fingon and Beltran, 2009).

A case study can be a multi-layered learning and assessment tool used by Learners for reviewing and potentially solving real organisational problems. A case study:

- Can be a real and complex assessment requiring Learners to draw from and share their experiences to help solve the problem or answer the assessment criteria.
- Allows the Learner to demonstrate a range of different skills such as analysis, investigation, problem-solving, teamwork and/or individual decision-making and presentation. .
- Allows Learners to learn by doing, applying what they have learned to a real situation or problem. .

In addition, case studies support the development of valuable transferable skills, including the ability to collaborate and communicate effectively, that can be applied in a professional or personal context.

Types of Case Studies

There are a few common types of case studies, but the type depends on the topic. The following are the most common types where case studies are needed:

- Historical case studies.
- Problem-oriented case studies are usually used for solving problems.
- Cumulative case studies collect information and offer comparisons.
- Critical case studies explore the causes and effects of a certain situation or issue.
- Illustrative case studies describe certain events, investigating outcomes and lessons learned.

Case Study use in place of Learner contemporary experience

Sometimes, Learners are unable to draw upon contemporary personal experience. In this scenario, a Centre can use a Case Study as a proxy for real-world experience to demonstrate Learner knowledge. Please ensure that any changes to the assessment evidence dictated in the assignment brief are first approved by CMI's assessment

checking service. In this scenario, a centre can use a Case Study as a proxy for real-world experience to demonstrate Learner knowledge.

Case Study use where cultural issues prevent critical analysis by the Learner

Some countries prohibit critical analysis of any type. In this scenario, centres are advised to select qualifications and units therein to avoid this evidence requirement. Where this is unavoidable, a Case Study can be used as a proxy for real-world experience to demonstrate Learner knowledge while ensuring that dissonance is avoided. Please ensure that any changes to the assessment evidence dictated in the assignment brief are first approved by CMI's assessment checking service.

What does a case study look like?

Examples of case studies can be found at the links below:

- 3 case studies of how the Apprenticeship Levy will help employers
- 3 case studies in crisis management: Merlin, BP, Toyota & Siemens

Case Study Structure

A case study should be structured in such a way that it tells the reader a story in a concise manner and usually, is constructed with a set format for the purpose of assessment, however, can be adapt to meet the needs of the assessment:

- Executive Summary
- Background and/or Context
- Case Evaluation
- Proposed or Actual Solutions
- Conclusion
- Recommendations
- Implementation
- Lesson Learned
- References

Centres - Development of a Case Study as a Assessment Method

- Centres must plan the use or design of a case study.
- Make sure that the case study is well constructed and contains sufficient information for use as an assessment that will give the Learner the opportunity to produce sufficient evidence to address the requirements of the assessment criteria.
- The case study must provide the Learner with a situation or information for them to apply their knowledge, it must not provide the Learners with the answer to the assessment criteria.
- Must not be too long in length but contain a sufficient level of detail and information to enable the Learner to produce sufficient evidence to address the requirements of the assessment criteria.
- The Centre must ensure that the case study is accessible and appropriate. The language and layout are unambiguous, appropriate to the level, context and subject of the assessment and should not present unnecessary barriers to Learners.

Learners - How to Construct a Case Study Analysis for use as evidence

Learners may be asked to develop their own case study to be used as assessment evidence, which will require research, investigation and analysis of a real life situation/ problem about a person, scenario or organisation.

The Learner may be provided with information and guidance by the Centre and/or required to invent or find a situation/ problem independently. Applying knowledge, concepts and theories to the chosen situation/ problem, the Learner will be required to analyse and examine alternative solutions and propose the most effective solution using supporting evidence as part of the process.

Best Practice - Planning and Development of Case Study Analysis

A case study analysis aims to show Learners how to analyse a current situation, determine what problems exist, and develop the best possible strategy to achieve the desired outcome. There are a number of steps that can support Learners with the planning and development of their case study analysis.

Step 1: Preparing the Case Study Analysis

- Background reading, research and examination of the case, making notes, highlighting relevant facts, ideas and critical issues/ problems.
- Focus the analysis by identifying two to five key problems and their underlying issues. The Learner may wish to consider why they exist and how they impact the individual, group or organisation, noting who or what is responsible.
- Determine possible solutions and/or required actions or changes, reviewing external sources of information, research and work-based examples.
- Select the best or most appropriate solution, considering the evidence, pros and cons, and lessons learned.

Step 2: Draft the Case Study Analysis

Case studies may vary in style and format. They may be in short answer style, so Learners may wish to include the questions as headings, so it is clear exactly which they are responding to. Or the case study needs to be structured with an introduction, a series of body paragraphs and a conclusion. When developing case studies in this way, the Learner may wish to structure evidence using the following headings:

- **Introduction and Background Information:**
  - Providing a general description of the situation and its history.
  - Summarise key problems, relevant facts and important issues that will be explored within the case study.
  - Specify the theory and concepts used for the analysis, summarising any assumptions that have emerged and outcome of the analysis.

- **Analysis and Evaluation of the Case:**
  - A more detailed description of the key problems, indicating their link and connection to, and effect on the individual, group or organisation, explaining why the problems exist and persist and what is working and what is not working.

- **Proposed Solution or Change:**
  - Determine specific and realistic solution(s) or changes to the problem outlined in order of importance.
  - Provide the rationale for why the particular solution(s) have been chosen:
  - Supporting thinking with reliable and credible evidence, for example, textbook reading, discussions, lectures, personal or professional experience (anecdotes), and other relevant external research.

- **Recommendations:**
  - Determine and discuss specific strategies for accomplishing the proposed solution or change, indicating what should or needs to be done and who is responsible and realistic terms for implementation.
  - Consider lessons learned.
  - If applicable, recommend issues for further analysis and examination.

Step 3: Finalising the Case Study Analysis

Once completed, Learners are advised to carefully read through the first draft of the case study to check for any gaps or inconsistencies in content or structure. The purpose of this post-review is to check that the analysis is clear,complete and convincing, and supported by evidence that it is relevant, valid and reliable.

Support Resources

ManagementDirect, is CMI's Online Resource Portal, containing thousands of resources and content playlists aligned to the learning units that can be found by topic or content type. There is also a Study Support section containing study guides that are useful resources to refer to.

Conclusion

Case studies can be used to evidence a Learner's analytical, research and investigation, problem-solving abilities, collaboration and communication skills and ability to measure knowledge and understanding.

Section 4 - Observations

4.1 Introduction

What is an Observation?

An observation involves an Assessor closely watching a Learner undertake a task or series of tasks in the workplace as part of their normal duties.

What is it designed to do?

Observational assessment is deemed the most appropriate assessment method for practical skills as by watching the Learner complete a task, they can demonstrate their occupational competence. Observation is suitable for assessing skills and behaviours in real situations and provides valid and reliable data.

The method can be unsuitable for assessing knowledge, as Learners can potentially carry out their duties in an effective manner (for example;, leading a meeting) without understanding why they need to behave in such a way (for example;, not having any knowledge of leadership styles). However, direct verbal questioning can be included either during or at the end of the observation to help make assessment decisions regarding Learner knowledge.

Synonyms for Observation

Watching, Monitoring, Review, Scrutiny, Inspection, Surveillance or Consideration.

What does an Evidence of an Observation look like?

Ideally, the evidence of an observation should either be a video (preferred option) or an audio recording where the Learner can clearly be seen or heard undertaking their work duties with an assessor present. Alternatively a full written transcript can be provided, or a suitably detailed observation report provided by the observer. The evidence should show how the Learner's actions demonstrate their competency against relevant criteria and unit(s) within their CMI qualification.

***Approved Centres* -** When the observation has concluded the Assessor will need to take formal assessment decisions and clearly identify which assessment criteria the Learner has met. The Assessor should either complete a CMI Marking Sheet which records their decisions, comments and timestamps or they should complete an Observation Report or an Assessment Feedback document which replicates this for the observation. See below for an example, or the Centre could design their own template.

The Assessor should pay close attention to the CMI Command Verbs when making decisions around whether assessment criteria have been met. It is important that knowledge is not simply inferred and credited here but that appropriate competency is confirmed.

It is critical that the Assessor uses timestamps within their marking sheets to mark the key points in the recording when competence against specified criteria has been met. This is to ensure that the recording can go through internal quality assurance and CMI moderation effectively.

When the Centre is ready to make a Moderation claim for a unit(s) where Observation has been used they will need to be ready to share the observation recording, assessment record and any available IQA report with the CMI Moderator.

***Registered Centres* - From the 18th April 2023** units which require observation as part of assessment are barred to registered centres for new registrations. Please speak to your Quality Manager and refer to the syllabus for further detail.
For centres with Learners on-programme before that date please do the following. The Centre should make the Observation recording available to the CMI Marking Service together with a short summary that provides key context and lists the activities that were undertaken during the observation and the time points of this. The Centre should indicate in this summary which unit(s) that the observation is relevant towards in terms of claiming

competency. The CMI Marking Team will then review the recording and decide upon which assessment criteria have been met and provide feedback to the Centre.

Safeguarding

The assessment method of Observation places an Assessor (and in turn an IQA and Moderator) in a unique position where they may be directly exposed to witnessing inappropriate practice. Staff undertaking these roles either directly for CMI or at a Centre, therefore, need to consider their roles in relation to Safeguarding. A copy of the CMI safeguarding policy can be found here -
https://www.managers.org.uk/wp-content/uploads/2022/11/qualifications-safeguarding-policy.pdf

CMI is strongly committed to practices that protect children, young people and vulnerable adults from abuse, neglect or significant harm. CMI recognises its responsibility to safeguard the welfare of all Learners undertaking CMI qualifications, by a commitment to practise that protects them and looks to minimise potential harm. CMI is committed to safeguarding and promoting the welfare of Learners undertaking CMI qualifications and expects all CMI employees and our partners involved in CMI qualifications to share this commitment.

Any representative of CMI who suspects that either a child or vulnerable adult or Learner is at risk of harm or abuse must take personal responsibility to report their concerns following the correct procedure. Not reporting concerns may put children, vulnerable adults or Learners at further risk of harm. It is not CMI's responsibility to investigate a child or adult safeguarding concern but to review the information provided and, where necessary, escalate and inform the relevant authorities.

On a practical basis if an Assessor believes that during an observation the safety or well-being of any individual is being compromised or that they are placed at risk; then they should ensure that the Observation is either paused or terminated until appropriate measures are in place to negate this.

The Assessor should also consider the qualification requirements in relation to safeguarding as the Learner may need to develop increased competency in this area. Safeguarding is a vital responsibility of any role as a Coach or Manager so it is important that the Assessor discusses any areas for Learner development that they have identified.

Observation Checklist

- The Centre should closely follow the guidance within the respective CMI syllabus and the individual units regarding suitable assessment methods as Observation may not be a valid option.

- The Centre should ensure that where they are selecting Observation as a method then the chosen Assessor must have the appropriate experience and competency for that Observation as defined in either the Unit guidance or the CMI Quality Assurance Handbook. This is to ensure that the Learner is judged by an Assessor that has the appropriate expertise within their Observation. In the new Level 5 Coaching qualification suites there are specific units where Observation is mandatory and the following is a requirement: *"The observation will be conducted by an experienced mentor, coach or tutor (for example; a membership of one of the following EMCC UK, ICF UK, AC bodies or 5-year experience of recognised teaching and assessment qualifications, IQA Qualification)."*

  "In the fields of observation, chance favours only the prepared mind." Louis Pasteur, 1854

- Observations should be well planned between both the Learner and the Assessor in order to be successful. They should consider what naturally occurring activities exist for the Learner which can be observed and how closely these relate to the assessment criteria within a CMI Unit(s). The Learner should be provided with clear instructions on what skills and practice should occur within the Observation. The Assessor should avoid undertaking Observations where there is little opportunity for the Learner to demonstrate their competency against CMI assessment criteria.

- Observation may take place in person or virtually but must use either a video or audio recording. Please note that if the Observation occurs remotely then this can limit what the Assessor can observe in terms of the Learner's interactions and communications with other people. If a remote Observation is the only option then the Assessor planning should consider how these limitations can be best avoided without the

Learner's opportunity to demonstrate their competency being disadvantaged. (for example; Can the remote Assessor see and hear everyone that is present in the room from the camera position or does this need adjusting?).

- The Assessor should ensure that there are no activities that they are planning to observe which are either confidential, highly sensitive or where safety could be compromised as these are all inappropriate. Examples of this could include Observing Appraisals, Grievance or Disciplinary Meetings or Coaching sessions with a vulnerable client.

- The Assessor should gain consent from the Learner in advance for their practice to be Observed. The Assessor should either capture this consent through a written signed declaration or they should get the Learner to confirm their consent either at the start of the Observation as part of the recording.

- The Assessor should also gain advance consent from any other parties involved in the Observation (for example; Manager, Team Members, Client, coachee, mentee) to be involved and to be recorded.

- The Assessor should agree with and clearly communicate how any party involved (including the Learner or Assessor) can request that the Observation is either paused or abandoned if they feel uncomfortable at any point.

- The Assessor should immediately pause an Observation if they believe that the safety or well-being of any individual is being compromised or that they are placed at risk. Please see the Safeguarding statement above.

- The Assessor should plan Observation activities that will produce as little disruption as possible to normal work routines and they may need to include a relevant supervisor within the planning process.

- The Assessor needs to evaluate when the most appropriate time is for a Learner to be observed. A major factor to consider here is that the Learner may not have the appropriate skill levels at an early point in their course and could benefit from either a mock Observation where supportive, developmental feedback can be provided or by delaying the Observation until a point when all parties believe that the Learner can perform in a competent manner.

- The Assessor should avoid planning an Observation where the activity content is restricted as whilst this can increase the comparability towards other Learners, it can significantly increase the predictability. This can create the danger of a Learner being able to intensively prepare for an observation, rather than it being a natural process.

- The Assessor should plan with the Learner in advance how long the Observation will undertake and when the Learner can take a break, should this be needed. A major consideration point here is the volume of assessment criteria that are being sought to be covered during this process. Centres should also follow any guidance that exists in the qualification syllabus for specific units regarding timings (for example; new Level 5 Coaching qualifications and units 534, 536 and 537 where observation is mandatory).

- The Assessor should plan in advance any questions that they may ask the Learner either during or at the end of the Observation to either help clarify their actions or to assist with confirming Learner competence in specific areas. Where the Assessor chooses to ask the Learner verbal questions then these should be open questions and not leading questions.

- The Assessor should also plan with the Learner (and supervisor where required) any equipment or other resources that will be needed during the Observation so that any potential problems on the day are reduced.

- The Assessor should undertake the Observation in a manner where they can clearly watch the Learner's actions without causing any interference to their work.

- Assessors working at a Fully Approved Centre need to make a clear assessment feedback record around the Observation so that the Learner can see which assessment criteria have been met. *(The new Level 5 Coaching qualification suite has template Observation Reports for units 534, 536 and 537 located within the qualification syllabus document and Centres are encouraged to use these).*

- Assessors should use the Observation process to remind Learners of the Centre Appeals and Centre Complaints process so that they are aware of how to raise any concerns that they may have.

- Immediately before starting the observation, the Assessor should explain the process to the Learner and any other stakeholders, gain their permission to observe and explain to the Learner that the observation can be stopped at any time at the Learner's request. The assessor will need to make clear to the Learner and other stakeholders when the observation starts and when it is completed.

- Wherever it is possible, the Assessor should seek to provide the Learner with some immediate feedback following the conclusion of the observation. Good practice here would be to ask the Learner to reflect on how they feel that they performed. The Assessor should then be able to highlight areas of good practice, and any areas for improvement and show the links to the qualification assessment criteria. The Assessor should make it clear that detailed written feedback will be provided when they have completed their assessment report.

Observation Recording Structure

Example of Observation

Professional Team Coach	Sarah Jenkins
Observer	Deborah Burton
Team/Coachee's	John Willis, Emma Cookhill and Anita Patel
Date of Observation	24.06.2022 *Please see the Observation video record file -* *"DB TC Obs 24.06.2022"*
Context of Team Coaching Assignment	This Observation relates to unit 536 of the 5D36 CMI Diploma in Professional Coaching Practice.

Success Indicators: Professional Team Coaches the ability to:		
Unit AC	**Time stamp (min : secs)**	**Observation**
Select and use team coaching models and approaches. (AC 2.1 and 2.2)	08:40	The Coach had selected to use both the GROW model and Person Centred coaching approaches during the planning phase for this assessment. The Observation showed at 08:40 that the Coach got the Team Members to review what the overall Goals for their department were for the quarter, they explored what progress had been made and the current challenges. The Coach encouraged the Team members to explore the different options available to move forward and to evaluate which would be the most effective pathway.
Embed principles of diversity and inclusion in team coaching practice. (AC2.2)	15:30-22:10	The team members were all respected by the Coach, given space to work through the challenges and empathy was shown where they had experienced conflict. This all enabled a successful session to occur.
Establish parameters for coaching, expectations for behaviour, engagement,	01:30-05:40	The Coach set some clear boundaries with the Team at the start of the session and this included the Team helping to identify what they wanted to achieve. Agreements were made around confidentiality and all parties accepted that whilst this was being recorded, the records would not be shared with any other parties without prior consent. The Coach had used a written consent declaration which Team members

confidentiality. (AC2.1)		were all comfortable with.
Be an ambassadorial for the coaching profession (for example; professional appearance and behaviours, being present, confident, self-managing, self-aware). (AC2.2)	01:30 10:20 45:50	The Coach was dressed in a professional manner which was appropriate for the individuals involved and the business setting.The Coach started the meeting in a confident and assertive manner to gain effective engagement from all. The Coach demonstrated good self-awareness when the meeting reached a sticking point by suggesting different ways of considering the challenges, rather than providing any direct solutions which could have been an easier option. Self-Management was evident throughout with a clear start to the meeting, enabling Team members in the middle and ensuring that there was a summary with agreed actions at the end
Use emotional intelligence (for example; empathy, trust, rapport, unconditional positive regard). (AC 2.2)	32:45	Empathy was clearly shown to a Team Member (JW) that was experiencing conflict from a disillusioned junior colleague. The Coach built trust with the Team Member by exploring the reasons behind this and what they felt could be undertaken to positively influence this.
Be spontaneous, open, flexible, resilient, respectful. (AC2.2)	12:20	The Coach was flexible in allowing the Team to decide how they felt they could best explore the challenges at hand and move towards action. One Team Member (EC) was initially resistant at discussing one key problem (staff retention) but the Coach showed resilience here by indicating the potential dangers of exploring other areas without trying to address that area effectively.
Respond effectively to changes and challenges which occur during team coaching. Manage team and power dynamics. (AC2.2)	18:00	The Team members discussed how there were new financial targets which were affecting the previous work they had undertaken together and there was now some resentment. The Coach skilfully encouraged the Team members to consider if there were any helping forces or opportunities which could link both areas together in a positive manner.
Communicate effectively: Use verbal/non-verbal communication. Questioning skills. Listening skills. Provides effective feedback. Use of silence. Builds and sustains rapport. (AC2.2)	32:45	The Coach used effective verbal communication throughout the meeting. The body language, attention and listening skills provided by the Coach greatly encouraged the Team members to discuss issues. The Coach provided some clear summaries both during the meeting and at the close. The positive rapport that had been developed allowed one Team Member to explore their challenges in depth
Organise professional team coaching (for example; time management, scheduling, record keeping). (AC2.2 and 2.3)	52:30 04:20	Following the meeting the Coach was able to show me the planning notes that she had undertaken before the session which established the time allocation and key objectives. The Team were reminded of the time available at the start of the meeting The Coach also shared with me her completed notes made following the session and this included both a summary together with the areas that she had identified that would be advantageous to explore in the next session and this had been circulated to all of the team members.

Application of coaching duty. Competency framework (for example; EMCC UK, ICF UK, AC).	Throughout	The Coach is adhering to the Association of Coaching Competency Framework. The practice observed showed they were compliant by working in an ethical and professional manner, establishing clear agreements, communicating effectively and working in partnership.

Observer feedback: Areas of good practice/Opportunities for improvement:	
The Coach has shown competency across many of the Assessment Criteria in Unit 536 through this Observation as detailed above. In particular, the Coach showed good rapport and communication skills with the Team. There was a focus on making progress and guiding the group towards agreed actions. The Coach displayed an inclusive approach and valued the contributions of all. The Coach acted in a professional manner throughout and was a credit to the Coaching profession. This session delivered by the Coach could have been more effective if the Coach had explained the GROW model to the Team so that they had a clearer understanding of the process that they were being taken through. The Coach could also have made a request to the Team Members in advance of the meeting if any further issues needed discussion. This could have provided the opportunity to understand the 1-1 staffing difficulty before this became a key issue within this meeting. The Coach should now consider where different models and approaches to Coaching may have value for future Team sessions (AC.1.3), the different challenges that could occur in Team Coaching sessions and how these can be responded to (AC1.4). The Coach should also consider the Team Coaching sessions that they have undertaken over the last 6 months and reflect upon where they may be able to improve their future practice.	
Signature and date:	*Deborah Burton*
Professional Status:	AC: Executive Coach

Conclusion

Observations allow Learners to demonstrate their workplace skills in a practical manner and this assessment method has high validity. Observations provide an excellent opportunity for Learners to demonstrate the skills that they have learnt about through their course in a real scenario. Observations will be most successful when there has been effective planning between the Learner, Assessor/Observer and when clear links towards the relevant unit(s) and assessment criteria have been identified in advance.

Section 5 - Presentations

5.1 Introduction

What is a presentation?

A presentation is a piece of assessment evidence which allows the Learner to demonstrate their knowledge and understanding of a specific subject/topic. Presentation assessments require the Learner to research a particular subject/topic and then prepare and deliver a presentation in a forum to other on the subject/topic. Some presentations are completed in a small group and require teamwork, others are completed as individuals. Presentations are often accompanied by slides projected onto a screen, or shown as part of a video or online presentation.

If a presentation is required, in all cases, tangible evidence that this has taken place must be produced for the presentation. This may be in the form of a video recording of the presentation or slides or notes. The evidence must point out where ACs are met. Video must be time-stamped.

What is it designed to do?

A presentation is designed to convey knowledge to stakeholders for purpose of assessment.
Or
A presentation conveys skills and behaviours for the purpose of assessment.

What does a presentation look like?

All presentations require evidence that the presentation has taken place, whether presented orally or with the aid of a slide presentation. Video or audio recordings must be submitted as evidence.

Good practice dictates that presentations should not exceed 30 - 40 minutes. If done by slide, the font should be no smaller than 12. Allow around 2 minutes per slide. Allow no more than 10 minutes per AC to be demonstrated. If presenting to a diverse group of stakeholders, be conscious of appropriate colours. Less is more on slides: accompanying notes can also be provided as evidence. If done orally, the same rules apply and presentation notes must be submitted as part of the evidence.

Presentation Structure

A presentation should be structured in such a way that it follows naturally from topic to topic or slide to slide, keeps the audience engaged and meets the assessment requirements. A presentation follows the structure; it has an introduction, the main body and a conclusion.

The **introduction** should outline what the Learner is going to talk about, how the presentation is going to be structured, and perhaps what they intend to achieve with the presentation. (Aims and Objectives).

The **main body** of the presentation should have clearly defined sections, evidence and examples linked to the assessment criteria. It may also have tables, graphs, quotes or images as visual support material. It should deliver information step-by-step so that the assessor can logically follow the presentation. There must be clear linkage between the subjects/topic and the assessment requirements. For example, assessment criteria may be used a slide titles.

The **conclusion should** recap the main points and reinforce the importance of the subject/topic.

Examples of Presentation

Good practice when presenting can be found at the links below:

- 5 steps to the perfect business presentation
- 3 ways to build vocal variety (and get people to listen to you)

- Learn the six qualities of a great public speaker

Live (Synchronous) Presentations

Live presentations can take place over electronic systems such as Google meet, Zoom or MS Teams. The Learner should be able to share their screen to present whilst attendees can listen and ask questions.

Pre-Record (Asynchronous) Presentations

Instead of presenting live, Learners can pre-record their presentations. Presentations should be shared with the assessor in the most suitable format, enabling the assessor to review whether the assessment has been met.

Conclusion

The use of a presentation enables the Learner to convey knowledge to stakeholders or demonstrate skills and behaviours in a manner that can be assessed.

Section 6 - Product (Work-Based) Evidence

6.1 Introduction

What is Product (Work Based) Evidence?

Product or work-based evidence is produced by Learners and is based on the work that they have carried out that demonstrates their competence against identified assessment criteria. It can take many forms, examples include letters, emails and reports that have been produced by the Learner.

Product (work-based) evidence should be real evidence and not have been created just as an attempt to meet the assessment criteria. Portfolios are often used by Learners to store their product (work-based) evidence; these can be manual but are more likely to be in an electronic format. Be aware that there will usually be a maximum number of pages that a Learner can include as product (work-based) evidence, for example, in the new CMI coaching qualifications this is 6 pages.

Supplementary Evidence

Supplementary evidence is used to verify and support the other evidence that has been collected of a person's competence. The most common forms of supplementary evidence are naturally occurring evidence from the workplace.

Supplementary evidence should be used when it isn't possible for an Assessor or Learner to declare work based or product evidence as authentic, or reliable, without a corresponding or supporting personal statements, observations or witness statements.

Examples of Product (Work Based) Evidence

(The purpose of this list is to provide examples; it is not exhaustive)

- Emails, letters, agendas for meetings, minutes of meetings.
- Documents - risk assessments, project proposals or business cases, project plans, work breakdown structure, Gantt charts, project communication plan, risk register, project budget plan.
- Operational plans, SWOT analysis, STEEPLE analysis
- Policies and Procedures relating for example - equality, diversity and inclusion, performance management, including performance reviews, coaching and mentoring and company rewards.
- Recordings of discourse with stakeholders - videos, blogs, vlogs, presentations.

There are templates for many of the documents listed above on ManagementDirect https://www.managers.org.uk/membership/resources/management-resource-portal/

What is it designed to do?

It is designed to show how a Learner can demonstrate competence against assessment criteria using the products they have created as part of their role.

What does good Product (Work Based) Evidence look like?

In isolation it is unlikely that product (work-based) evidence will be sufficient to meet the assessment criteria unless the assessment criteria specifically ask for the creation of product (work-based) evidence, for example, in the following ACs taken from the new CMI Level 5 Coaching Qualifications -

- 1.1 - Plan and prepare to deliver professional coaching
- 1.3 - Complete records of professional coaching
- 2.2 - Create a professional development plan to improve a coaching capability

Higher Technical Qualifications (HTQs), where assessment evidence demonstrates knowledge, skills and competence, also include specific product (work-based) evidence.

The above ACs clearly explain to the Learner what product (work based) evidence they need to produce. Where Learners are including product (work-based) evidence that has not been specifically asked for in the AC, then Learners are required to put the evidence into context. Putting evidence into context can be done in several ways -

- The evidence can be annotated with clear links made to the ACs the Learner wishes to claim. This will allow the Assessor to make a judgement on the evidence..
- Learners can produce a reflective account or storyboard to explain the evidence and how they feel it meets the ACs they are claiming competence in.
- The most effective way to use product (work-based) evidence is for the evidence to be 'Triangulated'. This means that the product (work-based) evidence is included, it is contextualised by the Learner (using either method outlined above) and finally it is supported (validated) by a third party, this could be in the form of a witness testimony, an observation or a professional discussion.

Data Protection and Confidentiality

Some of the potential product (work-based) evidence that a Learner might choose to use to demonstrate competence may lead to an inadvertent collection of data and confidential information. This collection or use of data and information may contravene GDPR and/or safeguarding policies. In these instances, it is the responsibility of the Learner and the Centre to take reasonable steps to ensure that data protection and safeguarding legislation and practices are followed and that data/information is not released into the public domain.

Best Practice Checklist

- Be concise, ensure the evidence meets the assessment criteria, and remember there will be a limit on the number of pages of evidence that can be submitted.
- Ensure it maps to the assessment criteria that the Learner wishes to cover, put the evidence into context and identify the ACs being covered.
- Triangulate the evidence by supporting it with evidence from another source, for example, a witness testimony, observation or professional discussion.
- Check there are no breaches of data protection, confidentiality or safeguarding legislation or policy.

What should I be looking for as an Assessor / IQA when assessing or quality checking an assessment judgement of product (work-based) evidence?

VACSR - Is the product (work-based) evidence:

- **Valid** - the assessment process is appropriate to the subject or qualification, assesses only what is meant to be assessed and the Learner's product (work-based) evidence is relevant to the assessment criteria.

- **Authentic** – the product (work based) evidence has been produced by the Learner only.

- **Current -** the product (work based) evidence is relevant at the time of assessment (usually within the last 3 years).

- **Sufficient** – the product (work based) evidence covers all of the assessment criteria claimed.

- **Reliable** - the use of product (work-based) evidence is consistent across all Learners, over time and at the required level.

Mapped to Assessment Criteria(s)

The product (work based) evidence is clearly mapped to the assessment criteria(s) within the unit, and this is noted within the annotation, reflection/storyboard and any supporting documentation used for triangulation, for example, witness testimony, observation or professional discussion. If it is not clearly mapped against the assessment criteria(s) then the Assessor/IQA should provide feedback in the marking sheet or IQA report. Assessors and IQAs can continue the assessment or quality assurance process, even when the product (work based) evidence has clearly not been mapped if they are able to identify which assessment criteria(s) the product (work based) evidence is covering. If the Assessor/IQA is unable to identify which of the assessment criteria(s) the product (work-based) evidence refers to, the unit should be returned to the Learner.

Conclusion

The use of product (work-based) evidence allows the Learner to present 'real' evidence that they have created whilst carrying out their role. It gives them an opportunity to consider how they meet the assessment criteria of a qualification in their day-to-day activities. It encourages Learners to take responsibility for their learning and assists with putting theory into practice.

Section 7 - Personal Development Plans

7.1 Introduction

What is a Personal Development Plan?

A Personal Development Plan (PDP) is a piece of assessment evidence which allows the Learner to demonstrate how they have planned, reviewed, adjusted, and replanned - against key objectives or outcomes over either a short/medium or long-term timeframe.

What is it designed to do?

PDP is usually understood as a cyclical process, where improvement comes from moving around the loop. The following chart outlines the process and can be found at:
https://www.managers.org.uk/knowledge-and-insights/research/personal-development-planning/

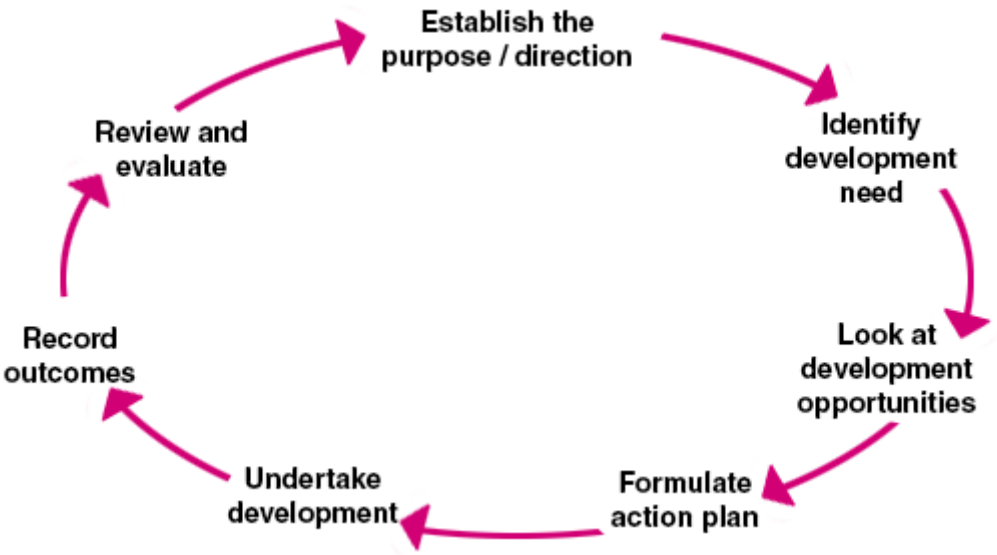

Fig 1.1 - Personal Development Cycle - CMI

Action Checklist

1. Establish your purpose or direction
2. Identify development needs
3. Identify learning opportunities
4. Formulate an action plan
5. Undertake the development
6. Record the outcomes
7. Evaluate and review

View the checklist to find out more about each item: Personal Development Planning Checklist

Thought Leadership - Personal Development Plans

There are many articles that Learners can use to aid the development of their own Personal Development Plan, Here are some examples. Some of these articles can be accessed on CMI's ManagementDirect :

- The concise time Management and personal development, Search.ebscohost.com. 2022. *EBSCOhost Login*. [online] Available at:

https://search.ebscohost.com/login.aspx?direct=true&db=e220xww&AN=136829&site=ehost-live&ebv=EB&ppid=pp_COVER [Accessed 9 September 2022].

- Creating your Coaching Development Plan - David Clutterbuck Partnership | author, speaker & thinker. 2022. *Creating your coach development plan | David Clutterbuck Partnership*. [online] Available at: https://davidclutterbuckpartnership.com/creating-your-coach-development-plan/ [Accessed 9 September 2022]

- How to take control of your own career, Adrian Furnham, 2015

Alternatively, Learners may want to create their own Personal Development Plan. As Clutterbuck outlines:

Practical ways of keeping the momentum of a CDP include:

- Reviewing it regularly with peers and supervisors
- Setting monthly targets in terms of knowledge acquisition (for example; reading, attending courses or professional development events)
- Joining with peers in online or face-to-face learning groups
- Setting yourself a developmental challenge at least once a quarter
- With clients' permission, experimenting with different approaches that may extend your repertoire (but always prioritising their needs over yours)

What does a Personal Development Plan look like?

The purpose of any development activity needs to be identified. Because a PDP is a very individual document, there's no single "right" way to create it. However, the following questions can be helpful in designing a structured approach that fits your learning style and your preferred style of setting and pursuing learning goals.

Please bear in mind that the word 'coach' in the list below could easily be substituted with 'manager', 'leader', 'mentor' or other term as appropriate to their employment context and the qualification which they are following.

- What skills do I most want to improve? Or, what skills improvements in me would be of greatest benefit to my clients? Skills might, for example, include listening/ mindfulness; self-awareness; systems awareness; or use of silence.)
- What tools, techniques or coaching constructs do I want to add to my toolbox? How will I ensure I understand them in sufficient depth to apply them safely and wisely? How will I integrate these with my existing toolbox?
- How can I reduce my reliance on models, processes, tools and techniques?
- What can I do to increase the quantity and quality of the feedback I receive on my coaching?
- How can I extend my learning network? Who can I use as role models of good practice?
- What do I need from my professional supervisor? Is it time to trade them in?
- How can I develop and more clearly enunciate my personal philosophy as a coach?
- How can I build my reputation?
- How can I build my self-confidence as a coach?
- How can I become even more authentic?
- Where can I find appropriate challenges to my assumptions about coaching and my role as a coach?
- How will I improve the quality of my reflections on my practice?
- When am I at my most/ least effective as a coach? How do I know? Who holds up the mirror to me as a coach?
- In what ways do I want to stretch the boundaries of my coaching?
- What resources are available to support my development as a coach? (for example; reading, social networks, role models, courses, supervision...). Who can I rely on to help me?
- What is my vision for the coach I want to be in 1, 2 and 5 years' time?
- How much energy, time and other resources can I invest in making this vision happen?
- How will I know I'm making progress?
- And, of course, what else?

Personal Development Planning Template

CMI has designed a personal development template to help individuals structure their thinking and create a strategic plan for achieving their goals.

Download the example template: Personal Development Planning Template

Disclaimer: The information provided in this section includes external sources for convenience, but their continued availability cannot be guaranteed. These sources may change, be updated, or removed without notice. The inclusion of these sources does not imply endorsement or guarantee of accuracy. Users should independently verify the information and exercise caution. CMI is not liable for any loss or damage resulting from the unavailability or inaccuracy of these external sources. Users assume full responsibility for their use. Please consult the latest versions or seek professional advice if in doubt.

Section 8 - Project Plan and Project Initiation Documents

8.1 Introduction

What is a Plan?

A plan is a piece of assessment evidence which allows the Learner to present their knowledge and understanding of the detailed steps required to achieve a specific task or project in a specific timescale. The scope of the plan may vary and be specific to the Learner (such as a PDP) or may have a much wider work-based slant, such as a plan to develop a team or department. In the context of the CMI qualifications, this may incorporate evidence from the workplace, or it may be based on case studies or scenarios that the Learner has been presented with. The key point is that the document is structured and presented in an appropriate format and will use tables, facts and figures where appropriate. Within the plan, the Learner will need to present sufficient evidence to meet the Assessment Criteria listed in the unit specifications. It is likely to be presented in a written format.

What is it designed to do?

A plan is designed to show how a Learner can organise and present the steps required to complete a particular project and achieve its aim/purpose.

Models and Frameworks of Plans

There are many models and frameworks that Learners can use for their plans. Here are some examples which can be accessed on CMI's ManagementDirect -

- Project Plan template: https://members.md.cmi.org.uk/Content/Display/486
- Project Initiation Document template: https://members.md.cmi.org.uk/Content/Display/487
- Communications Plan template: https://members.md.cmi.org.uk/Content/Display/484
- Gantt chart: https://members.md.cmi.org.uk/Content/Display/447
- Checklist 35 Managing Projects: https://members.md.cmi.org.uk/Content/Display/946

Alternatively, Learners may want to create their own framework for their plan. If the plan is being used within a work-based context, the Learner's employing organisation may have a preferred template and style of the plan for them to use.

What does a Plan look like?

The plan will contain evidence which demonstrates the Learner's understanding of the steps required to complete a particular project or task. Depending on the ACs which need to be met, the plan may require the inclusion of theoretical knowledge as well as practical aspects.

A plan is likely to present evidence primarily in the form of a table and bullet point statements or perhaps a Gantt chart. However, there may also be some narrative text, depending on whether additional information is required.

A plan may be used in combination with a number of other assessment methods within the same unit, depending on the recommended evidence as listed in the 'assessment task' section.

Plan - Checklist

- Ensure the guidance for the evidence is adhered to. Product (Work Based) Evidence which is a requirement of the assessment, such as plans or documentation (which have been referred to within the main text) should be included at the end of the booklet and clearly marked 'Product (Work Based) Evidence'. Product (Work-based) evidence (where required by the task) must not exceed SIX (6) pages. All evidence should be combined within the evidence booklet.

- Learners can use personal language such as 'I' and 'we' rather than write in the third person, where this is appropriate for the plan.

- A plan is likely to contain one or more objectives. An objective can be recognised because it usually starts with a verb, for example, 'develop guidance' or 'deliver a presentation. Each objective should produce a deliverable - something physical that can be used as evidence that the objective has been met. In the former objective, this would be the guidance produced. In the latter, it would be an actual presentation. Objectives should be SMART (Specific, Measurable, Achievable, Realistic and Timescaled).

- The feature which makes a plan a plan is the inclusion of timelines and dates and the specific activities required to meet the objectives. There should be sufficient detail in the activities that a third party could reasonably take the plan and use it to achieve the same objective(s).

Section 9 - Proposal Document

9.1 Introduction

What is a Proposal Document?

The CMI Assessment Activity Definitions state that a proposal document is "A formal document, presented in an oral or written format, which puts forward ideas or suggestions for consideration by others."

Proposal Documents can be used for a wide variety of purposes including business cases, new product development, invitations to tender and projects.

What is it designed to do?

It is designed to show how a Learner can produce a formal document to present their ideas or suggestions for consideration by others in an oral or written format.

What does a Proposal Document look like?

The Proposal Document can take a number of formats. The Learner will need to consider the most appropriate format for the document depending on what is being proposed for consideration and the requirements of the command verb and assessment criteria.

A Proposal Document may be used in combination with a number of other assessment methods within the same unit, depending on the recommended evidence as listed in the 'assessment task' section.

A proposal is an offer of activity put forward to others for consideration. In business, many different forms of proposal exist.

Templates, Checklists and Models

There are many templates, checklists and models that Learners can use in writing a proposal document. A proposal document is usually context-specific. A Learner needs to consider which is the most appropriate one to use in relation to the assessment taking into consideration the command verb and assessment criteria.

Here are some examples of templates, checklist models and videos that can be accessed on CMI's ManagementDirect

Templates:

- Business Case
- New product development proposal
- Invitation to tender
- Project Initiation Document
- Sales Plan

Checklists:

- Checklists - 240 Developing a business case for a new product or service

Models:

- Cost Benefit Analysis

Pearls of Wisdom Videos:

- Pearls of Wisdom: Creating the Business Case
- Pearls of Wisdom: Presenting Your Business Case

Proposal document Checklist

- When writing a proposal, be clear on the audience for the proposal, their objectives and how your proposal may help them meet their objectives. Good practice is to state this so that it is clear to the Assessor.
- Be concise - it can be challenging to remain within the word count. The assessment brief lists the total word count for the unit.
- Focus on what the command verb and assessment criteria require. Use the CMI Command Verb Definitions to understand what it is asking the Learner to do.

Proposal Document Structure

The structure of the document will be determined by what is required by the task and meeting the assessment criteria and command verbs. The templates available in Management Direct should provide a starting point for the proposal document, but can be adapted to the particular requirements of the assessment brief. Learners should pay particular attention to the command verbs and ensure that their proposal document focuses on these in order to meet the assessment criteria.

Section 10 - Reflective Statement

10 Introduction

What is a Reflective Statement?

A Reflective Statement is a piece of assessment evidence which allows the Learner to look back on what they have learned and done, and to share their thoughts on it. It will involve honest, critical analysis or evaluation of their performance and/or understanding of a certain topic and a chance to demonstrate integrity in how they have approached an experience, task, activity or situation.

Use of reflective statement, reflective account or any methods of self-assessment in Apprenticeship standards

Note - A reflective statement, reflective account or any methods of self-assessment, **cannot** be used in an Apprentice's portfolio of evidence to cover the Knowledge, Skills and Behaviours (KSB) for the level 5 Operations or Departmental Managers Apprenticeship standard (ST0385); except as evidence for S8.1. - *Reflects on their own performance, working style and emotional intelligence and the impact they have had on others*.

Page 5 -
https://www.instituteforApprenticeships.org/media/4830/st0385_operations-or-departmental-manager_l5_epa-for-publication_130121.pdf

Note - A reflective statement, reflective account or any methods of self-assessment, **cannot** be included as evidence for the level 5 Coaching Professional Apprenticeship standard (ST0809); with the exception of reflection/evaluation of the coaching practice that has been delivered by the Apprentice in relation to B1. - *Committed to self-development, including self-reflection, gathering information on the effectiveness of their own practice, producing personal development plans and receiving coach supervision.*

Page 5 -
https://www.instituteforApprenticeships.org/media/4166/st0809_coaching-professional_l5_ap-for-publication_07042020.pdf

Reflective statements **cannot** be used in either the Level 3 Team Leader/Supervisor or Level 7 Senior Leader Apprenticeship programmes.

What is it designed to do?

It is designed to show how a Learner can honestly appraise their performance and/or understanding of a certain topic and look at the impact the whole experience has had on them and/or the team.

Synonyms for reflection

Consideration, thinking, contemplation, deliberation, musings, opinion.

Models and Frameworks of Reflections

There are many models and frameworks that Learners can use to aid their reflective process. Here are some examples of models of reflection, these models can be accessed on CMI's ManagementDirect -

- EDGE-IT model - This practical, adaptable five-stage model of reflective practice has been designed for leaders within a dynamic organisational context. The EDGE-IT model encourages focused thinking and links learning to action.
- Gibbs' Reflective Cycle - There are six stages of reflection in Gibbs' Reflective Cycle that need to be followed in sequence to enable in-depth exploration of an experience or activity. Each stage of the cycle incorporates reflective questions which, if answered, can facilitate learning from experience.
- Kolb's Learning Cycle - The model identifies a four-stage cycle of learning. It was developed by the American researcher David Kolb in 1984. It explains how we learn most effectively by focusing on the

processes involved in learning. Kolb argues that four processes must be present for effective learning to occur.

Alternatively, Learners may want to create their own framework for reflection. It needs to be a set of questions that the Learner can ask themselves about an experience, task, activity or situation, plus a process by which they apply and learn from the reflection.

What does a Reflective Statement look like?

This will be a written statement that will be made up of the Learner's own reflections on what they have done/learnt, how they did it, what went well and what they would have done differently and what they have learned throughout the learning process. The focus of a reflective statement is not how many faults Learners find; it is about how well they are able to honestly appraise themselves or the task, activity or situation. A reflective statement requires the Learners to use evidence or examples to illustrate their reflections and an analytical approach.

A common mistake would be to either be too objective or to be too emotional. Whilst Learners will need to analyse their personal feelings, a good reflective statement will need to be a balance struck to ensure it is personal to each individual and is reflective in its approach.

A reflective statement can be developed in a holistic manner that covers a number of the assessment criteria. It is clear and concise in its approach and should be clearly mapped to each of the assessment criteria that are covered.

Reflective statement Checklist

- Be concise, think about the word count.
- Ensure it maps to the assessment criteria that the Learner wishes to cover.
- Learners should look back at past experiences, tasks, activities or situations to perform better in the future.
- Learners should explain what happened, why it happened and the outcome.
- Learners should honestly appraise and constructively criticise themselves.
- Learners should consider evaluating their strengths and weaknesses.
- Learners are encouraged to use personal language such as 'I' and 'we' to talk about experiences, emotions and feelings rather than write in the third person.
- Learners should where possible link work-based evidence to support what they are saying such as things that have been said or done, their causes and their effects.

Reflective Account Writing Structure

A reflective statement should be structured in such a way that it tells the reader a story in a concise manner and usually is constructed with a:

- **Introduction** to the experience, task, activity or situation.
- **Description** of the experience, task, activity or situation, this may include what role they played within.
- **Cause and effect** of the experience, task, activity or situation.
- **Evaluate what happened**, and what they are trying to resolve.
- **The outcome** of the experience, task, activity or situation and what they have learnt and how they would move forward.

Example of Reflective Statement

During the first 12 months of employment in my new role at ABC Organisation, I found myself inwardly questioning the reliability and validity of information provided in our customer database, especially around business sales, as I came across conflicting and contradictory data in our weekly data sales reports and feedback sessions. I was surprised at how other members of the team appeared to automatically trust the content of data in the sales reports and I sometimes felt that what was presented back to the team was accepted as factual as long as there was clear profit and financial targets were being met.

This prompted me to critically analysis the sales data in a more in-depth manner to ensure that there was correlation between the systems involved and the data reports. I did not want to appear cynical and questioning their judgements to the rest of the team and kept these concerns to myself, which on reflection I perhaps could have had a discussion with my line manager in the first place or undertaken some statical research into the data and then presented this to the team.
(AC 2.1, 2.4)

Conclusion

The use of a reflection statement enables the Learner to make sense of and learn from their experience. It allows the Learner to demonstrate that they can think critically about their own skills or practice, in order to improve and learn. It is important for Learners to evaluate rather than just describe the things they are reflecting on, and to emphasise how they will apply what they have learned.

Section 11 - Written Account

11.1 Introduction

What is a Written Account?

The CMI Assessment Activity Definitions V1 June 2019 states that a written account is "a written document presenting knowledge of facts or events".

A written account can be used to present knowledge of facts or witnessed events and also as evidence of achievement of assessment criteria.

What is it designed to do?

It is designed to present knowledge of facts or events in a written format. It can be used by Learners to demonstrate their knowledge of facts or events. It can also be used as evidence of achievement of assessment criteria.

What does a Written Account look like?

A written account can take a variety of forms as outlined below:

- Direct observation of the Learner's performance by an Assessor/Manager/Colleague
- Personal statement
- Authentic statements/witness testimony.

It is important that in the examples listed above that the person completing it should sign and date the written account. The person completing the written account is not required to have knowledge of the CMI qualification, unit or assessment criteria. It is sensible to use templates to ensure a standardised approach where written accounts may be used towards CMI qualifications.

A written account can also form part of a larger document such as a Project Report where facts or events are presented as part of the findings/results of a project.

Best Practice Checklist

- Be concise - it can be challenging to remain within the word count. The assessment brief lists the total word count for the unit.
- Focus on what the command verb and assessment criteria requires. Use the CMI Command Verb Definitions to understand what it is asking the Learner to do.
- Provide the person who is compiling the written account with clear guidance on the requirements of the assessment criteria and the command verb that is being used by the Assessor.
- Ensure that the written account provides the evidence required to meet the assessment criteria and command verb. It is recommended that as part of the written account the person completing it also provides the context for the account.
- When using a written account as part of a larger document (such as a Project Report) consider using an appropriate template from Managemen Direct.

Written Account Structure

The structure of the document will be determined by what is required by the task and meeting the assessment criteria and command verbs. You may wish to consider using a template to ensure a consistent approach with written accounts. Ensure that all written accounts such as the ones outlined below are signed and dated by the person writing them. This helps to establish and verify the authenticity of the written account.

- Direct observation of the Learner's performance by an Assessor/Manager/Colleague.
- Personal statement.
- Authentic statements/witness testimony.

The templates available in Management Direct should provide a starting point for a written account which is part of a larger document such as a Project Report..

Templates, Checklists and Models

Here are some examples of resources in ManagementDirect

Templates:

- Project Highlight Report
- Project Report

Section 12 - Report

12.1 Introduction

What is a Report?

A report is a piece of assessment evidence which allows the Learner to present their knowledge, skills and experience. In the context of the CMI qualifications, this may incorporate learning from the workplace, or it may be based on research that the Learner has carried out. The key point is that the document is structured and presented in an appropriate format and will use graphs and tables where appropriate. Within the report, the Learner will need to present sufficient evidence to meet the Assessment Criteria listed in the unit specifications. It may be presented verbally but is more likely to be in a written format. If presented verbally, the report should be recorded and time-stamped for marking or moderation purposes.

What is it designed to do?

It is designed to show how a Learner can organise and present their understanding of a certain topic, event or period.

Models and Frameworks of Reports

There are many models and frameworks that Learners can use for their written reports. Here are some examples which can be accessed on CMI's ManagementDirect -

- Project highlight report: https://members.md.cmi.org.uk/Content/Display/475
- Project report: https://members.md.cmi.org.uk/Content/Display/473
- Business Report: Example, CMI Annual report & Accounts 2021.

Alternatively, Learners may want to create their own framework for their report. This may be based, for example, on using the CMI ACs as subheadings within the report. Similarly, if the report is being used within a work-based context, the Learner's employing organisation may have a preferred template and style of report for them to use.

What does a Report look like?

The report will contain evidence which demonstrates the Learner's knowledge and understanding of the topic, event or period. Depending on the ACs which need to be met, the report may require the Learner to present theoretical knowledge or it may need them to set out facts and details of particular events.

A report may well use language in both the first and third person and may use both within the same report. This is acceptable, depending on whether the Learner is presenting evidence from first-hand experience or other sources.

A report may be used in combination with a number of other assessment methods within the same unit, depending on the recommended evidence as listed in the 'assessment task' section.

Report - Checklist

- Be concise - it can be challenging to remain within the word count. The assessment brief lists the total word count for the unit.

- Learners are encouraged to use personal language such as 'I' and 'we' to talk about experiences, emotions and feelings rather than write in the third person, where this is appropriate for the report.

- Learners should where possible link work-based evidence to support their evidence.

- Where an academic-style report is used, please ensure that the CMI assessment criteria are clearly covered in the discussion, conclusion or recommendation sections.

Further guidance on assessment evidence

CMI is currently working on version 2 of this handbook. This will include guidance on the following:

Executive summary
Professional discussion
Recognition of Prior Learning (Work based Evidence)
Blog Evidence
Expert and Witness Testimony
Good Practice guides
Mind maps and Concept maps
Personal logs and diaries
Portfolios
Posters
Reflexive statements
Vlog evidence

Publication of version 2 will be notified to all CMI centres.

Appendix 1 - Glossary

Accreditation	The process through which the qualifications regulators confirm that a qualification conforms to the requirements of the RQF regulatory arrangements (NB – previously QCF).
Assessor	A person who undertakes marking or the review of marking. This involves using a particular set of criteria to make judgements as to the level of attainment a Learner has demonstrated in an assessment.
Assessment	The process through which evidence of Learners' attainments is evaluated against agreed criteria to provide the evidence for a qualification.
Assessment criteria	Descriptions of the requirements a Learner is expected to meet to demonstrate that a learning outcome has been achieved.
Assessment standard	The standard that a Learner is expected to reach in order to achieve credit for a unit, is expressed through a combination of the learning outcomes and assessment criteria of that unit.
Authentication	A process under which evidence generated by a Learner in an assessment is confirmed as having been generated by the Learner (or identified and confirmed as being that Learner's contribution to group work) and as being generated under required conditions.
Award	A qualification with credit value between 1 and 12.
Awarding Body	Awarding Body means an organisation recognised by a national regulatory body ie Ofqual, Qualifications Wales, CCEA Regulation & SQA Accreditation in respect of the General/Standard Conditions of Recognition/Regulatory Principles and award or authentication of a specified qualification, or description of qualification.
CASS	Centre Assessment Standards Scrutiny means the activities by which the Awarding Body (in this case CMI) quality assures the practice by which it delegates assessment judgements to Approved Centres.
CPD	Continuing Professional Development.
CV	Curriculum Vitae.
CMI Centre	An organisation to undertake the delivery and assessment to Learners on behalf of CMI. Centres are typically educational institutions, training providers, or employers.
Characteristic	Age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation in England and age, disability, marital status, racial group, religious belief, sex, sexual orientation, political opinion.
Comparability of assessment	The extent to which assessment outcomes are equivalent between Centres, units and qualifications, and over time.
Credit	An award made to a Learner in recognition of the achievement of the designated learning outcomes of a unit.
Credit transfer	The process of using a credit or credits awarded in the context of one qualification towards the achievement requirements of another qualification.
Credit value	The number of credits that may be awarded to a Learner for the successful achievement of the learning outcomes of a unit.
Certificate **Certificate**	A record of attainment of credit or qualification issued by an awarding organisation. A qualification with a credit value between 13 and 36.

Diploma	A qualification with a credit value of 37 or above.
Data Protection Law	Data Protection Legislation means the UK Data Protection Act 2018 and the General Data Protection Regulation (Regulation (EU) 2016/679) as enacted into English law ('the GDPR') as revised and superseded from time to time; and the terms 'data subject", 'personal data', 'data controller' and 'data processor' when used in this Agreement shall have the meanings given in the Data Protection Legislation.
Equalities Law	The Equality Act 2010. Any Act that was a statutory predecessor to that Act, or any legislation in a jurisdiction other than England which has an equivalent purpose and effect.
Exemption	The facility for a Learner to claim exemption from some of the achievement requirements of a RQF qualification, using evidence of certificated, non-RQF achievement deemed to be of equivalent value.
External Assessment	A service CMI offers to mark Learner assignments.
FE	Further Education.
Guided learning hours	Guided Learning Hours (GLH) have traditionally meant the number of hours of education or training under the immediate guidance or supervision of a Lecturer, Assessor, Supervisor, Tutor, Skills Coach or Employer. With the increasing use of IT to improve the learning environment, facilitate the practical application of knowledge and make learning flexible to Learners outside of normal working hours and across different time zones, what constitutes 'immediate supervision' and indeed the value of immediacy is now in question. Participating in education and training now embraces many new and innovative forms which include synchronous and asynchronous methods. For this reason, CMI now considers immediate and non-immediate guidance or supervision as an acceptable practice in calculating GLH for CMI qualifications.
HE	Higher Education.
IC	Institute of Consulting.
IIP	Investors in People.
IQA	Internal Quality Assurer.
Learner	Individuals registered for a CMI qualification.
Level	An indication of the relative demand, complexity and/or depth of achievement, and/or the autonomy of the Learner in demonstrating that achievement.
Malpractice	The deliberate or willful contravention or ignoring of the regulatory requirements of the QCF by an organisation recognised to operate within the framework.
Mandatory units	Units in a set of rules of combination that must be achieved for the qualification to be awarded.
Moderation	The process through which the marking of assessments by CMI Centres is monitored to make sure it meets required standards and through which adjustments to results are made, where required, to ensure that results are based on the required standard. This includes quality assurance.
NVQ	National Vocational Qualification.
National Occupational Standards (NOS)	Describe what a person needs to do, know and understand in a job to carry out the role in a consistent and competent way.

Optional unit	A unit named in a set of rules of combination that a Learner may choose to complete to achieve the required number of units/credits for award of the qualification.
Pathway	A route to the achievement of a qualification that requires a combination of credits to be achieved from particular units and is identified by an endorsement to a qualification title.
Qualification	An award made to a Learner for the achievement of the specified combination of credits, or credits and exemptions, required for that award.
Qualification level	An indication of the relative demand, complexity and/or depth of achievement, and/or the autonomy of the Learner, represented by a qualification.
Qualification purpose	A means of identifying qualifications with a set of shared characteristics.
Qualification title	A short description of the level, size and content of the qualification.
Reasonable Adjustments	Reasonable Adjustment is an adjustment of the delivery and/or assessment of a CMI qualification in order to alleviate or remove the effects of a substantial disadvantage for a Learner.
Recognition of Prior Learning (RPL)	A method of assessment that considers whether a Learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.
Rule of Combination	A rule specifying the combination of units which may be taken to form a particular qualification, any units which must be taken and any related requirements.
RQF	Regulatory Qualification Framework.
SSB	Standard Setting Body - an organisation (usually a national training organisation) recognised by a regulatory authority as a responsible Body which has written the national standards of competence for an employment sector and is keeping them under review.
Special Consideration	Special consideration is a temporary experience that prevents the Learner from taking an assessment or prevents them from being able to demonstrate their level of attainment in an assessment.
TUT	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.
TQT	Total Qualification Time - As defined under General Condition J1.8, Total Qualification Time is 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 that 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, unlike Guided Learning, not under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate providers of education or training.
Unit	The smallest part of a qualification that can be separately certificated.

VQ	Vocational Qualification.

Appendix 2 - Bibliography

- SQA Guide to Assessment, (2019), https://www.sqa.org.uk/sqa/files_ccc/Guide_To_Assessment.pdf, last accessed 01/03/2023

Chartered Management Institute (CMI)

The Chartered Management Institute (CMI) works with business and education to inspire people to unleash their potential and become skilled, confident and successful managers and leaders.

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