FutureQuals
INSPIRING LEARNING AND SKILLS

Level 4 Diploma in
MANAGEMENT AND LEADERSHIP

Qualification Specification

Qualification recognition number: 601/5872/4
Qualification Reference: L4DML

www.futurequals.com

Version Control Information

Document details	
Document name	FAQ Level 4 Diploma in Management and Leadership 601/5872/4
Purpose of document	Qualification specification, component contents, assessment guidelines and information for centres.
Change applied to existing version	L4DML_V2_02/11/2017
Document owner	Product Development Team

Version history			
New version number after amendment	**Date amended**	**Section**	**Details of change/s**
L4DML_V2_07/08/2019	August 2019	Throughout	Administration updates, correcting typos, web links and Assessment Principles.
L4DML_V3_07/08/2019	July 2020	Document Details and Optional Units	Changed Qualification code to the correct one and added Optional component credit values and level

Contents

Section One

1.1 Introduction

Introduction to FutureQuals

FutureQuals is forward thinking, learner and customer-focused, and committed to delivering inspiring learning and skills.

Our Values
"We are a Visionary, Supportive, Innovative and Professional Awarding Organisation that is committed to excellence."

Our Vision
"We envisage a place in which every learner realises their full potential."

Our Mission
"To provide respected and valued qualifications and assessment to enable quality assured learning."

FutureQuals is recognised to deliver regulated qualifications by Ofqual in England, CCEA Regulation in Northern Ireland, the Scottish Qualifications Authority (SQA Accreditation) and Qualifications Wales to offer a comprehensive and diverse range of qualifications across a wide range of vocational areas many of which are transferable across industries and sectors.

A full list of FutureQuals current qualifications can be accessed at https://www.futurequals.com

We have developed a genuine understanding and insight into all types of educational organisations, which ensures that we are highly responsive to their needs. We offer a wide range of benefits and support for our learners, our approved centres, and their assessment and quality assurance teams.

FutureQuals offers a wide range of benefits and support for all of our educational products and services including:

- Vocational qualifications accredited by the UK regulators and recognised by employers, universities and professional bodies
- 24/7 online management systems for the registration of learners, ensuring highly efficient services and access to assessment and results
- A diverse range of qualifications
- A flexible approach to assessment
- A network of professionals who examine and quality assure our regulated qualifications and assessments
- Regular updates on new developments in education and training
- Unrivalled customer service support and extensive guidance materials

Introduction to Qualification Specification

Welcome to the FutureQuals Specification for the **FAQ Level 4 Diploma in Management and Leadership.** The aim of this specification is to provide our centres with guidance to assist in the administration, delivery and assessment of this qualification. It is recommended that you study this specification in detail and become fully conversant with the procedures and accompanying documents.

This specification is a live document and, as such, will be updated when required. Centres will be notified when changes are made. It is the responsibility of the approved centre to ensure the most up to date version of the Approved Specification is in use.

This document is copyright but may be copied by approved centres for the purpose of assessing learners. It may also be copied by learners for their own use.

1.2 Data Protection

FutureQuals is registered with the Data Protection Act and handles all data in accordance with the required procedures of the Act.

1.3 Complaints

FutureQuals aims to constantly monitor the levels of service provided and report on performance indicators on a regular basis. We will endeavour to be open about the levels of service we aim to offer all our customers.

However, if we fall short of expectations or our own standards, we want to give the opportunity for those affected to provide feedback so we can put things right.

Our Complaints Policy, which includes information on how to make a complaint, can be found on the FutureQuals website.

1.4 Enquiries

Any enquires relating to this qualification should be addressed to:

Future (Awards and Qualifications) Ltd
EMP House
Telford Way
Coalville
Leicestershire
LE67 3HE

Tel: 01530 836662

E-mail: qualifications@futurequals.com
Website: https://www.futurequals.com

Section Two

Qualification Information

2.1 Qualification Outline

Purpose and Aims
 The FAQ Level 4 Diploma in Management and Leadership qualification forms the technical knowledge component of the Level 4 Higher Apprenticeship in Management. This qualification has been designed for learners to develop the managerial and technical knowledge required to effectively manage people, processes and performance within an operational area of responsibility. The qualification is suitable for learners who work in, or want to work in management and leadership roles such as Manager, Area Manager, Business Manager, Quality Manager and Business Improvement Manager.

The Total Qualification Time (TQT) for this qualification is: 370
Guided Learning (GL) for this qualification is: 126 hours
Minimum credits required to achieve the qualification: 37
 Suitable for age ranges: 18+ 19+

Method of assessment: Portfolio of Evidence. This qualification is internally assessed and internally quality assured by Centre staff and externally quality assured by FutureQuals External Quality Advisors (EQAs).

If the method of assessment includes formative assessments such as practical tasks, written questions, multiple choice/short answer and knowledge assessment tasks where supervision of a learner assessment is required, assessment must be undertaken in line with the requirements set on in the FutureQuals Instructions for Conducting Controlled Assessments Policy. This document is published on the Policies and Procedures section of the FutureQuals website.

2.2 Additional Information

This qualification is regulated by the Office of the Qualifications and Examinations Regulator (Ofqual) in England https://register.ofqual.gov.uk and CCEA Regulation in Northern Ireland http://ccea.org.uk/regulation.

It may be eligible for public funding as determined by the Department for Education (DfE) under Sections 96 and 97 of the Learning and Skills Act 2000 and Department for the Economy in Northern Ireland.

For information regarding potential sources of funding please visit the following websites:
 https://hub.fasst.org.uk/Pages/default.aspx
https://www.gov.uk/government/organisations/education-and-skills-funding-agency
https://www.qiw.wales/
https://www.economy-ni.gov.uk/
Alternatively, contact your local funding office.

You should use the Qualification Accreditation Number (QAN) when you wish to seek public funding for your learners. Each component within a qualification will also have a unique reference number (Component Reference Number), which is listed in this specification. The qualification title and component reference numbers will appear on the learner's final certification document. Learners need to be made aware of this detail when they are recruited by the centre and registered with FutureQuals.

2.3 Progression

The FAQ Level 4 Diploma in Management and Leadership has been specifically designed to support progression on to other relevant qualifications, including the FAQ Level 5 Diploma in Management and Leadership and the FAQ Level 7 NVQ Diploma in Strategic Management and Leadership.

2.4 Assessment Principles

The FAQ Level 4 Diploma in Management and Leadership must be assessed according to the Instructus Assessment Principles and strategies.

2.5 Qualification Structure

To achieve the FAQ Level 4 Diploma in Management and Leadership learners must complete a minimum of 37 credits, including 26 credits from the mandatory components in Group M and a minimum of 11 optional credits from the optional components in Group O1.

Group M - Mandatory				
Component Number	URN	Component Name	Credit Value	Level
1	H/506/4454	Principles of building respectful and productive working relationships in organisations	7	4
2	Y/506/4452	Managing personal and professional development	6	4
3	L/506/4478	Principles of management and leadership in organisations	6	4
4	R/506/4479	Operational and Human Resource Planning and Management	7	4

Group O1 – Optional Components			
URN	Component Name	Credit Value	Level
M/506/4456	Business Performance Measurement and Improvement	6	4
J/506/3877	Corporate Social Responsibility and Sustainability	6	4
Y/506/3866	Budget Management	5	4
T/506/4457	Understanding organisational structure, culture, and values	6	4
R/506/3865	Staff Recruitment and Selection	5	4
F/506/4459	Principles of business strategic planning and development	5	4
T/506/4460	Stakeholder engagement and management	4	4
A/506/3682	Principles of Innovation and Change Management	5	4
D/506/1939	Understand the legal context of business	6	4
F/506/4185	Principles of Project Management	10	4
A/506/4167	Principles of Quality Management	4	4

2.6 Barred Components and Exemptions

Components with the same title at different levels, or components with the same content, cannot be combined in the same qualification.

Section Three

Assessment Principles and Component Specifications

3.1 Assessment Principles

FutureQuals qualifications will always include Assessment Principles whether they have been developed by a Sector Skills Council (SSC) or FutureQuals own. The latest version of the generic Assessment Principles are available on the FutureQuals website and should be used in conjunction with any qualification-specific assessment principles. You can view the principles here: https://www.futurequals.com/assets/AssessmentPrinciples.pdf.

Any Assessment Principles specific to a qualification will always be re-produced in the specification they relate to.

1.1 The Management & Leadership Assessment Strategy is designed to provide awarding organisations with a robust and flexible approach to deliver assessment for Management & Team Leading NVQs / SVQs and competence-based qualifications.

2.1 Awarding organisations will provide qualifications and quality assurance that support their delivery to all Management & Team Leading NVQs / SVQs and competence-based qualification assessment centres in line with regulatory requirements in England, Scotland, Wales and Northern Ireland.

2.2 Awarding organisations will regularly carry out standard risk assessments in each Management & Team Leading NVQ / SVQ and competence-based qualification assessment centre and manage all identified risks appropriately.

2.3 Awarding organisations will consistently apply external verification processes at all Management & Team Leading NVQ / SVQ and competence-based qualification assessment centres, underpinned by standard risk assessment and risk management processes.

2.4 Awarding organisations will supply the Skills CFA with quarterly reports on:

- ☐ Registration and achievement data at qualification level, and component level where available

3.1 Assessment of all components at any level of Management & Team Leading NVQs / SVQs and competence-based qualifications may be based on either candidate performance at work or through simulation, as necessary (See Section 4 below).

3.2 Components which have been imported by Skills CFA in their Management & Team Leading NVQs / SVQs and competence-based qualifications will be assessed in compliance with the imported assessment strategies.

4.1 Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from the awarding organisation for the use of any simulation. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

a. **Assessors, moderators** or **verifiers** who have achieved, or are working Towards achievement of, the appropriate regulatory body approved qualifications for assessment, moderation or verification;

OR

b. A **trainer**, **supervisor** or **manager**, elected by an employer, who must either:

• Have achieved, or be working towards achieving, appropriate regulatory body approved component qualifications for assessment, moderation or verification; **OR**

• Seek guidance and approval from their awarding organisation to demonstrate that the;

1) Organisation has appropriate processes in place to facilitate assessment, moderation or verification functions;

2) Trainer, supervisor or manager is able to map their assessment, moderation or verification skills and knowledge 100% to the National Occupational Standards upon which the qualifications above are based. This is known as the employer direct model in Scotland.

5.1 **Assessors** must be occupationally competent to make Management & Team Leading assessment judgements about the level and scope of individual candidate performance at work; and occupationally competent to make assessment judgements about the quality of assessment and the assessment process.

5.2 **External Moderators / Verifiers or Internal Moderators / Verifiers** must be occupationally competent to make Management & Team Leading moderation and verification judgements about the quality of assessment and the assessment process.

5.3 Awarding organisations will supply information on the requirements for internal and external moderation / verification activities to Management & Team Leading assessment centres.

5.4 Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Management & Team Leading competence to deliver these functions. Skills CFA recognises this can be achieved in many ways but must be recorded in individual continual professional development (CPD) records that are maintained in Management & Team Leading

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3.2 Component Specifications

Component 1: Principles of Building Respectful and Productive Working Relationships in Organisations

Component Reference Number: H/506/4454

Level: 4
Credit: 7
GL: 23

Component Summary

This component provides the learner with the knowledge and understanding of the practices of conflict resolution and management in the workplace.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the use of communication in creating effective working relationships.	1.1 Explain the principles of effective communications in the workplace.
	1.2 Assess the impact of ineffective communications on working relationships and performance standards.
	1.3 Explain the importance of giving and receiving constructive feedback to colleagues in the workplace.
2 Understand the practices of conflict resolution and conflict management in the workplace.	2.1 Analyse the sources of conflict in the workplace.
	2.2 Compare the concepts of conflict resolution and conflict management.
	2.3 Analyse techniques that may be used to manage and resolve conflict in the workplace.
3 Understand how to create a fair, supportive and rewarding working environment.	3.1 Assess the impact of Equality legislation on management practices.
	3.2 Assess the value of diversity in the workplace.
	3.3 Evaluate techniques for promoting equality and diversity in the work environment.
	3.4 Evaluate different methods of recognising achievement in the work environment.
	3.5 Explain the importance of recognising achievement in the work environment.
	3.6 Describe qualitative information and quantitative data that can be used to evaluate staff wellbeing.
	3.7 Evaluate initiatives that may be implemented to improve staff wellbeing.
	3.8 Evaluate different methods of developing a learning and innovation culture in an organisation.
	3.9 Assess the value of a learning and innovation culture to organisational performance.

Component 2: Managing Personal and Professional Development

Level: 4
Credit: 6
GL: 20

Component Summary

This component provides the learner with the knowledge and understanding required to implement and monitor a personal professional development plan.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the factors which influence the need for personal and professional development.	1.1 Analyse trends and developments in management that influence the need for professional development.
	1.2 Explain the importance of own values, career and personal goals in planning professional development.
	1.3 Analyse how changes in the work environment impact on the requirement for professional and personal development.
	1.4 Assess the benefits of planning own professional development.
2 Understand how to plan for personal and professional development.	2.1 Assess the value of professional networks and professional bodies in professional development.
	2.2 Describe how to develop an effective personal professional development plan.
	2.3 Explain the different learning styles and how they contribute to personal development planning.
	2.4 Explain how development activities are prioritized for personal and professional development.
	2.5 Assess the effectiveness of different development activities in improving personal performance.
3 Understand how to implement and monitor a personal professional development plan.	3.1 Explain how to implement a personal development plan.
	3.2 Assess the value of constructive feedback in implementing and monitoring the development plan.
	3.3 Explain how to monitor personal development and progression against objectives.

Component 3: Principles of Management and Leadership in Organisations

Level: 4
Credit: 6
GL: 20

Component Summary

This component provides the learner with the knowledge and understanding of the principles and practices of managing the performance of individuals.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the concept of leadership in organisations.	1.1 Compare the different levels of leadership in organisations.
	1.2 Compare the concepts of assigned leadership and emergent leadership.
	1.3 Distinguish between responsibility and accountability in leadership.
	1.4 Analyse the relationship between organisational vision, values and goals and leadership.
2 Understand the development of managerial effectiveness in organisations.	2.1 Describe the skills, attitudes and behaviours of effective leaders.
	2.2 Analyse different models and styles of leadership used in organisations.
	2.3 Analyse the practices of effective leaders and managers.
	2.4 Evaluate the role of delegation and empowerment in managerial effectiveness.
	2.5 Assess the impact of organisational structure, culture and climate on managerial effectiveness.
3 Understand the principles and practices of managing the performance of individuals in organisations.	3.1 Analyse the concept of performance management.
	3.2 Analyse the main tools used in performance management in organisations.
	3.3 Assess the value of mentoring and coaching in managing the performance of individuals in an organisation.
	3.4 Evaluate the role of effective communication in managing the performance of individuals in an organisation.

Component 4: Operational and Human Resource Planning and Management

Level: 4
Credit: 7
GL: 23

Component Summary

This component provides the learner with the knowledge and understanding of operation planning, physical resource management and health and safety requirements in organisations.

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the principles and practice of operational planning in organisations.	1.1 Assess the need for operational planning for different types of operations.
	1.2 Discuss the process of developing an operational plan for an organisation.
	1.3 Evaluate the use of different planning tools and techniques in the operational planning for an organisation.
	1.4 Assess the usefulness of different decision making techniques for operational planning decisions.
	1.5 Explain the purpose of risk analyses and risk management in operational planning.
	1.6 Assess how the interdependencies in work activities impact on operational planning and implementation.
2 Understand the principles and practices of physical resource management and work force planning.	2.1 Analyse the principles underpinning the management of physical resources.
	2.2 Explain methods of analysing the physical resource needs of an organisation.
	2.3 Analyse the potential impact of physical resource use on the environment and the actions that can be taken to minimise adverse effects.
	2.4 Analyse the factors to be considered in evaluating the quality and effectiveness of physical resources.
	2.5 Evaluate the use of different workforce planning models and approaches in determining the human resource requirements of an organisation.
	2.6 Analyse approaches to the identification and development of talent in different organisations.

3 Understand health and safety requirements in managing work activities in organisations.	3.1 Assess the impact of health and safety legislation on carrying out work activities in an organisation.
	3.2 Explain the purpose and benefits of carrying out a risk assessment when managing work activities.
	3.3 Assess the need to regularly review organisational health and safety policies and procedures.

Section Four

Centre Information

4.1 Centre Operations Manual

Information regarding centre support, learner registration, certification, reasonable adjustments and special consideration, complaints and appeals can be found in the [Centre Operations Manual](#).

4.2 Initial Assessment and Centre Learner Support

It is important that centres carry out an initial assessment to identify what knowledge and degree of skills the learner already has, and to identify if any support or reasonable adjustments will be required to enable them to be assessed fairly. This may include an assessment of minimum core personal skills in English, Mathematics and ICT.

This can be recorded so that centres can identify any associated needs and record this in appropriate plans. This will help in planning the learning programme. It is important at the initial assessment stage to ensure that learners commence a programme at the appropriate level.

Centres should assess each learner's potential and make a professional judgement about his/her ability to successfully complete the programme of study and achieve the qualification.

This assessment will need to take account of:

- the support available to the learner within the centre during his/her programme of study
- any specific support that might be necessary to allow the learner to access the assessment for the qualification
- diagnoses of the requirements of the learner, making use of specialist advice from external sources, as appropriate

Centres should identify any learner requirements and how they may affect successful completion of the particular programme. Programme teams should refer closely to the qualification specifications when discussing possible options for learners. They should advise learners on the appropriateness of the qualification to the learner and identify more suitable qualifications if necessary.

It is our intention that there should be no discrimination on the grounds of a protected characteristic. FutureQuals and approved centres have a responsibility to ensure that the process of assessment is robust and fair and allows a learner to show what they know and can do without compromising the assessment criteria.

Details on how to make adjustments for learners to ensure fair access to assessment is set out in the FutureQuals *Reasonable Adjustment and Special Considerations* policy.

4.3 Identification Requirements and Learner Authenticity

Identification Requirements

It is a centre's responsibility to confirm the identity of a learner as part of its registration process. A centre may do this by requesting sufficient personal data and a unique learner number (ULN) to ensure the learner can be clearly and uniquely identified.

The use of a ULN is now a mandatory requirement for publicly funded education and when submitting Individualised Learner Record (ILR) returns.

Centres must have systems in place to ensure that an individual completing an assessment is the person he/she is claiming to be.

Therefore, centres are required to ensure that each learner's identification is checked and that the type of identification provided by each learner is recorded before assessments are undertaken. FutureQuals External Quality Assurers will check this record during quality assurance monitoring activities.

The following would be permitted proof of a learner's Identity:

- a valid passport (any nationality)
- a signed UK photo card driving licence
- valid warrant card issued by HM Forces or the Police
- other photographic ID card, e.g. employee ID card (must be current employer), student ID card, travel card
- UK biometric residence permit

If an assessment is taking place in a learner's place of work and a learner is unable to supply any of the above, authentication of a learner's identity by a third-party representative, for example his/her line manager or a member of his/her workplace Human Resources Team can be accepted.

Learner Authenticity

It is a regulatory requirement that every assessment submission is authenticated as the work of the named learner whether submitted to a centre or to FutureQuals. Therefore, the FutureQuals Evidence Logbook requires that a declaration of authenticity is signed by a learner for each assessment submitted.

By signing the declaration a learner is acknowledging that if the statement is untrue, an assessment breach has been committed.

If a centre uses electronic systems or e-portfolios, an alternate form of formal declaration of authenticity must be completed with each assessment that is submitted.

If a centre uses its own version of the FutureQuals Evidence Logbook it must ensure that the version used captures the same information i.e. the assessment method, evidence reference, the assessor's

decision (including the signature and date to evidence completion assessment) and the learner's declaration of authenticity.

Any submission that does not carry a formal declaration of authenticity will not be externally quality assured. If an alternate formal declaration of authenticity is completed by a learner it must, as a minimum, include the statement:

Statement of confirmation of authenticity

I declare that the work presented for this component is entirely my own work.

The learner must sign and date the declaration.

4.4 Legal Considerations

Learners and centres should be aware of regulations affecting those who deal with children, young people and vulnerable adults in the country the qualification is delivered in.

The Prevent Duty Guidance available from the Home Office, makes clear the important role of further education leaders in stopping extremists seeking to radicalise learners on campuses and in supporting learners at risk of extremist influences.

Ofsted has responsibility for monitoring the Prevent Duty in publicly funded further education and skills providers.

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