

Management

Centre Handbook

OCR Level 5 Diploma in Management and Leadership

Entry code 10336

Version 2 Issued June 2017

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1. Qualification overview

Title	OCR Level 5 Diploma in Management and Leadership			
OCR entry code	10336	Qualification Number (QN)		600/8227/6
Age group approved	Pre-16	16-18	18+	19+
			✓	✓
This qualification is suitable for	<ul style="list-style-type: none"> Managers studying for further employment in any sector Candidates wishing to gain a Level 5 qualification to support further study in FE or Higher Education (HE) in the Management sector or any other sector or subject area 			
Entry requirements	There are no formal entry requirements for this qualification. However, it is expected that candidates will have significant experience of working at a middle management level to ensure they have the suitable foundations on which to further build their knowledge.			
Credit requirement	A minimum of 40 credits			
Structure and options	1 mandatory unit		10 credits	
	minimum credit from optional Group		30 credits	
	minimum credit to be achieved at level 5 or above		35 credits	
Assessment model	<p>This qualification is pass/fail.</p> <p>This qualification is internally assessed by centre assessors and quality assurance personnel and externally verified by OCR.</p>			
Last date to enter candidates	<p>This is the operational end date for the qualification.</p> <p>We will notify you at least six months before the qualification closes for entries and this information will be available on Ofqual's Register of Regulated Qualifications and our last entry/certification notification.</p>			

2. Introduction

This centre handbook provides information for centre staff involved in the planning, delivery and assessment of the following qualification.

OCR entry code	Title	Qualification Number
10336	OCR Level 5 Diploma in Management and Leadership	600/8227/6

The information provided in this handbook is correct at the time of production. Occasionally we may update it so please check the qualification [webpage](#) for the most up-to-date information.

This handbook contains what you need to know about the planning, delivery and assessment of this qualification. Staff involved in the delivery of this qualification must have access to and understand the requirements in this handbook.

For information on how to administer this qualification please follow the link to the Administration area <http://www.ocr.org.uk/administration/>.

You should ensure candidates are informed of the title and level of the qualification they have been entered for and that Oxford Cambridge and RSA Examinations (OCR) is the awarding body for their chosen qualification

2.1 How is the qualification assessed?

All units are internally assessed by centre staff and externally verified by us.

2.2 Delivery in Wales and Northern Ireland

Candidates in Wales or Northern Ireland should not be disadvantaged by terms, legislation or aspects of government that are different from those in England. Where such situations may occur, neutral terms have been used so that candidates may apply whatever is appropriate to their own situation.

We will provide handbooks and supporting documentation in English. Only answers provided in English will be assessed.

2.3 Funding

Funding arrangements can be subject to change. For the latest details about approval and funding eligibility, we recommend you visit the following websites:

For further details regarding approval and funding eligibility you should refer to the following websites:

[Register of Regulated Qualifications](#) – Ofqual’s register of regulated qualifications

[Education and Skills Funding Agency](#) for funding education and training for children, young people and adults in England

[Department for the Economy](#) for public funding in Northern Ireland

[Qualifications in Wales](#) database (QiW) for public funding in Wales.

Use the Ofqual Qualification Number (QN) when you’re looking for information on qualification eligibility for public funding.

If you have any queries about funding for this qualification email us at funding@ocr.org.uk.

2.4 Guided learning hours (GLH)

Guided learning hours indicate the approximate time (in hours) the tutor will spend supervising or directing study time and assessment.

This qualification requires the following guided learning hours:

OCR Level 5 NVQ Diploma in Management and Leadership – minimum 240 GLH.

2.5 Unique Learner Numbers(ULN) and the Personal Learning Record (PLR)

This is a personal ten-digit number, which is used to ensure learner achievement information can be provided to their Personal Learning Record (PLR). ULNs are provided and administered by the Learning Records Service (LRS).

Learners over the age of 14 in UK education or training can access the PLR using their ULN. Learners keep the same ULN to access their PLR throughout their lives and whatever their level of learning.

Candidates that claim certification for publically funded qualifications must have a valid ULN.

Where a candidate has a ULN, you must enter their ten digit number in the ULN field when making entries via Interchange. For candidates who do not have a ULN, a claim will still be accepted if you leave this field blank, but OCR will not be able to send these achievements to the PLR.

Further information about this can be found in the Administration area and at the Learner Records Service.

3. Qualification structure and entry requirements

3.1 About the qualification

The qualification provides valuable opportunities for candidates to:

- develop skills
- gain underpinning knowledge and understanding
- provide progression into senior management roles
- improve employability
- continue professional development.

3.2 Qualification aims/objectives

The Level 5 Diploma in Management and Leadership aims to:

- provide a relationship between the NVQ component and the underlying knowledge and skills required for this technical certificate component of the Higher Apprenticeship in Management and Leadership framework
- encourage progression by assisting in the development of knowledge and understanding required to undertake further study
- develop candidates' knowledge and understanding across a range of management concepts that are relevant to senior management
- provide the underpinning knowledge in order to develop candidates' abilities to set and support organisational objectives through a wide range of functions, such as informing strategic decision making or managing programmes of complimentary projects.

3.3 Entry requirements

There are no formal requirements for entry to this qualification.

This qualification is available to anyone who is capable of reaching the required standards. It has been developed free from any barriers that restrict access or progression thereby promoting equal opportunities.

However, it is expected that candidates will have significant experience of working at a middle management level to ensure they have the suitable foundations on which to further build their knowledge. Learners who have only limited prior experience in a management role may be better suited to the Level 3 Management qualifications.

All centre staff involved in the assessment or delivery of this qualification should understand the requirements of the qualification and match them to the needs and capabilities of individual learners before entering them as candidates for this qualification.

3.4 Recognition of Prior Learning

Recognition of prior learning (RPL) is the process for recognising learning that never received formal recognition through a qualification or certification. This includes knowledge and skills gained in school, college or university and outside formal learning situations. Evidence can draw on any aspect of a candidate's prior experience including:

- domestic/family life
- education
- training
- work activities
- voluntary activities.

We encourage the use of RPL and your centre should advise learners that they can bring forward any relevant learning (gained either informally or formally) so that it can be assessed against the assessment criteria specified in the unit, or units, the learner aims to complete. It is important that your centre make it clear to learners that the RPL process is concerned with how the learner has acquired the knowledge, understanding or skills, it does not mean the learner is exempt from the assessment e.g. mandatory exams, practical/theory tests or assignments.

The currency of knowledge and ability is often important when recognising skills and competences. Where assessment is devolved to centres through assignments or portfolio-building, centre staff must judge the relevance of prior learning in all its aspects (including currency) to the qualification being assessed, before we will quality assure and authorise certification.

Evidence obtained through the RPL process must be assessed, to the same rigorous quality as evidence obtained through any other process.

3.5 Progression

Candidates achieving the OCR Level 5 Diploma in Management and Leadership will have the knowledge and understanding needed to progress into employment in a senior management role.

They could progress to further vocational study in their chosen sector, for example, to Level 7 NVQ Diploma in Management or to Higher Education.

3.6 Qualification structure and rules of combination

This qualification has a rule of combination (ROC).

The ROC specifies how units can be combined and the overall number of credits to be achieved for the qualification to be awarded.

Candidates do not have to achieve units in any particular order and learning programmes should be tailored to meet individual needs. It is recommended that, wherever possible, you deliver this qualification holistically by identifying opportunities to link the units and levels.

If a candidate is not able to complete the full qualification, we will issue unit certificates listing the unit(s) and credit achieved.

When combining units for the chosen qualification, it is your responsibility to ensure the rule of combination is followed.

The units are available to download from our qualification [webpage](#).

3.6.1 Rules of combination for OCR Level 5 Diploma in Management and Leadership

To achieve this qualification a candidate must achieve the following:

a minimum credit of	40
total credit from mandatory Group	10
minimum credit from optional Group	30
minimum credit to be achieved at level 5 or above the level qualification	35

There are no barred combinations, equivalencies or exemptions for this qualification.

3.6.2 Table of units for OCR Level 5 Diploma in Management and Leadership

The following table contains the mandatory and optional units. The units are available to download from the [webpage](#).

OCR Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Mandatory unit					
1	Principles of management and leadership	R/602/1366	10	5	60
Optional units					
2	Managing communications at work	F/602/1878	5	4	30
3	Personal development	J/602/1431	5	5	30
4	Leadership in your organisation	M/602/1438	5	5	30
5	Management of change	A/602/1443	5	5	30
6	Managing projects	R/602/1464	10	5	60
7	Developing successful business teams	D/602/1466	5	5	30
8	Management decision making	K/602/2054	10	5	60
9	Recruitment and selection	J/602/1879	5	5	30
10	Managing staff performance	M/602/1469	5	5	30
11	Quality management in an organisation	Y/602/1479	5	6	30
12	Managing budgets	R/602/1481	5	5	30
13	Managing innovation in an organisation	D/602/1483	5	6	30
14	Principles of strategic management	A/602/1488	5	6	30

4. Centre assessor and quality assurance personnel requirements

4.1 Assessment centre requirements

The occupational expertise of those undertaking the roles of assessment and internal quality assurance is one of the key factors underpinning valid, fair and reliable assessment. The integrity of assessments and quality assurance is of paramount importance.

The assessment centre must:

- ensure there are sufficient trained and/or qualified personnel to assess the number of candidates they anticipate enrolling for the course/qualification
- ensure there are sufficient trained and/or qualified personnel to internally quality assure for the number of candidates and assessors
- put systems and internal quality assurance personnel in place to ensure that all assessments are valid, reliable, authentic and sufficient and provide quality assured training for centre personnel taking part in assessment
- ensure there is a system of standardisation in place to ensure that all assessments are consistent and fair
- ensure those undertaking the roles of quality assurance and assessment maintain their skills, knowledge and understanding regarding assessment and quality assurance and the associated qualification
- ensure that there is sufficient time to conduct effective assessment and internal quality assurance.

4.2 Centre Assessors

Assessment is an activity that can be performed by a dedicated individual or as part of an individual's wider role e.g. tutor, supervisor, manager.

The assessment centre must ensure that those making assessment decisions have the necessary expertise to do so, which must include assessors holding, or be working towards, appropriate qualifications, such as:

- Award in Assessing Competence in the Work Environment
- Award in Assessing Vocationally Related Achievement
- Certificate in Assessing Vocational Achievement.
- Assess candidates using a range of methods (A1)
- D32/33

Where centres use trained assessors they must provide evidence, to OCR, of the training undertaken.

All centre assessors must:

- have the role of assessor identified within their role profile; where assessment forms part of an individual's role
- be occupationally knowledgeable in the units they are assessing. This means that each assessor must, according to current sector practice, be knowledgeable in the functions covered by the units they are assessing. Assessors must be able to demonstrate consistent application of the required knowledge and understanding, in the context of a recent role directly related to the units they are assessing as a practitioner, trainer or manager
- be familiar with the units that relate to the qualification and must be able to interpret and make judgements on current working practices and technologies within the area of work
- understand and apply OCR documenting requirements.

4.3 Internal quality assurance personnel (IQA)

Internal quality assurance is an activity that can be performed by dedicated individuals or as part of an individual's wider role.

All internal quality assurance personnel must:

- be qualified in quality assurance. Appropriate qualifications would include: Award in the Internal Quality Assurance of Assessment Processes and Practice, or as a verifier V1/D34. Where Centres use trained quality assurance personnel, they must provide evidence to OCR of the training undertaken
- be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role
- sample the assessment process to ensure accurate and consistent decisions between centre assessors and against the qualification standards
- resolve differences and conflicts on assessment decisions
- ensure that assessment has been carried out by persons who are occupationally knowledgeable within the area they are assessing
- maintain their occupational knowledge by actively engaging in continuous professional development activities in order to keep up-to-date with developments within the sector
- be responsible for corrective measures identified by OCR.

5. Assessment

5.1 Assessment: How it works

Tutors must make sure that the teaching content for each criterion is fully addressed so that candidates can effectively meet the requirements.

The identified teaching content in the unit is not exhaustive and may be expanded upon or tailored to particular contexts in which the unit is being taught and the assessment criteria is applied.

We recommend that teaching and development of subject content and associated skills be referenced to real-life situations, vocationally experienced delivery personnel, and real-life case situations.

When centre tutors are satisfied that the candidate has met all of the requirements for a unit, they must confirm this by signing an evidence record sheet for that unit to show that the assessment process is complete.

The [OCR Fees List](#) provides details of all fees applicable to these units and qualification.

5.2 Assessment and the Data Protection Act

Centre assessors, who are responsible for assessing candidates' evidence for internally assessed units, must make sure that candidates know they must comply with the Data Protection Act when they are producing work for assessment. Candidates must not reference another individual's personal details in any evidence produced for assessment. It is the candidate's responsibility to make sure evidence that includes another individual's personal details is anonymised.

5.3 Authentication

Tutors must be confident that the work they mark is the candidate's own. This does not mean that a candidate must be supervised throughout the completion of all work but the tutor must exercise sufficient supervision, or introduce sufficient checks, to be in a position to judge the authenticity of the candidate's work.

Wherever possible, the tutor should discuss work-in-progress with candidates. This will not only ensure that work is underway in a planned and timely manner but will also provide opportunities for tutors to check authenticity of the work and provide general feedback.

Where permitted by the specification, the work of individual candidates may be informed by working with others, for example, in undertaking research, but candidates must provide an individual response as part of any task outcome.

Please note: Your centre must confirm to us that the evidence produced by candidates is authentic. The Evidence Record Sheet includes a declaration for candidates to sign and is available from the webpage.

Plagiarism

Candidates must not plagiarise. Plagiarism is the submission of another's work as one's own and/or failure to acknowledge the source correctly. Plagiarism is considered to be malpractice and could lead to the candidate being disqualified. Plagiarism sometimes occurs innocently when candidates are unaware of the need to reference or acknowledge their sources. It is therefore important that centres ensure that candidates understand that work they submit must be their own and that they understand the meaning of plagiarism and what penalties may be applied. Candidates may refer to research, quotations or evidence but they must list their sources.

Resubmitting work for assessment

If the tutor/assessor and the candidate feel they have not performed at their best during the assessment, the candidate can, at the tutor/assessor's discretion, improve their work and resubmit it for assessment. The tutor/assessor must ensure it is in the candidate's interests to reattempt the assessment.

Whilst there are no restrictions on the number of times that a candidate can resubmit evidence, it is the responsibility of the tutor/assessor to ensure that the details of any feedback and guidance are clearly recorded. Any advice to individual candidates over and above that given to the class as a whole should be recorded.

Centres must not encourage multiple resubmissions of work. Resubmission at the centre assessment stage is intended to allow the candidate to reflect on feedback and improve, but not to be an iterative process where they make small modifications through ongoing feedback to eventually achieve the desired level.

5.4 Direct Claim Status (DCS)

In recognition of centres having achieved a high level of internal verification and management of their quality assurance systems OCR will allow a centre to have direct claims status (DCS). This is when centres can claim certification for identified qualifications in between their external verifier visits. Centres consistently met all the required criteria and delivered high quality assessment for the individual qualification over approximately a twelve month period could be awarded DCS.

Please see the [OCR datasheet Direct Claims Status for Verified Qualifications Certification – information for centres.](#)

In the centre report, the OCR external verifier may recommend your centre for direct claim status.

If OCR agrees with the EV's recommendation, the centre will be sent:

- DCS offer letter
- DCS agreement (for signing by the accountable officer)
- Authorisation letter (detailing qualifications approved for DCS).

Once the centre returns the appropriate documentation OCR will notify them that they can use DCS.

Each person who the external verifier has checked and who then signs the DCS declaration form will be eligible to submit claims for the qualifications in question.

Once the centre has submitted claims, the external verifier will select a sample of candidates' work, which will be reviewed at the next external verifier visit. The centre must retain all portfolios claimed with direct claim status until the next external verifier visit. Certificates issued under 'Direct Claim' procedures will remain provisional until such time as they are confirmed through a verification visit.

All candidates including any who leave the centre following certification, must be asked to retain their evidence, portfolios and cumulative assessment record (CAR) for one year as they may be required for audit.

Withdrawal of DCS

DCS may be withdrawn at any time if in the opinion of OCR any of the centre information given is no longer current, the conditions of the approval are not met or the quality of assessment and quality assurance at the centre is compromised.

Re-instatement of DCS

OCR will apply one of the following two routes:

- reinstate DCS at the next External Verifier visit if all action points have been completed
- require the centre to go through the full DCS process and meet the DCS criteria again.

The route for reinstatement will depend upon which of the DCS criteria are not in place at the point of DCS withdrawal.

Critical points regarding Direct Claim Status

- Certificates issued under 'Direct Claim' procedures will remain provisional until such time as they are confirmed through a verification visit.
- Centres must ensure that a verification visit takes place before the end date of a qualification and that all candidates are included at the final visit.
- DCS will be withdrawn after the final visit has taken place for the qualification.
- Centres must keep assessment and quality assurance records relating to all candidates for at least three years from the date of the claim.
- The decision on whether DCS is awarded, retained or withdrawn lies with OCR.

5.5 Initial assessment of candidates

It is important for centres to carry out an initial assessment that identifies the knowledge and understanding candidates already have and any potential gaps that need to be addressed. This will also:

- allow centre assessors to plan the assessment
- help candidates to identify units which they might find most appropriate
- enable candidates to understand the best place to start collecting evidence.

See section 3.3 for information about entry requirements and prior learning and section 3.4 for Recognition of Prior Learning.

5.6 Assessment planning

Centre Assessors must take responsibility for assessment planning with candidates. This will involve agreeing a number of issues with candidates including:

- agreeing the best source of evidence to use for particular units
- determining the best way of assessing the candidate
- confirming the best times, dates and places for the assessments to take place
- agreeing a flexible timetable for unit completion and assessment.

Centre Assessors must make a note of their assessment planning and regularly give feedback to candidates.

5.7 Making assessment decisions

It is not necessary for candidates to meet all the criteria every time they carry out an activity but **it is necessary that all candidates produce evidence to demonstrate they have met all assessment criteria.**

In line with the Learning and Development standards, centre assessors should:

- plan with the candidates
- assess candidate knowledge and understanding
- look at the evidence
- question and give feedback to the candidate working towards the qualifications being assessed.

All criteria in the unit must be completed before the centre assessor can sign the unit off as complete.

5.8 Methods of assessment

It is the centre assessor's responsibility to agree the best method of assessing a candidate in relation to their individual circumstances. The methods agreed must be:

- valid
- reliable
- safe and manageable
- suitable to the needs of the candidate.

Valid

A valid assessment method is one that is capable of measuring the knowledge or skills in question. For example, a written test cannot measure a candidate's ability to work well with others.

Validity can also be compromised if a candidate does not understand what is required of them. For example, one valid method of assessing a candidate's knowledge and understanding is to question them. If the questions posed are not relevant to the qualification or difficult for the candidate to understand, not in terms of the content but the way they are phrased, the validity of the assessment method is questionable.

As well as assessment methods being valid, the evidence presented must also be valid: for example, it would not be appropriate to present an organisation's policy on "data protection" as evidence towards the requirement of unit 41 "Use and develop methods and systems to communicate records and report", unless developed by the candidate, as it would not allow for valid assessment. It may be more appropriate for the candidate and internal centre assessor to have a discussion about the policy and for the candidate to explain how it is relevant, illustrated with examples. This discussion could then be assessed by the internal centre assessor and recorded as evidence.

Reliable

A reliable method of assessment will produce consistent results for different centre assessors on each assessment occasion. Internal quality assurance personnel must make sure that all centre assessors' decisions are consistent.

Safe and manageable

Centre assessors and internal quality assurance personnel must make sure that the assessment methods are safe and manageable and do not put unnecessary demands on the candidate and/or the organisation they work for.

Suitable to the needs of the candidate

OCR has tried to make sure that achievement of this qualification is free from constraints outside the requirements of the unit.

For candidates who have access requirements please see section [Access arrangements and special consideration](#).

If centre staff think that any aspect of this qualification unfairly restricts access and progression, they should talk to their OCR external verifier about this.

OCR in partnership with the Skills CFA, sector body for Management and Leadership and other awarding bodies have identified the main assessment methods which are suitable for this qualification:

- **examining the evidence** by a centre assessor
- **questioning** the candidate or witness by a centre assessor
- **professional discussion.**

In some situations, the centre assessor can arrange a formal discussion with the candidate to provide evidence of the candidate's performance and knowledge (see section [Professional discussion](#)).

5.9 Examining the evidence

Approved and qualified centre assessors (see [Centre assessor and Quality assurance personnel requirements](#)) must examine the evidence for the assessment of this qualification.

Evidence can:

- reflect how the candidate carried out the process/activity
- be the product of a candidate's work demonstrating how the required knowledge and understanding is applied
- be a product relating to the candidate's competence.

For example: The product of a candidate's work could be, for example, email messages to or from colleagues, project reports, case studies, service user/carer testimony. It is the centre assessor's responsibility to make sure that the evidence a candidate submits for assessment is authentic and meets the requirements of the qualification.

Candidates must not reference another individual's personal details in any evidence produced for summative assessment. It is the candidate's responsibility to ensure that any evidence which includes another individual's personal details is anonymised to comply with the Data Protection Act.

After the centre assessor has examined the evidence, they must record an assessment decision and the justification for the decision. They should also give feedback to the candidate.

5.10 Questioning

Approved and qualified centre assessors (see [Centre assessor and Quality assurance personnel requirements](#)) may question a candidate or witness for the assessment of this qualification.

Questioning the candidate is normally an on-going part of the assessment process, and is necessary to:

- test a candidate's knowledge of facts and procedures
- check if a candidate understands principles and theories.

Centre assessors should ask open questions; that is questions where the candidate has to give an answer (other than 'yes' or 'no'). Centre assessors should also be careful to avoid complicated questions which may confuse the candidate.

It is important that centre assessors record assessment decisions after they have questioned the candidate. They must record enough information to justify the decisions they make. This does not mean that centre assessors must record, word for word, the questions put to the candidate and the answers the candidate gives. However, they must record enough information about what they asked and how the candidate replied, to allow the assessment to be verified.

5.11 Professional discussion

Professional discussion is a structured, planned and in-depth discussion recorded by the centre assessor. It allows the candidate to present evidence of competence and to demonstrate skills, knowledge and understanding through discussing the evidence and showing how it meets the requirements of the qualification. The centre assessor should guide the discussion by using open questioning, active listening and knowledge of the standards.

5.12 Performance evidence

Performance evidence provides proof of what a candidate can do. Sometimes, performance evidence can also provide inferred evidence of what a candidate knows. Performance evidence can take the form of the following:

- products or outcomes of the candidate's work (for example, things that the candidate produced or worked on). The evidence presented for assessment may be the actual product or a record of the product
- proof of the way the candidate carried out their work (that is, the process they went through). An internal centre assessor's observation of a candidate provides performance evidence and would be suitable for this qualification.

5.13 Where evidence comes from

Evidence may come from a number of different sources, for example:

- performance and knowledge evidence may come from a candidate carrying out workplace activities
- knowledge evidence may come from answering the centre assessor's questions.

5.14 Medium that can be used

Evidence can take many forms, for example, written work, audio/visual recordings, digitally formatted documents, a product or photographs (of a product). It is not permitted to use photographs of children without parental permission.

5.15 Amount of evidence needed

It is difficult to give detailed guidance regarding the amount of evidence needed, as it depends on the type of evidence collected and the judgement of centre assessors.

The quality and breadth of evidence provided should enable the centre assessor to confirm the candidate has the required knowledge and understanding.

5.16 Cumulative assessment record (CAR)

A cumulative assessment record (CAR) is the candidate's record of the evidence that has been assessed and accepted as proof of competence by the internal assessor.

Templates for the recording documents to be used in a **cumulative assessment record (CAR) may be provided by OCR** or they may be designed by the centre and approved during the approval visit or by the OCR external verifier. The forms can be in any format but as a minimum they must contain the information identified on OCR's website. For more details refer to the Administration area, assessment, <http://www.ocr.org.uk/administration/>.

Candidates must record, on the relevant documents, all the evidence presented for assessment. These records will also be used by the centre assessor and internal quality assurance personnel to record assessment decisions. They can also be used to record progress towards the achievement of units.

Filling in these documents, is an on-going process involving discussion and agreement between the candidate and their centre assessor. The candidate should fill in and keep the CAR while working towards their qualification. A centre assessor may help the candidate complete the CAR if necessary. It may be viewed by the centre's internal quality assurance personnel and OCR external verifier for sampling purposes as part of the quality assurance process.

Examples of other forms and recording documents are provided to assist centres and candidates as they work towards this qualification, please see the [OCR website](#).

5.17 Verification – how it works

5.17.1 Internal quality assurance

It is the centre's responsibility to appoint internal quality assurance personnel to manage the internal quality assurance process. The purpose of internal quality assurance is to make sure and show that assessment is valid and consistent, through monitoring and sampling assessment decisions.

5.17.2 External verification

OCR will allocate an external verifier who will visit the centre to verify assessments and internal quality assurance.

External verifiers will want to interview candidates, centre assessors and internal quality assurance personnel during their visits. Assessment records and evidence for all candidates must also be available for external verifiers to see if they ask to. It is the centre assessor's (and not the quality assurance personnel or external verifiers') responsibility to 'sign off' each unit.

Centres should have the following available for each external verification visit:

- a list of candidates registered for this qualification, together with their achievements to date plus certification records
- access to evidence (for example, up-to-date portfolios) and CARs
- access to OCR's on-line claim system (Interchange)
- relevant centre assessors and selected candidates as requested by the external verifier (EV), including those whose certificates have been claimed through Direct Claims Status (DCS)
- all portfolios relating to certificates claimed through DCS should be accessible
- a copy of the external verifier's last visit report
- a sample signature list for all centre assessors and internal quality assurance personnel
- details of training, curriculum vitae and certificates for new members of the assessment team
- all **centre records** (see [Centre records – assessment and verification](#) for more details)
- evidence of achieving action points and/or recommendations since the last external verifier visit
- notes of any action carried out following particular points mentioned by an external verifier in any correspondence since their last visit

- recommendations to the external verifier
- if recorded evidence is used, ensure all recordings and appropriate playback equipment is available.

5.17.3 Centre records – assessment and verification

Centres must make sure that assessment and quality assurance records are available for external verification purposes. These must record the following minimum information:

- candidate's name and location
- the title and level of the qualification they are taking
- candidate's start date on the programme and confirmation of candidate entry
- name of the centre assessor
- name of the internal quality assurance personnel
- date and outcome of the initial assessment of the candidate
- dates and details of candidate reviews and feedback sessions
- assessment method(s) used
- dates of all assessments and their outcomes (that is, the decision whether the candidate has met the requirements or not) cross-referenced to the unit
- enough detail of the assessments to justify the decision made
- an indication of frequency of, and reason for, the use of simulation, if used
- dates and outcomes of internal quality assurance
- action resulting from internal quality assurance
- certification.

Records should show formative assessment decisions (on-going decision making), summative assessment decisions and feedback to the candidate.

6. Delivery

6.1 Mode of delivery

Centres are free to deliver this qualification using any mode of delivery that meets the needs of their candidates. Whatever mode of delivery is used, centres must ensure that candidates have appropriate access to the resources detailed in the units.

Centres should consider the candidates' complete learning experience when designing learning programmes. This is particularly important in relation to candidates studying part time alongside real work commitments where candidates may bring with them a wealth of experience that should be utilised to maximum effect by centre staff.

OCR does not specify the mode of study or a time limit for the achievement of this qualification other than the last entry/last certification dates. We will notify you at least six months before the qualification closes for entries and this information will be available on Ofqual's Register of Regulated Qualifications and our Last entry/certification notification.

6.2 Wider issues

This qualification provides opportunities for centres to develop candidates' understanding of spiritual, moral, ethical, social and cultural issues and heighten candidates' awareness of environmental issues, health and safety considerations and European developments.

Spiritual, moral, ethical, social and cultural issues

Tutors delivering a programme of learning leading towards this qualification would have opportunities to develop candidates' understanding of spiritual, moral, ethical, social, legislative, economic and cultural issues, for example through:

- the rights of an individual to be informed of and to access data held about them by an organisation (Data Protection Act)
- the copyrights of individuals and organisations over published electronic data
- confidentiality of information (employer and clients); the need to ensure data security
- computer misuse
- responsibility of honesty and accuracy in recording, manipulating and presenting data.

Environmental issues, health and safety considerations and European developments

Tutors delivering a programme of learning leading towards this qualification would have opportunities to develop candidates' understanding of health and safety issues, environmental issues and European developments such as:

- correct procedures for working with IT equipment
- print consumables
- energy saving software.

6.3 Centre resources and requirements

OCR strongly advises that teaching and development of subject content and associated skills be referenced to real vocational situations, through the utilisation of appropriate work-based contact, vocationally experienced delivery personnel, and real-life case studies.

Candidates should be encouraged to read around the subject and have an appropriate knowledge of the application of the appropriate legislation (e.g. Health and Safety).

In addition, each unit will contain guidance on the resources required. Staff conducting assessment must understand fully the requirements of this qualification. Centres should ensure that appropriate physical resources are made available to candidates.

6.4 Access arrangements and special consideration

There can be adjustments to standard assessment arrangements on the basis of the individual needs of candidates.

It is important, therefore, that centres identify as early as possible whether candidates have disabilities or particular difficulties that will put them at a disadvantage in the assessment situation and select an appropriate qualification or adjustment that will allow them to demonstrate attainment.

The responsibility for providing adjustments to assessment is shared between the centre and OCR. Please read the JCQ booklet *Access Arrangements and Reasonable Adjustments* at www.jcq.org.uk.

For further guidance on access arrangements and special consideration refer to the Exams Officers area of the [OCR website](http://www.ocr.org.uk).

If the tutor/assessor thinks any aspect of this qualification unfairly restricts access and progression, please email or call the OCR Customer Contact Centre.

6.5 Reporting suspected malpractice

It is the responsibility of the Head of Centre¹ to report all cases of suspected malpractice involving centre staff or candidates. A JCQ Report of Suspected Malpractice form (JCQ/M1 for candidate suspected malpractice or JCQ/M2a for staff suspected malpractice) is available to download from the [JCQ website](#) and should be completed as soon as possible and emailed to malpractice@ocr.org.uk.

When asked to do so by OCR, Heads of Centres are required to investigate instances of malpractice promptly and report the outcomes to OCR.

Further information regarding reporting and investigating suspected malpractice and the possible sanctions and penalties which could be imposed, is contained in the JCQ publication: *General and Vocational Qualifications – Suspected Malpractice in Examinations and Assessments*; this is available from the [JCQ website](#). Centres may also like to refer to the [OCR Website](#) for more details.

¹ This is the most senior officer in the organisation, directly responsible for the delivery of OCR qualifications, e.g. the Head Teacher or Principal of a school/college. The Head of Centre accepts full responsibility for the correct administration and conduct of OCR exams

7. Certification

Candidates who achieve the full qualification will receive:

- a unit certificate listing the unit or units achieved, with their related credit value and the unit reference number(s)
- a certificate giving the full qualification title and the qualification number.

Candidates achieving one or more units but who do not meet the credit requirements for a full qualification will receive a certificate listing the units they have achieved along with their credit value.

7.1 Claiming certificates

Certificates will be issued directly to your centre for successful candidates. In order to ensure that these are automatically issued, you must ensure that the OCR candidate number is **always** used where a candidate has already achieved one or more units. For more details refer to the Administration area, certificates, <http://www.ocr.org.uk/administration/>.

7.2 Enquiries about results

Under certain circumstances, centres may wish to query the result(s) issued to one or more candidates.

To find out more about this, please refer to the JCQ *Post-Results Services* booklet and the Administration area, post results services, <http://www.ocr.org.uk/administration/>

7.3 Replacement certificates

For details on replacement certificates refer to the Administration area, certificates, <http://www.ocr.org.uk/administration/>

8. Apprenticeship information

8.1 How do I get a certificate for the apprenticeship?

The Higher Apprenticeship is certificated by Skills CFA. For full details of frameworks please see the Skills CFA website <http://www.skillscfa.org/> alternatively all apprenticeship frameworks are available from <https://www.getingofar.gov.uk/>

8.2 About the apprenticeships

This higher apprenticeship programme is designed for managers who are operating at level 5, who play an integral role in setting and supporting organisational objectives through a wide range of functions, such as: informing strategic decisions making, managing budgets, planning and implementing change, leading teams and managing programmes of complimentary projects.

The apprenticeship is made up of qualifications and learning that will provide management and leadership higher apprentices with the skills and knowledge required to become competent in their chosen job role. The framework includes a balance of content in management and leadership areas, designed to ensure apprentices have an appropriate set of skills to operate in their specific chosen job role.

The framework is suitable for those in a range of roles and industries for example manager; senior manager; head of department; director.

Candidates who achieve the Higher Apprenticeship in Management and Leadership will have the skills they need, tailored to the sector of their choice. They will be familiar with 'best practice' as well as an organisation's business procedures and objectives. They will be prepared for progression opportunities in employment or to Further/Higher Education.

8.3 What makes up an apprenticeship?

The minimum Guided Learning Hours (GLH) for the Leadership and Management Higher Apprenticeship is 606 hours.

It is expected that the Apprenticeship will last a minimum of 24 months, but a flexible approach to learning is encouraged for learners who have prior learning or experience. To comply with Skills Funding Agency requirements, learners aged 16-18 must spend a minimum of 12 months on this Apprenticeship programme from August 2012. Learners aged 19+ must also spend a minimum of 12 months on this Apprenticeship programme, unless they have documented evidence of accredited or recognised prior learning. Where documented evidence of accredited or recognised prior learning is provided, learners aged 19+ must still spend a minimum of six months on this apprenticeship.

Each apprenticeship is made up of:

- Competence qualification i.e. Level 5 NVQ Diploma in Management
- Knowledge qualification i.e. Level 5 Diploma in Management and Leadership
- Employee Rights and Responsibilities - Assessed using Skills CFA Employment Rights and Responsibilities workbook. This can be downloaded from <http://www.skillscfa.org/>.

9. Support

9.1 OCR assessment documents

The OCR assessment documents for use in Candidates assessment record for the OCR Level 5 Diploma in Management and Leadership include:

- Assessment decision record
- Assessment feedback record
- Assessment planning record
- Evidence Record Sheet
- Evidence summary sheet
- Record of achievement
- Witness list

Centres must use these, or an approved equivalent form capturing the same information for the summative assessment of candidates. These forms are available to download from the Management and Leadership qualification page of the [OCR website](#).

Evidence checklists

OCR provides evidence checklists which are available to download.

In the Evidence Checklists, the examples given are indicative of the learning context at each level and are not intended to form a prescriptive list for the purpose of assessment.

Evidence Record Sheet (one to be completed for each verified unit)

For verified units this form (or a suitable alternative) is mandatory for candidates' CARs (see cumulative assessment record). It is the vehicle for linking the evidence to the assessment criteria. The evidence for the unit should be listed (as it is gathered) down the left hand side. The Evidence Record Sheet, where possible, should be completed by the candidate with the help of an assessor if necessary.

You are free to design alternative recording sheets for your candidates and centre to use. The sheets must meet certain criteria and be approved by your external verifier. Full details on the design and approval of recording sheets visit the Administration area, assessment <http://www.ocr.org.uk/administration/>.

Evidence Summary Sheet (one for each verified unit)

This form is designed to list all of the assessed evidence, indicating its reference code and where it can be found. It also includes a column for identifying which method of assessment the assessor has used for each piece of evidence. It allows the candidate and assessor to see at a glance where to find each piece of evidence and which method of assessment has been used. It also includes a space at the top for the candidate's OCR entry number. The use of this form is **optional**.

Assessment Planning Record

This form (or a suitable alternative) is mandatory for centre records. It is designed to be completed by an assessor to capture when and how assessment planning took place.

Assessment Decision Record

This form (or a suitable alternative) is mandatory for centre records. It is designed to be completed by an assessor to capture the breadth of assessment methods used and the reasoning behind assessment decisions.

Assessment Feedback Record

This form (or a suitable alternative) is mandatory for centre records. It is designed to be completed by an assessor to provide candidates with written feedback after an assessment has been carried out. It can also be used to capture any feedback the candidate gives to the assessor. Please note: the assessment planning, assessment decision and assessment feedback records do not need to be separate documents. One or two forms which combine these activities can be used as long as each stage is clearly recorded.

Witness List

This form is designed to capture all the necessary information about witnesses who have contributed to a candidate's evidence of competence. The use of this form is **optional**.

Record of Achievement

For use by candidates to record progress through their chosen units. The use of this form is **optional**.

9.2 Our professional development programme (CPD)

We are constantly looking for ways to improve the support we offer to tutors and to make our professional development programme more accessible and convenient to all.

To find out more about what is available, please visit our website at <https://www.cpdhub.ocr.org.uk/>.

9.3 Documents and links

OCR

OCR's Administration area <http://www.ocr.org.uk/administration/>

What is malpractice?

JCQ Publications at <http://www.jcq.org.uk>

Access Arrangements and Special Consideration

Suspected Malpractice in Examinations and Assessments

Ofqual at <http://ofqual.gov.uk/how-we-regulate/regulatory-documents/>

10. Administration and other information

10.1 Administration

For information on how to administer this qualification please follow the link to OCR's Administration area, www.ocr.org.uk/administration/.

You will find all the details about how the qualifications run, what you need to do and when. It covers everything from becoming an OCR centre, to making entries, claiming certificates, special arrangements and contacting us for advice.

10.2 National Occupational Standards (NOS) Mapping

This qualification provides a key progression route between education and employment or further study/training leading to employment. They are directly relevant to the needs of employers and relate to [National Occupational Standards \(NOS\)](#) in Management and Leadership

Each unit contains details of the signposting to the NOS.

10.3 Avoidance of bias

We have taken great care in the preparation of this qualification to avoid bias of any kind. Special focus is given to the eight strands of the Equality Act with the aim of ensuring direct and indirect discrimination is avoided.

10.4 Regulatory requirements

We will assess this qualification in accordance with the qualifications regulator's General Conditions of Recognition

11. Contacting us

11.1 Feedback and enquiries

If centres have any comments or enquiries about the qualifications in this handbook, please contact the Customer Contact Centre:

Write to: Customer Contact Centre
OCR
Progress House
Westwood Way
Coventry
CV4 8JQ

Telephone: 024 76 851509
Fax: 024 76 421944
Email: vocational.qualified@ocr.org.uk

Alternatively, you could visit OCR's website at www.ocr.org.uk for further information about OCR qualifications.

11.2 Complaints

All complaints will be handled sensitively and speedily and used to inform how our service to customers can be improved.

If you are not satisfied with a product or service we have provided please follow the process set out in our [complaints policy](#).

You can:

write to: Director of Assessment Standards
OCR
1 Hills Road
Cambridge
CB1 2EU

email: complaints@ocr.org.uk

Contact our Customer Contact Centre on:

telephone: 024 76 851509
fax: 024 76 421944

12 Key updates to this handbook

Section	Title of section and change	Version and date issued
All sections	<p>Amended reference to the Admin Guide to the new Administration area on the OCR website and removed the section on administration arrangements.</p> <p>References to the Qualifications and Credit Framework (QCF) have been changed to Regulated Qualifications Framework.</p> <p>Updated contact information in the event of any queries concerning the units or assessment.</p>	Version 2 June 2017
2	<p>The following information has been updated:</p> <p>2.2 Delivery in Wales and Northern Ireland</p> <p>2.3 Funding</p> <p>2.5 Unique Learner Numbers and the Personal Learning Record</p>	
3	3.4 Recognition of prior learning	
5	<p>5.2 Information added about data protection</p> <p>5.3 Resubmitting work for assessment</p>	
6	<p>6.4 Access arrangements and special consideration</p> <p>6.5 Reporting suspected malpractice</p>	
11	Contacting us - information updated	
	Administration arrangements – section deleted	