

Management and Leadership

Centre Handbook

OCR Level 5 NVQ Diploma in Management and Leadership
Entry code 10388

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1 Introduction

OCR entry code	Title	Qualification Number
10388	OCR Level 5 NVQ Diploma in Management and Leadership	601/3807/5

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.

To access 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.

1.1 How is the qualification assessed?

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

1.2 Why choose Level 5 NVQ Diploma in Management and Leadership

The aim of this qualification is to:

- develop/expand candidates' understanding of management and leadership
- develop candidates' skills and competence in management and leadership.

This qualification will give candidates the opportunity to:

- achieve a nationally recognised qualification valued by employers
- prepare for employment in a management and leadership role
- develop skills and competence in the workplace
- continue professional development.

Candidates achieving this qualification can progress:

- to employment
- in employment
- to further study.

This qualification:

- is part of the Higher Apprenticeship in Management and Leadership
- consists of units based on the national occupational standards developed by Skills CfA, the sector body for Management and Leadership
- is supported by Skills CfA, the sector body for Management and Leadership.

1.3 Entry requirements

There are no formal entry requirements for this qualification.

There is no requirement for any specific prior learning. We recommend that an initial assessment should take place to ensure the candidate is capable of reaching the required standards.

This qualification is regulated for learners aged 18 years and over.

All 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 candidates before entering them for this qualification.

This qualification has been developed so it is free from any barriers that restrict access or progression and therefore, promote equal opportunities.

1.4 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.

1.5 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. 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 the achievements to the PLR.

Further information about this can be found in the [Administration area](#) and at the [Learner Records Service](#).

1.6 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.

1.7 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 237 GLH.

2 Structure and content

2.1 Qualification structure and rule of combination

Each 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](#).

2.2 OCR Level 5 NVQ Diploma in Management and Leadership

Rule of combination

To achieve this qualification a candidate must achieve the following:

minimum credit of	53
minimum credit from mandatory Group A	22
minimum credit from optional Group B	23
maximum credit from optional Group C	8
minimum credit at Level 5 or above	30

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

Units for Level 5 NVQ Diploma in Management and Leadership

OCR Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Group A: Mandatory units					
1	Contribute to the development of a strategic plan	A/506/2046	5	5	31
2	Design business processes	D/506/2055	5	5	23
3	Manage strategic change	H/506/2056	7	5	25
4	Provide leadership and management	L/506/1953	5	4	28
Group B : Optional units					
5	Establish business risk management processes	J/506/2048	5	5	29
6	Promote equality of opportunity, diversity and inclusion	R/506/2053	5	5	26
7	Develop and manage collaborative relationships with other organisations	T/506/2059	5	5	28
8	Optimise the use of technology	F/506/2064	6	5	29
9	Manage product and/or service development	Y/506/2068	5	5	23
10	Manage strategic marketing activities	L/506/2293	7	5	28
11	Develop and maintain professional networks	J/506/1949	3	4	15
12	Develop and implement an operational plan	Y/506/1955	5	4	24
13	Encourage learning and development	M/506/1962	3	4	16

OCR Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
14	Discipline and grievance management	A/506/1981	3	4	26
15	Develop working relationships with stakeholders	F/506/1982	4	4	20
16	Manage a tendering process	L/506/1984	4	4	21
17	Manage physical resources	K/506/1989	4	4	26
18	Manage the impact of work activities on the environment	J/506/2907	4	4	30
19	Prepare for and support quality audits	K/506/1992	3	4	17
20	Conduct quality audits	T/506/1994	3	4	21
21	Manage a budget	A/506/1995	4	4	26
22	Manage a project	R/506/1999	7	4	38
23	Manage business risk	L/506/2004	6	4	27
24	Manage knowledge in an organisation	A/506/2032	5	4	34
25	Recruitment, selection and induction	R/506/2909	6	4	33
26	Manage redundancy and redeployment	M/506/2044	6	4	39
27	Lead the development of a knowledge management strategy	D/506/2959	7	7	33
28	Lead the development of a quality strategy	J/506/2101	4	7	20
29	Lead the development of a continuous improvement strategy	F/506/2114	5	7	28
Group C : Optional units					
30	Manage health and safety in own area of responsibility	D/504/4056	5	4	15
31	Contribute to the design and development of an information system	A/506/1950	5	4	23
32	Manage information systems	F/506/1951	6	4	30
33	Manage events	M/506/1959	6	4	49
34	Manage customer service operations	M/506/2898	7	4	23
35	Review the quality of customer service	F/506/2176	4	4	20
36	Developing sales proposals	A/502/8656	5	4	30
37	Prioritising information for sales planning	D/502/8651	3	4	20

3 Apprenticeship information

3.1 How do I get a certificate for the apprenticeship?

The Higher Apprenticeship in Management and Leadership is certificated by Apprenticeship Certificates England (ACE) on behalf of Skills CfA. For full details of frameworks please see Apprenticeship Certificates England (<http://www.acecerts.co.uk/web/>).

3.2 About the apprenticeships

This apprenticeship consists of learning and qualifications necessary to provide Management and Leadership apprentices with the skills and knowledge they need to become competent in their chosen job and improve their employment prospects. The programmes aim to develop an individual's confidence in their abilities by developing work-related knowledge, skills and understanding.

The framework is suitable for those in a range of roles and industries for example to support those working as managers, senior managers, heads of department, directors and those working in a range of other senior management positions

Candidates who achieve the Higher Apprenticeship in Management and Leadership will gain management and leadership skills they need, tailored to the sector of their choice. These skills include self-management, relationship building, negotiation and influencing skills. They will be prepared for progression opportunities in employment or to further study.

3.3 What makes up an apprenticeship?

There is no maximum time frame for the achievement of the Higher Apprenticeship in Management and Leadership.

However, it is a requirement that candidates should be on programmes for a minimum of 12 months. Individual circumstances (such as significant prior learning or the requirement to deliver some basic skills training first) may result in a shorter or longer period of learning. The amount of time the apprenticeship takes will also be influenced by the opportunities available in the workplace and the level of support given by employers and learning providers.

Each apprenticeship is made up of:

- A competence qualification(s) e.g. Level 5 NVQ Diploma in Management and Leadership
- A knowledge qualification(s) e.g. Level 5 Diploma in Management and Leadership (Technical Certificate)
- Employee Rights and Responsibilities (ERR) – can be achieved through either a recorded professional discussion/presentation/project or by completing the Skills CfA ERR workbook •
- Essential Skills – apprentices in Wales must complete the appropriate Essential/Transferable skills qualifications in communication, application of numbers and ICT – please refer to the Skills CfA's Apprenticeship Framework Guidance (<http://www.afo.sscalliance.org/frameworkslibrary>).

4 Centre assessor and quality assurance personnel requirements

This section provides information on centre assessor and quality assurance personnel requirements for verified qualifications.

4.1 Assessment centre requirements

The occupational knowledge/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.

Your centre must:

- ensure there are sufficient trained and qualified personnel to assess the expected number of candidates
- ensure there are sufficient trained and qualified personnel to internally quality assure for the number of candidates and assessors, i.e. you must have at least one assessor and one Internal Quality Assurer (IQA) to run this qualification
- put systems and internal quality assurance personnel in place to ensure that all assessments are valid, reliable, safe and manageable and suitable to the needs of the candidate
- ensure evidence is authentic and sufficient
- ensure there is a standardisation process 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 there is sufficient time to conduct effective assessment and internal quality assurance
- ensure any corrective measures identified by OCR external verifiers and OCR, are addressed.

4.2 Centre assessor responsibilities

Assessment is an activity carried out by an individual either as a specific role or as part of a wider role, e.g. teacher, tutor, supervisor, manager.

All centre assessors must:

- have the role of assessor identified in their role profile
- be occupationally competent, according to current sector practice, in the functions covered by the units they are assessing
- be familiar with the units that relate to the qualification

- be able to interpret and make judgements on current working practices and technologies in the area of work
- actively engage in continuous professional development activities to keep up to date with developments in the sector
- judge candidates' work against the assessment criteria identified in the units
- identify valid and sufficient evidence
- ensure authentication of candidates' work (see section 5.9)
- identify gaps in evidence and ensure these are resolved before the unit is claimed
- give feedback to candidates
- liaise with other assessors in the centre to ensure assessment decisions are consistent and to the required standard
- confirm candidate achievement by completing and signing the required OCR documentation
- maintain records of candidates' achievements needed in the event of any submission or results enquiries.

Assessors must have the necessary expertise, which **must** include assessors holding, or be working towards, appropriate qualifications such as:

- Award in Assessing Competence in the Work Environment
- Certificate in Assessing Vocational Achievement
- Assess candidates using a range of methods (A1)
- Assess candidate performance (D32)
- Assess candidate using differing sources of evidence (D33)

You must provide evidence of the training being undertaken or proof of relevant qualifications.

4.3 Expert Witnesses

Expert witnesses can be drawn from a wide range of people who can confirm performance in the workplace, including line managers and experienced colleagues from inside the candidate's organisation. Expert witnesses must have proven practical experience and knowledge relating to the content of the unit being assessed. The assessor will make the final judgement.

The expert witness is not consulted as a professional assessor, but as someone who is expert in the occupation to be assessed.

It is unlikely that someone could become an expert in their entire job role in less than six to twelve months of being employed in this field. They could, however, very quickly become an expert in the content of a single unit if this was the focus of their job role. The assessor should make a judgement as to the level of expertise held by a potential expert witness and, where necessary, confirm this with a management and leadership team.

4.4 Internal Quality Assurance Personnel (IQA)

Internal quality assurance is an activity carried out by an individual either as a specific role or as part of an individual's wider role.

The IQA should have sufficient level of understanding to allow them to judge whether the assessor has fully assessed candidates against all the assessment criteria in the unit.

IQAs must:

- be occupationally knowledgeable and competent 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 against the qualification standards
- provide feedback to assessors to resolve differences on assessment decisions
- ensure assessment has been carried out by assessors who are occupationally competent in the area they are assessing
- actively engage in continuous professional development activities in order to keep up to date with developments in the sector
- respond appropriately to corrective measures identified by OCR external verifiers and OCR.

Those making quality assurance decisions must have the necessary expertise to do so, which **must** include IQA's holding, or be working towards, appropriate qualifications, such as:

- Award in Internal Quality Assurance of the Assessment Processes and Practices
- Award in Conducting Internal Quality Assurance of the Assessment Process (V1)
- Internally verify the assessment process (D34).

You must provide evidence of the training being undertaken or proof of relevant qualifications.

4.5 Continuing Professional Development (CPD)

All centre assessors and internal quality assurance personnel need to prove they have current working knowledge of the sector. This can be demonstrated by keeping records of evidence from occupational activities such as:

- internal or external work experience
- internal or external work shadowing
- other relevant CPD activities.

5 Verified assessment

This section provides guidance on verified assessment: how to plan and manage assessment and what controls must be applied throughout the process. Your centre must comply with the [OCR Criteria for Verified Qualifications](#).

5.1 Overview of the assessment

This qualification is internally assessed by centre assessors and quality assured by internal quality assurance personnel and externally verified by OCR.

Teaching and Learning

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

Where teaching content is contained in the unit, it is not exhaustive and may be expanded or tailored to particular contexts in which the unit is being taught and the assessment criteria applied.

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

Evidence

The Management and Leadership competence-based qualifications recognise competence in the workplace. Therefore evidence of competence should come from workplace activity and reflect attainment in an organisational context.

When you are satisfied that your candidate has met all of the requirements for a unit, you must sign an evidence record sheet to confirm the assessment process is complete.

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 Initial assessment of candidates

It is important that you carry out an initial assessment to identify candidates' level of competence, knowledge and understanding and any potential gaps that need to be addressed.

This will also:

- help you and the candidates identify the most appropriate optional units
- allow you to plan the assessment
- enable candidates to understand the best place to start generating evidence.

See section 1.3 for information about entry requirements and prior learning and section 8.8 for Recognition of Prior Learning.

5.4 Planning assessment

Centre assessors must take responsibility for planning assessment with candidates. This will involve discussing details 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.

5.5 Real work

Real work is where the candidate is engaged in activities that contribute to the aims of the organisation by whom they are employed. For example in paid employment or working in a voluntary capacity or work placement.

Where the candidate's performance is assessed in the workplace, this evidence should naturally occur in the candidate's work role. This will include the candidate's application of knowledge. This principle will apply to competence units, except where simulation is acceptable (see simulation).

Workplace evidence may be gathered in full-time, part-time, casual or voluntary employment or a 'work placement', e.g. full-time candidates placed in a working environment for one day per week.

Supporting evidence for any work experience from a supervisor or manager must add to the assessment process.

5.6 Realistic working environment (RWE)

Evidence can be produced at work or in a RWE for Unit 14: *Discipline and grievance management* and Unit 26: *Manage redundancy and redeployment* in this qualification.

A realistic working environment is regarded as one that replicates what is likely to happen when an individual is carrying out their normal duties and activities in a real working environment.

In RWE, candidates produce evidence of their performance subject to all of the following conditions:

- time pressures
- work problems
- accountabilities
- tools to do the job
- realistic behaviour patterns from third parties.

5.7 Simulation

Simulation is a practical and effective tool for establishing skill and understanding, where naturally occurring evidence of competence is unavailable or infrequent. Simulation should only be used where the candidate is unable to complete the unit(s) because of the lack of opportunity in their practice/workplace. Simulation can only be applied to the following competence units:

Unit 14: *Discipline and grievance management*

Unit 26: *Manage redundancy and redeployment*

Where simulations are used they **must** replicate working activities in a realistic working environment.

A realistic working environment (for the purpose of simulated work activities) is regarded as one that replicates what is likely to happen when an individual is carrying out their normal duties and activities in a real working environment.

Internal quality assurance personnel must agree the use of simulated activities before they take place and must sample all evidence produced through simulated activities (see section Internal quality assurance).

5.8 Methods of assessment

We have identified the main assessment methods suitable for this qualification:

- [Observation](#) of practice by the assessor or expert witness for occupational -specific units
- [Questioning](#) the candidate or witness by the assessor
- [Professional discussion](#)
- [Examining work products](#) – e.g. business letters, spreadsheets, diagrams

- [Examining written evidence](#) – e.g. assignments, tasks, projects or tests
- [Examining evidence from others](#)
- [Simulation](#) (if allowed).

It is your 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 capable of measuring the knowledge or skills in question. For example, a written test cannot measure a candidate's practical skills or their ability to work well with others.

Validity can be compromised if a candidate does not understand what is required of them. For example, a valid method of assessing a candidate's knowledge and understanding is to question them. If the questions are not relevant to the qualification or how they are phrased makes it difficult for the candidate to understand, the validity of the assessment method is threatened.

Evidence must also be valid.

For example, it would not be appropriate to simply present an organisation's health and safety policy as evidence towards Unit 30 Manage health and safety in own area of responsibility, as it is not the candidate's own work and does not evidence their understanding. It may be more appropriate for the candidate and centre assessor to have a discussion about health and safety and how the policy relates to the Learning Outcome. This could include examples from the candidate's own experience which could be used as evidence for specific learning outcomes. This discussion could then be assessed and recorded as evidence.

Reliable

A reliable method of assessment produces consistent results across different centre assessors on each assessment occasion. Internal quality assurance personnel (IQA) must make sure that all centre assessors' decisions are consistent.

Safe and manageable

Centre assessors and IQAs must make sure that assessment methods used 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

We have designed this qualification so that achievement is accessible to all candidates, in the context of the units.

For candidates who have access requirements see 'section 8.9 Access arrangements including special consideration'.

If you think that any aspect of this qualification unfairly restricts access and progression, please contact our Customer Contact Centre.

5.9 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.

5.10 Making assessment decisions

Candidates are not required 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 the unit.**

They must consistently provide sufficient evidence for you to be able to confirm that your candidate is competent in their working environment.

In line with the National Occupational Standards (NOS) for assessors, you should:

- plan with the candidate
- assess candidate performance, 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 you, as centre assessor, can sign the unit off as complete.

5.11 Generation and collection of evidence

Candidates' evidence should be in an appropriate format to demonstrate the skills, competency, or application of knowledge and understanding, as specified in each assessment criteria in the unit in question.

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.

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.

If group work is used as evidence, the candidate's contribution must be clearly identified.

Evidence can come from a number of sources. A list of the main sources of evidence is provided below:

- [Observation](#)
- [Questioning](#)
- [Professional discussion](#)
- [Work products](#) – the outcome or product of a candidate's work activity
- [Witness statements](#)
- [Personal statement](#)
- [Assignments, tasks, projects or tests](#) – centre-devised projects, e.g. a case study.
- [Simulation](#) (if allowed).

Candidates should take responsibility for the development of their own portfolios, with appropriate support from tutors, employers and peers. They should be aware of the need for clear presentation and ordering as an aid to assessment and referencing once the work is submitted.

Where evidence is relevant to more than one assessment criterion in one or more units, the candidate should cross-reference the evidence in their unit portfolio so that it can be considered by you as centre assessor and by the OCR external verifier if required.

An Evidence Record Sheet is available to download from our website. Candidates can use this sheet to record their evidence and link it to the assessment criteria in one unit. You **must** use this sheet or your own suitable alternative to allow the OCR external verifier to see which assessment criterion each piece of evidence refers to.

5.12 How much evidence is 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.

It is not the quantity of the evidence produced; it is the quality and breadth of evidence, that they have produced themselves, ensuring it meets all of the assessment requirements and assessment criteria.

Centre assessors should discuss with candidates the most suitable sources of evidence and ensure candidates are aware of the importance of quality rather than quantity when presenting evidence for assessment. The quality and breadth of evidence presented should determine whether a centre assessor is confident that a candidate has met the requirements of the unit.

Assessors must be convinced, from the evidence presented, that candidates working on their own can work independently to the required standard.

5.13 Assessment of the evidence

It is the assessor's responsibility to:

- assess the evidence presented by the candidate
- provide feedback to the candidate
- make an assessment decision which will be confirmed through internal and external quality assurance.

Assessors will judge candidates' evidence against the assessment criteria specified in the unit.

5.14 Observation

Centre assessors may carry out observations of a candidate undertaking activities or tasks and make an assessment decision based on the candidate's performance, i.e. what they can do or the process they have gone through.

Sometimes, the observation can also provide inferred evidence of what a candidate knows.

The observation should be of naturally occurring practice in the candidate's work role.

Centre assessors and candidates should plan observations together but it is the centre assessor's responsibility to record the observation. After the observation has taken place, you must record an assessment decision and the justification for the decision. This should include sufficient information about what was observed to ensure the assessment criteria has been met and enable the assessment to be quality assured. Centre assessors should also give feedback to the candidate.

5.15 Questioning

Centre assessors may question a candidate for the assessment of this qualification.

Questioning the candidate is usually an ongoing part of the assessment process, and it is necessary to:

- test a candidate's knowledge of facts and procedures
- check if a candidate understands principles and theories and
- collect information on the type and purpose of the activities a candidate has been involved in.

For the most part, you should use open-ended questions; i.e. questions that cannot be answered by the candidate with one word responses, e.g. 'yes' or 'no'. Open-ended questions require thought and detail in order to answer the question. You should be careful to avoid complicated questions which may confuse the candidate.

It is important that you record assessment decisions after you have questioned the candidate. You must record enough information to justify your decisions. This does not mean that you must record the questions and answers, word for word, but you must record enough detail to allow the assessment to be quality assured.

5.16 Professional discussion

Professional discussion is a structured, planned and in-depth discussion recorded by your 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 purpose of the discussion is to explore the level of the candidate's competence and ensure their actions are based on a firm understanding of principles which underpin the competence.

You should guide the discussion by using open questioning and active listening.

5.17 Work products

Work products are produced in the workplace. They should be of naturally occurring practice in the candidate's role. The evidence presented for assessment may be the actual product or a record of the product, e.g. business letter, email, spreadsheet.

5.18 Witness statements

Witness statements are a record of witness testimonies. A witness statement is used to support work or evidence sourced from confidential or sensitive material, e.g. data protection. It should not be used to evidence achievement of a whole unit.

The witness must not be related to the candidate and must be in a position to make valid comments about the candidate's performance, e.g. tutors or workplace supervisors.

It is not acceptable for candidates to produce written witness statements for witnesses to sign.

Witness statements:

- must describe what they witnessed the candidate doing
- can be written or verbal accounts of the candidate's performance
- do not have to be written by the witness, they may be recorded by the assessor after discussion with the witness and confirmed as accurate by the witness
- can be used to directly support work or as evidence of work based on confidential or sensitive sources, e.g. data protection
- should not contain a list of skills
- should not be used as evidence of achievement for a whole unit.

A centre assessor will judge whether the evidence presented meets the standards required by the assessment criteria for the unit. Often, it will be necessary for assessors to contact witnesses to ensure:

- the witness statement is authentic
- the assessor's interpretation of the witness statement is accurate.

Where a witness provides a written statement, they should include the following:

- the candidate's name
- the date, time and venue of the activity
- a description of the activities performed by the candidate
- the date the statement was written
- a description of their relationship to the candidate
- the witness' signature and job title
- the witness' contact details, e.g. telephone number.

5.19 Personal or candidate statement

This is a candidate's own account of what they did.

Personal statements can be a:

- written or verbal account of specific incidents, activities or situations
- log or diary
- reflective account.

All personal statements made by candidates must be authenticated as a true account of what took place by an appropriate witness, e.g. tutor, employer, peer.

5.20 Assignments, tasks, projects or tests

For some units, it may be appropriate for your centre to devise assignments, tasks, projects or tests. This would be particularly appropriate for the knowledge units. This provides your centre with opportunities to meet the needs of the candidate and local employers.

Centres will need to ensure that any assignments, tasks, projects or tests enable candidates to meet all of the assessment criteria in the units.

Your centre is best placed to decide on an appropriate context for the assessment for your candidates.

Tutors must ensure candidates are clear about the tasks they are to undertake and the assessment criteria which they are expected to meet.

5.21 Candidate 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.

The following forms are available, on the [webpage](#), to assist your centre and candidates as they work towards this qualification.

RD01 Candidate profile – mandatory

This form records the critical information related to the candidate and the qualification they are entered for.

RD02 Sample signatures of centre assessment team – mandatory

This form records the signatures of the centre's assessment team so that the external verifier can verify the authenticity of signatures used on the centre's recording documents.

RD03 Record of unit achievement – optional

This form records the candidate's progress through their chosen units. There is one form per qualification, allowing candidates to track the units as they are achieved.

RD04 Index of evidence – optional

This form records all of the assessed evidence and the method of assessment used for each piece of evidence. It will include each piece of evidence's reference code and where it can be found. This allows candidates and assessors to see at a glance where each piece of evidence can be found.

RD05 Record of assessment planning – mandatory

This form records when and how assessment planning took place. The use of this form can help to ensure that sufficient evidence will be produced to cover the assessment criteria and that a broad range of assessment methods will be used.

RD06 Record of assessment feedback – mandatory

This form records written feedback by the assessor to the candidate after an assessment has been carried out and records any planned actions. It can also be used to capture any feedback the candidate gives to the assessor.

RD07 Record of internal quality assurance feedback – mandatory

This form records written feedback given by the Internal Quality Assurer (IQA) to assessors on their practice. It can also be used to capture future actions and comments from the assessor.

RD08 Record of witness/expert witness – optional

This form records details of activities witnessed such as; the type of activity undertaken, the date the activity took place and the status and contact details of the witness.

RD09 Assessor record of observation/professional discussion/questioning – optional

This form records the type of activity undertaken by the assessor, e.g. observation, professional discussion, the assessment criteria covered by the activity, how the activity met the criteria. It also provides an opportunity for the candidate to comment on the activity and outcome.

RD10 Evidence record sheet – mandatory

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. For full details on the design and approval of recording sheets visit the Administration area, assessment <http://www.ocr.org.uk/administration/>.

RD11 Record of internal quality assurance – mandatory

This form records the internal quality assurance activities carried out for a particular qualification. A separate form must be completed for each IQA working on the qualification. The form provides evidence that the IQA's sample has met the requirements of the sampling strategy.

5.22 Verification – how it works

Internal quality assurance

It is your centre's responsibility to appoint internal quality assurance personnel (see section 4) to manage the internal quality assurance process.

The purpose of internal quality assurance is to make sure and show that assessment is valid, reliable and consistent, through monitoring and sampling assessment decisions.

For this qualification you **must** carry out internal quality assurance to ensure that all candidates' evidence is assessed consistently to the required standard.

The IQA is responsible for:

- ensuring all assessors are assessing to the required standard
- ensuring all assessment decisions are fair, valid, reliable and consistent
- arranging regular standardisation meetings
- ensuring standardisation of work between assessors
- maintaining records of the outcome of standardisation activities
- advising centre assessors of any discrepancies in assessment
- suggesting ways in which assessment may be brought into line to meet the required standard.

External verification

We will allocate an external verifier who will visit your centre to verify assessments and internal quality assurance against the standards for the qualification and the *OCR Criteria for Verified Qualifications*.

The external verifier **must** interview candidates, centre assessors and internal quality assurance personnel during their visits.

For each external verification visit your centre must have available:

- the candidate assessment records (CAR) and evidence for all candidates claimed
- any candidate assessment records and evidence claimed by Direct Claim Status (DCS) since the last visit
- identified work-in-progress portfolios
- access to observe assessments taking place
- access to our online claim system (Interchange)
- access to candidates, centre assessors and internal quality assurance personnel as requested by the EV
- any portfolios claimed for certification through DCS as requested by the EV
- 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 original certificates for new members of the assessment team or updated documents for existing assessment team members
- all **centre records**, see the next section for more details
- evidence of achieving action points and/or recommendations since the last external verifier visit,
- if recorded evidence is used, ensure all recordings and appropriate playback equipment is available.

Centre records required for verification

Your centre must make sure that internal quality assurance and candidate assessment records are available for external verification purposes. These records must be securely held by your centre for a minimum of three years following candidate achievement of the qualification, i.e. from the date of certification.

As a minimum, these records must include the following information:

- the candidate's name and location
- the title and level of the qualification they are taking
- the candidate's start date on the programme and confirmation of candidate entry
- the name of the centre assessor
- the name of the internal quality assurance personnel
- the 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 the frequency, and reason for, the use of simulation, if used
- dates and outcomes of internal quality assurance
- action(s) resulting from internal quality assurance
- candidate's achievement(s).

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

OCR external verifier reports for centres

Our external verifier (EV) will report against the OCR criteria for verified qualifications and will use the report to provide feedback to your centre and to OCR.

All EV reports are reviewed by OCR and their actions/recommendations are considered. The final decision on the application of any actions or recommendations lies with OCR.

If your centre is found to be non-compliant this will result in actions or sanctions being identified. If there is a sanction, this will always result in one or more actions being identified for your centre to address.

If you wish to appeal against a decision then you should follow our [Appeals Process in Vocational Qualifications](#).

5.23 Direct Claim Status (DCS)

Centres who have achieved a high level of internal verification and management of the internal quality assurance systems, are eligible for Direct Claims Status (DCS). This is when centres can claim certification for identified qualifications in between their external verifier visits. Centres consistently meeting all the required criteria and delivering high quality assessment for an 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 DCS.

If we agree with the EV's recommendation, you will be sent a:

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

Once you return the appropriate documentation we will notify you that you can use DCS.

After receiving your claims, the EV will select a sample of candidates' work, which will be reviewed at the next EV visit. Your centre must retain, or have access to, all portfolios claimed with DCS 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 your 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.

Reinstatement of DCS

We will apply one of the following:

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

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

Critical points regarding DCS

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.

5.24 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

6 Support

6.1 Free resources

The following materials are available on our website:

Units containing Additional Guidance

- Assessment documents for use in candidates' assessment records:
 - RD01 Candidate profile
 - RD02 Sample signatures of centre assessment team
 - RD03 Record of unit achievement
 - RD04 Index of evidence
 - RD05 Record of assessment planning
 - RD06 Record of assessment feedback
 - RD07 Record of internal quality assurance feedback
 - RD08 Record of witness/expert witness
 - RD09 Record of observation/professional discussion/questioning
 - RD10 Evidence record sheet (including customised versions)
 - RD11 Record of internal quality assurance
- RoC calculator
- Learner progress tracker
- Resources list (for knowledge units)

We recommend that your centre uses these documents. You are free to design your own recording sheets for your candidates to use, but you must make sure that they capture similar information to the OCR recording documents and are acceptable to the centre's OCR external verifier.

6.2 Our professional development programme (CPD)

As part of our teacher training we offer a broad range of courses. We're constantly looking for ways to improve the support we offer you 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/>.

6.3 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/>

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), *and*
- a certificate stating the full qualification title and the qualification number.

Candidates who achieve 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 learners.

To find out more about this, please refer to the JQC *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 Administration and other information

8.1 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 qualification 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.

8.2 National Occupational Standards (NOS)

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 NOS for Management and Leadership

8.3 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.

8.4 Regulatory requirements

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

8.5 Mode of delivery

You are free to deliver this qualification using any mode of delivery that meets the needs of your candidates. Whatever mode of delivery is used, you must ensure that candidates have appropriate access to resources.

You should consider the candidates' complete learning experience when designing learning programmes. This is particularly important where candidates, who are studying part-time alongside work commitments as they may bring with them a wealth of experience that should be utilised to maximum effect by your staff.

We do 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 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](#).

8.6 Recognition of Prior Learning (RPL)

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.

8.7 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 your centre identifies 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 one which is shared between OCR and your centre. Centre staff should consult the Joint Council of Qualifications' (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.

8.8 Wider issues

This qualification provides opportunities for you to develop candidates' understanding of wider issues: spiritual, moral, ethical, social, legislative, economic and cultural issues as well as an awareness of sustainable development, health and safety considerations and European developments consistent with international agreements.

Spiritual, moral, ethical, social, legislative, economic and cultural issues

Tutors delivering a programme of learning leading towards this qualification will have opportunities to develop candidates' understanding, for example through:

- Unit 6 *Equality of opportunity, diversity and inclusion* – the key principles underpinning equality, diversity and inclusion in the workplace

Sustainable development, health and safety considerations and European developments, consistent with international agreements

Tutors delivering a programme of learning leading towards this qualification will have opportunities to develop candidates' understanding, for example through:

- Unit 18: *Manage the impact of work activities on the environment* – organising work/use of resources so as to minimise the impact on the environment
- Unit 5: *Establish business risk management processes*- risk management models and techniques and evaluate business risk management processes.

9 Contacting us

9.1 Feedback and enquiries

If centres have any comments or enquiries about the qualification 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.

9.2 Complaints

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

If centres are not satisfied with a product or service OCR has provided please follow the process set out in the [complaints policy](#).

We can be contacted:

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

by email – send an email to complaints@ocr.org.uk

by phone/fax – contact our Customer Contact Centre:
Telephone: 024 76 851509
Fax: 024 76 421944

10 Qualification summary

Level 5 NVQ Diploma in Management and Leadership summary

OCR entry code	10388	Qualification Number (QN)		601/3807/5
Approved age group	Pre-16	16–18	18+	19+
	No	No	Yes	Yes
This qualification is suitable for candidates	<ul style="list-style-type: none"> • studying in preparation for employment in the Management and Leadership field • studying for career development and who are already in employment • wishing to gain a Level 5 qualification to support further study in FE or HE in any other sector or subject area • taking a Higher Apprenticeship in Management and Leadership. 			
Entry requirements	There are no formal entry requirements for this qualification.			
Credit requirement	<p>You need 53 credits to achieve the full qualification.</p> <p>See section 2.2 of the Centre Handbook for details on how you make up the 53 credits.</p>			
Assessment model	<p>This qualification is pass/fail.</p> <p>This qualification is internally assessed by your 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 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>			

11 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
1	<p>The following information has been updated:</p> <p>1.4 Delivery in Wales and Northern Ireland</p> <p>1.5 Unique Learner Numbers and the Personal Learning Record</p> <p>1.6 Funding</p>	
5	<p>5.2 Information added about data protection</p> <p>5.9 Resubmitting work for assessment</p> <p>5.24 Reporting suspected malpractice</p>	
8	<p>8.6 Recognition of prior learning</p> <p>8.7 Access arrangements and special consideration</p>	
9	Contacting us - information updated	
	Administration arrangements – section deleted	