

<b>Unit Title:</b>	<b>Manage case files</b>
OCR unit number	357
Sector unit number	M/601/7793
Level:	3
Credit value:	5
Guided learning hours:	25

## Unit purpose and aim

This unit is about the skills and underpinning knowledge to receive, open, review, update, prepare for closure and close case files; prepare court bundles; process appeal documentation; and, follow up appeals actions.

Learning Outcomes	Assessment Criteria	Exemplification
<p><b>The Learner will:</b></p> <p>1. Understand the legislative and organisational requirements for managing case files</p>	<p><b>The Learner can:</b></p> <p>1.1 Explain the administrative services that they are responsible for</p> <p>1.2 Explain the limits and scope of their responsibilities and authority in providing administrative services</p> <p>1.3 Explain their organisation's policies, procedures in relation to administrative services</p> <p>1.4 Explain the constraints that affect administrative services in their area of responsibility</p> <p>1.5 Explain how to apply their organisation's policies and procedures</p> <p>1.6 Describe the legislation, regulations and codes of practice that apply in the sector to their area of responsibility</p> <p>1.7 Explain the working culture and practices in the sector</p> <p>1.8 Describe their organisation's house style and requirements for presentation of correspondence and documents</p>	<p>Learning outcomes 1, 2 and 3 must be assessed using methods appropriate to the assessment of knowledge and understanding. A holistic approach to assessment should be adopted so that one piece of evidence covers more than one learning outcome and several assessment criteria and where appropriate, can be evidenced across units.</p>

	<p>1.9 Explain their organisation's procedures for closing and archiving case files</p> <p>1.10 Explain where and when to refer matters that are beyond their authority</p>	
2. Understand how to handle case information	<p>2.1 Explain the legal and organisational requirements covering the security and confidentiality of information</p> <p>2.2 Explain the importance of accuracy and attention to detail when dealing with information in a legal context</p> <p>2.3 Explain how to carry out research and identify sources of information</p>	
3. Understand how to manage case files	<p>3.1 Explain the procedures for receiving and opening a case file</p> <p>3.2 Describe the structure, format and content of a case file</p> <p>3.3 Explain methods of liaising and communicating with relevant people</p> <p>3.4 Describe how to keep a case file up to date</p> <p>3.5 Describe the documents that are required for court bundles</p> <p>3.6 Explain how to ensure that documentation is complete at each stage of the process</p> <p>3.7 Identify who to consult if further information is needed</p> <p>3.8 Explain the timescales and deadlines that apply to the case</p> <p>3.9 Describe the consequences of failing to meet timescales and deadlines</p> <p>3.10 Explain how to action and record hearing outcomes</p> <p>3.11 Explain the appeal documentation required in relation to own area of work</p> <p>3.12 Explain how to process appeal documentation in relation to own area of work</p> <p>3.13 Describe how to record the outcome of an appeal</p>	

<p>4. Be able to manage case files</p>	<p>4.1 Receive and open a case file</p> <p>4.2 Review the file and plan its management to meet required deadlines</p> <p>4.3 Obtain or identify the location of all file documents and materials</p> <p>4.4 Produce and amend documents as requested</p> <p>4.5 Liaise with the relevant people to progress the case</p> <p>4.6 Keep the case file up to date, checking documentation is complete</p> <p>4.7 Make sure information is kept secure and confidential</p> <p>4.8 Prepare court bundles as requested, checking documentation is complete</p> <p>4.9 Consult other people where necessary</p> <p>4.10 Submit documents on time</p> <p>4.11 Action and record hearing outcomes as necessary</p> <p>4.12 Where necessary, process appeal documentation as requested</p> <p>4.13 Liaise as appropriate with the relevant people to progress the appeal</p> <p>4.14 Record the outcome of the appeal where relevant</p> <p>4.15 Prepare the case file for closure</p> <p>4.16 Notify relevant people that the case file is closing</p> <p>4.17 Close the case file</p> <p>4.18 Arrange for the case file to be archived</p>	<p>Assessment should be planned to maximise the opportunities for the candidate to demonstrate their ability to manage case files</p>
--	--	---

## Assessment

This unit is centre assessed and externally verified. Your assessor will use a range of assessment methods which may include:

- observation of performance in the work environment
- examination work products
- questioning the learner

- discussing with the learner
- use of others (witness testimony)
- looking at learner statements
- recognising prior learning

## Evidence requirements

---

A range of evidence should be gathered to cover the Learning Outcomes and Assessment Criteria. Examples may include:

- Annotated organisational policies and procedures
- Paper based or electronic audit trail of actions undertaken in relation to management of case file
- Records showing opening of case file
- Checklists, records of review
- Documents produced
- Records of communication with relevant people
- Details for arrangements for keeping information secure
- Court bundles/checklists
- Records of consultation with others
- Records of document submission
- Records of outcomes
- Records of appeals
- Records of consultation with others relevant to the progress of the appeal
- Records of case closure and communication of such
- Records recording Archive of case file

## National Occupational Standards (NOS) mapping/signposting

---

This unit is based on the NOS BAB113 Manage case files

NOS can be viewed on the relevant Sector Skills Council's website or the Occupational standards directory at [www.ukstandards.co.uk](http://www.ukstandards.co.uk).

## Functional skills signposting

---

This section indicates where candidates may have an opportunity to develop their functional skills.

**Link to functional skills standards** <http://www.qcda.gov.uk/15565.aspx>

Functional Skills Standards					
English		Mathematics		ICT	
Speaking and Listening	✓	Representing	✓	Use ICT systems	✓
Reading	✓	Analysing	✓	Find and select information	✓
Writing	✓	Interpreting	✓	Develop, present and communicate information	✓

## Resources

---

Access to a working environment with associated equipment and resources

## Additional information

---

For further information regarding administration for this qualification, please refer to the OCR document '*Admin Guide: Vocational Qualifications*' (A850) on the OCR website [www.ocr.org.uk](http://www.ocr.org.uk) .