OCR
Oxford Cambridge and RSA

QCF

Management

Level 2 Certificate in Team Leading

Entry code 09878

Level 3 Certificate in Management

Entry code 09879

Centre Handbook

Contents

1   Introduction

The information provided in this handbook is correct at the time of production. Occasionally we may update this information. Please refer to the qualification webpages for the most up-to-date information.

Staff involved in the delivery of these qualifications must have access to and understand the requirements in this handbook.

You should read this document in conjunction with the *Admin guide: Vocational Qualifications*.

1.1   Qualifications covered by this handbook

This is the handbook for the following qualifications.

OCR entry code	Title	Qualification Number
09878	**OCR Level 2 Certificate in Team Leading**	**600/2420/3**
09879	**OCR Level 3 Certificate in Management**	**600/2450/1**

The units and any supporting documentation for these qualifications can be found on our website www.ocr.org.uk.

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.

1.2   How are these qualifications assessed?

The units in both qualifications are internally assessed by centre staff and externally verified by us.

1.3   Why choose these qualifications?

The Level 2 Certificate in Team Leading aims to:

- develop candidates' knowledge and understanding across a range of basic team leading and management concepts that are relevant to employment situations

- facilitate a relationship between the NVQ component and the underlying knowledge and skills required for this technical certificate component of the Apprenticeship framework

- encourage progression by assisting in the development of knowledge and understanding needed to undertake further study.

The Level 3 Certificate in Management aims to:

- develop candidates' knowledge and understanding across a range of further team leading and management concepts that are relevant to employment situations

- provide the underpinning knowledge in order to develop candidates' abilities to evaluate and develop new working practices across their contexts and develop the candidates' abilities to participate in the planning, development of support and development for colleagues

- facilitate a relationship between the NVQ component and the underlying knowledge and skills required for this technical certificate component of the Apprenticeship framework

- encourage progression by assisting in the development of knowledge and understanding needed to undertake further study.

This will give candidates the opportunity to:

- achieve a nationally recognised qualification valued by employers

- prepare for employment in a specific occupational sector

- gain underpinning knowledge and understanding required in the workplace.

Candidates achieving one of the qualifications can:

- progress into supervisory and management roles

- progress to further vocational study in their chosen sector, for example, to Level 5 NVQ Diploma in Management

- improve employability

- continue professional development.

These qualifications:

- form part of the Level 2 Intermediate Apprenticeship in Team Leading (Foundation Apprenticeship in Team Leading) and the Level 3 Advanced Apprenticeship in Management (Apprenticeship in Management)

- support development of Functional Skills, Essential Skills

- consist of units based on the national occupational standards

- are regulated in the Qualifications and Credit Framework (QCF) and may be eligible for funding

- appear on the Register of Regulated Qualifications http://register.ofqual.gov.uk/

- are supported by CFA, the sector body for Team Leading and Management.

1.4　Entry requirements

These qualifications are available to anyone who is capable of reaching the required standards. They have been developed free from any barriers that restrict access or progression thereby promoting equal opportunities.

There are no formal requirements for entry to these qualifications.

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

1.5   Recognition of Prior Learning

Within the QCF, recognition of prior learning (RPL) is defined as 'A method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.' (Regulatory arrangements for the Qualifications and Credit Framework Ofqual/08/3726.) We encourage the use of RPL and you should advise your 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 you make it clear to your 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.

The currency of knowledge and ability is often important when recognising skills and competencies. 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.

1.6   Funding

These qualifications may be eligible for funding.

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

Skills Funding Agency for public funding in England

DAQW – Database of Approved Qualifications for public funding in Wales

Department for Employment and Learning for public funding in Northern Ireland

Education Funding Agency for public funding information for 16-19 learners in England

You should use the Qualification Number (QN) when looking for public funding for candidates. Each unit within a qualification will also have a unit reference number.

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

1.7   Mode of delivery

You are free to deliver these qualifications 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 the resources identified in this handbook and units.

You should consider the candidates' complete learning experience when designing learning programmes. This is particularly important where candidates are studying part time alongside work

commitments where candidates 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 these qualifications 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 accredited qualifications and our *last entry/certification notification*.

1.8   Guided learning hours

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

Each qualification requires the following guided learning hours:

Level 2 Certificate in Team Leading   120 GLH.

Level 3 Certificate in Management   124 to 130 GLH.

1.9   Performance tables

Information on performance tables is available on the DfE website. Detailed information relating to Key Stage 4 performance tables is available at RAISEonline.

2   Qualification structures and rules of combination

2.1   Qualification structure and rules of combination

Each qualification in the Qualifications and Credit Framework (QCF) 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 these qualifications holistically by identifying opportunities to link the units.

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 2 Certificate in Team Leading

Rule of combination

To achieve this qualification a candidate must achieve the following:

a minimum credit of	13
total credit from mandatory Group	10
minimum credit to be achieved at level 2	10
minimum credit from optional Group	3

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

Units for Level 2 Certificate in Team Leading

The following table contains the groups of mandatory and optional units. These are available to download from the OCR website.

OCR Unit No	Sector Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Mandatory units						
1		Developing working relationships with team members	D/602/0401	3	2	30
2		Key principles of team leading	D/602/0379	4	2	40
3		Managing personal development	Y/602/0400	3	2	20
Optional units						
4		Developing a team	H/602/0402	3	2	30
5		Gaining results from your team	F/602/0407	3	3	30

2.3   OCR Level 3 Certificate in Management

Rule of combination

To achieve this qualification a candidate must achieve the following:

a minimum credit of	13
total credit from mandatory Group	10
minimum credit to be achieved at level 3	10
minimum credit from optional Group	3

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

Units for OCR Level 3 Certificate in Management

OCR Unit No	Sector Unit No	Unit title	Unit Reference No (URN)	Credit value	Level	GLH
Mandatory units						
1		Gaining results from your team	F/602/0407	3	3	30
2		Improving your own management and leadership performance	H/602/0416	2	3	20
3		Key principles of management and leadership	R/602/0413	5	3	50
Optional units						
4		Developing working relationships with team members	D/602/0401	3	2	30
5		Principles of working with and supervising others in a business environment	H/601/7645	3	3	30

3   Apprenticeship information

3.1   How do I get a certificate for the apprenticeship?

The Level 2 Intermediate Apprenticeship in Team Leading/Foundation Apprenticeship in Team Leading and the Level 3 Advanced Apprenticeship in Management/Apprenticeship in Management are certificated by Council for Administration (CFA). For full details please see the CFA website http://www.skillsCFA.org/apprenticeships/certification-registration.html.

3.2   About the apprenticeships

These apprenticeship frameworks are designed to meet the skills needs of employers of all sizes. They aim to attract people into leadership and management roles and help to up skill the workforce to replace those who leave or retire.

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

The frameworks are suitable for those in a range of roles and industries for example:

• Intermediate apprentices may work in job roles such as team/section leaders, helpdesk managers and trainee supervisors.

• Advanced apprentices may work in job roles such as section, assistant or trainee managers or senior supervisors.

Candidates who achieve the Team Leading Intermediate Apprenticeship / Management Advanced Apprenticeship will have the skills they need, tailored to the sector of their choice. They will be familiar with 'best practice' as well as having the opportunity to develop the skills, knowledge and experience they will need to progress to higher level roles with additional responsibilities or to Further/Higher Education.

3.3   What makes up an apprenticeship?

A Level 2 Intermediate Apprenticeship in Team Leading/Foundation Apprenticeship in Team Leading is expected to last for approximately 15 months (a minimum of 413 Guided Learning Hours).

A Level 3 Advanced Apprenticeship in Management/Apprenticeship in Management is expected to last about 30 months (a minimum of 433 Guided Learning Hours).

Apprentices will work at different rates and be ready for assessment at different times.

For apprentices without the required level of functional skills there would be an additional 45 GLH per functional skill.

Each apprenticeship is made up:

- Competence qualifications i.e. Level 2 NVQ Certificate in Team Leading or Level 3 NVQ Certificate in Management

- Knowledge qualifications i.e. Level 2 Certificate in Team Leading or Level 3 Certificate in Management

- Employee Rights and responsibilities - Assessed using CFA's ERR workbook. This can be downloaded from the CFA site

- Functional Skills.

Functional skills

For apprentices who have achieved a GCSE grade A*-C in Maths and/or English will be exempt from completing the corresponding Functional Skills, if these were gained within 5 years of beginning the Apprenticeship programme. More information on key skills and functional skills relationships and proxies is available from the Ofqual website www.ofqual/gov.uk .

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 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 or qualified personnel to assess the expected number of candidates

- ensure there are sufficient trained or 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 these qualifications

- 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 Assessors

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 within their role profile

- 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

- be able to interpret and make judgements on current working practices and technologies within the area of work

- actively engage in continuous professional development activities to keep up-to-date with developments within 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 5.6)

- 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 **may** 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 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 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 within the area they are assessing

- actively engage in continuous professional development activities in order to keep up-to-date with developments within 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.

5   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 OCR's criteria for verified qualifications.

5.1   Overview of the assessment

These qualifications are 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 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 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

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

It is the centre's responsibility to ensure that candidates comply with the Data Protection Act when producing evidence for summative assessment. More information about the candidate's responsibility is available in section 5.8.

5.3   Initial assessment of candidates

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

This will also:

- allow you to plan the assessment

- help candidates to identify units which they might find most appropriate

- enable candidates to understand the best place to start generating evidence.

See section 2.4 for information about Entry requirements and section 2.5 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   Methods of assessment

We have identified in partnership with the Council for Administration (CFA) the main assessment methods suitable for these qualifications:

- **questioning** the candidate or witness by the assessor

- **professional discussion**

- **examining written evidence** e.g. assignments, tasks, projects or tests

In some situations, the centre assessor can arrange a formal discussion with the candidate to provide evidence of the candidate's performance and knowledge.

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 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 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.

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 IQA 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 these qualifications so that achievement is accessible to all candidates, in the context of the units.

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

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

5.6   Authentication

Teachers/Tutors/Assessors 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 teacher/tutor/assessor 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 teacher/tutor/assessor 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 teachers/tutors/assessors to check authenticity of the work and provide general feedback.

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.

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.

Whilst there are no restrictions on the number of times that a candidate can resubmit evidence, it is the responsibility of the teacher/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.

5.7 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**.

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

- plan with the candidate

- 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 Generation and collection of evidence

Candidates' evidence should be in an appropriate format to demonstrate the application of knowledge and understanding, as specified in each assessment criteria within 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, DVDs, digital recordings, CD and paper-based or digitally formatted documents, screen prints, photographs supported by a personal statement; reports/logs.

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:

- **Questioning**

- **Professional discussion**

- **Assignments, tasks, projects or tests**. – centre devised projects, e.g. a case study.

Candidates should take responsibility for the development of their own portfolios, with appropriate support from tutors, employers and peers, and 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 within 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.

5.9 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 your centre assessors.

Evidence must meet all of the Assessment Criteria. The quality and breadth of evidence is assessed not the quantity.

Centre assessors should discuss with candidates the most suitable sources of evidence and ensure they 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 your centre assessor is confident that a candidate is competent in meeting the requirements of the unit.

Assessors must be satisfied, from the evidence presented, that candidates can work independently to the required standard.

5.10 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.

5.11 Questioning

Centre assessors may question a candidate for the assessment of these qualifications.

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..

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.

5.12 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.

5.13 Work products

Work products are produced in the workplace. They should be of naturally occurring practice within the candidate's role. The evidence presented for assessment may be the actual product or a record of the product.

5.14 Assignments, tasks, projects or tests

For some units it may be appropriate for your centre to devise assignments, tasks, projects or tests. 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.

5.15 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 are available for the recording documents to be used in a CAR and you will need to customise these for the qualification the candidate is taking. You may also design your own forms which must be approved during the approval visit or by our external verifier. The forms can be in any format but as a minimum they must contain the information identified in our *Admin guide: Vocational Qualifications.*

Candidates must record, on the relevant documents, all the evidence presented for assessment. These records will also be used by your 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 ongoing 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 your centre's internal quality assurance personnel and OCR external verifier for sampling purposes as part of the quality assurance process.

The forms are available, on the webpage, to assist your centre and candidates as they work towards these qualifications.

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. It 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 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 and the date when the activity took place and to record the witness's status and contact details.

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

This form records the type of activity undertaken, 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

This form links the evidence in the CAR to the assessment criteria. As evidence for the unit is gathered, it should be listed down the left hand side of the form. Where possible, the candidate should complete the form; an assessor may help if necessary.

The candidate must sign the form to confirm that the work is their own. The assessor must also sign to confirm the candidate has met the assessment criteria. The IQA must sign the form if the unit is part of their sample for quality assurance purposes.

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 internal quality assurer working on the qualification. The form provides evidence that the internal quality assurer's sample has met the requirements of the sampling strategy.

5.16 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 these qualifications 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 Claims Status (DCS) since the last visit

- identified work-in-progress portfolios

- access to observe assessments taking place

- access to our on-line claim system (Interchange)

- as requested by the EV, candidates, centre assessors and internal quality assurance personnel; which may include any portfolios claimed for certification through (DCS)

- 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 – assessment and 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 must record 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

- dates and outcomes of internal quality assurance

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

All external verifier 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 a decision then you should follow our [appeals process in vocational qualifications](#).

5.17 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 QCF/NVQ Certification – information for QCF/NVQ centres](#).

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

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

- DCS agreement

- DCS Register of accountable officers (containing the names of your centre's accountable officers who are responsible for the DCS certification claims)

- complete list of qualifications approved for DCS.

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

Once you have submitted claims, the external verifier will select a sample of candidates' work, which will be reviewed at the next external verifier visit. Your centre must retain or have access to 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 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.

Re-instatement of DCS

We will apply one of the following:

- reinstate DCS at the next external verifier visit if all action points have been completed

- centre is required 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.

- Direct Claims Status 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.

5.18 Centre malpractice guidance

It is the responsibility of the Head of Centre[1] to report (in writing) all cases of suspected malpractice involving centre staff or candidates to OCR Risk and Compliance using the following email address: compliance@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 is contained in the publication: *OCR Malpractice Procedures - A Guide for Centres* and the Joint Council of Qualifications (JCQ) publication: *General and Vocational Qualifications – Suspected Malpractice in Examinations and Assessments* which is available from www.jcq.org.uk.

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[1] The Head of Centre is defined as the most senior officer in the organisation, directly responsible for the delivery of OCR qualifications, e.g. the Principal of a College, the Head Teacher of a school, the Managing Director of a Private Training Provider or the Group Training Manager of a major company.

6 Support

6.1 Free resources

The following materials are available on our website:

- This handbook

- The units

- Assessment documents for use in candidates' assessment records.

  - RD01   Candidate profile - **mandatory**

  - RD02   Sample signatures of centre assessment team - **mandatory**

  - RD03   Record of unit achievement - optional

  - RD04   Index of evidence - optional

  - RD05   Record of assessment planning - **mandatory**

  - RD06   Record of assessment feedback - **mandatory**

  - RD07   Record of internal quality assurance feedback - **mandatory**

  - RD08   Record of witness/expert witness - optional

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

  - RD10   Evidence record sheet - **mandatory**

  - RD11   Record of internal quality assurance – **mandatory**

Centres must use these, or an approved equivalent form capturing the same information for the summative assessment of candidates.

6.2 Interchange

Interchange has been designed to help you to carry out day-to-day administration functions online, quickly and easily. The site allows you to buy candidate entries, make claims, see the progress of your claims and read centre feedback. In addition, you will have immediate and free access to candidate information. Sign up at www.ocr.org.uk/ocr-for/exams-officers/interchange/.

6.3 Professional Development Programme

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 our Professional Development Programme, please visit our website at http://www.ocr.org.uk/i-want-to/find/professional-development/.

6.4   Documents referred to in this handbook

Our publications:

- *Admin guide: Vocational Qualifications*

- *Making entries for vocational qualifications via Interchange*

- *Making online claims for vocational qualifications*

- *Fees list*.

Joint Council of Qualifications (JCQ) publications at www.jcq.org.uk

- *Access Arrangements, Reasonable Adjustments and Special Consideration*

- *Instructions for Conducting Examinations*

- *Suspected Malpractice in Examinations and Assessments.*

Ofqual Regulatory documents at *ofqual.gov.uk/how-we-regulate/regulatory-documents/*
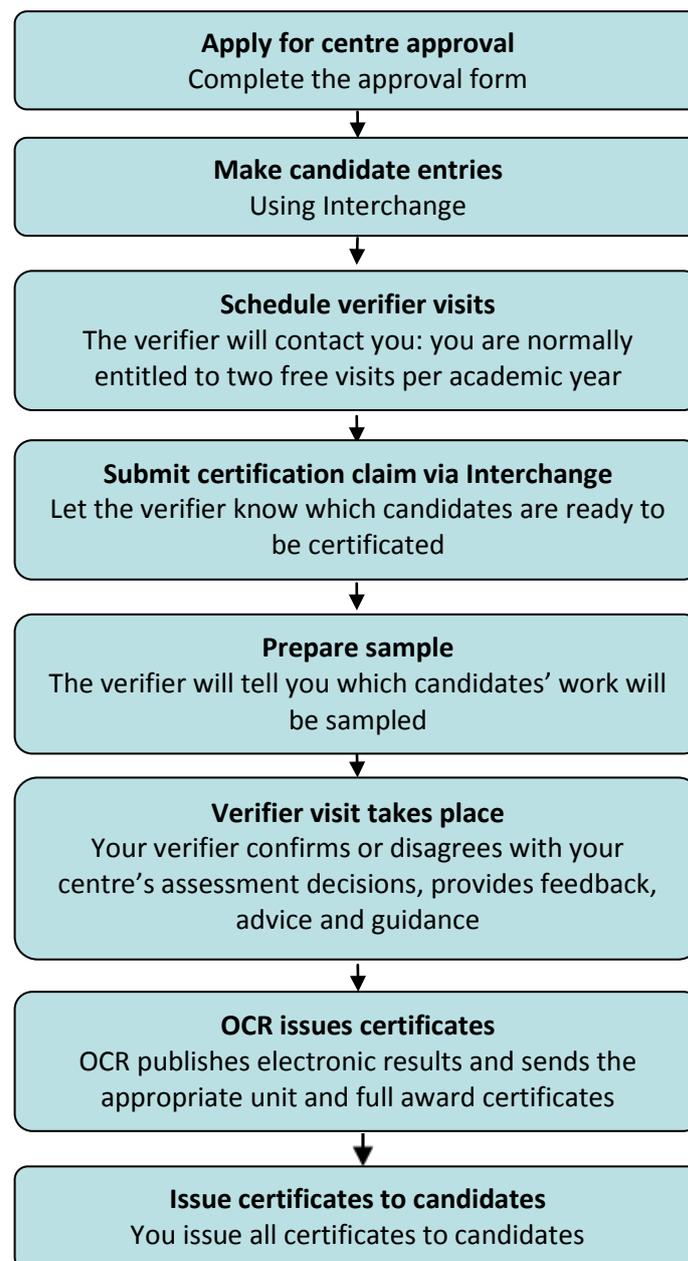
7   Administration

7.1   Overview of full process

The flow chart below provides a summary of the administration process for the qualifications.

For detailed information on the administration process you must refer to our *Admin guide: Vocational Qualifications.*

1.1.1   Administration flowchart for verified qualifications

```
┌─────────────────────────────────────┐
│         Apply for centre approval    │
│        Complete the approval form    │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│         Make candidate entries       │
│           Using Interchange          │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│        Schedule verifier visits      │
│  The verifier will contact you: you  │
│  are normally entitled to two free   │
│     visits per academic year         │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│ Submit certification claim via       │
│          Interchange                 │
│ Let the verifier know which          │
│ candidates are ready to be           │
│ certificated                         │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│           Prepare sample             │
│ The verifier will tell you which     │
│ candidates' work will be sampled     │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│       Verifier visit takes place     │
│ Your verifier confirms or disagrees  │
│ with your centre's assessment        │
│ decisions, provides feedback,        │
│ advice and guidance                  │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│         OCR issues certificates      │
│ OCR publishes electronic results and │
│ sends the appropriate unit and full  │
│ award certificates                   │
└─────────────────────────────────────┘
                  │
                  ▼
┌─────────────────────────────────────┐
│     Issue certificates to candidates │
│ You issue all certificates to        │
│ candidates                           │
└─────────────────────────────────────┘
```

7.2   How to apply for centre approval

Your centre can either complete and submit the electronic Centre Approval Form available on our website or download the form and return the paper version to OCR Operations.

If you have any queries about centre approval contact our Customer Contact Centre on
024 7685 1509.

7.3   Making entries

Entry codes

You can enter candidates for the full qualification or individual units using the following qualification entry codes:

The qualifications are internally assessed by centre staff and externally verified by us.

OCR entry code	Assessment model	Title	Qualification Number
09878	Externally verified	OCR Level 2 Certificate in Team Leading	600/2420/3
09879	Externally verified	OCR Level 3 Certificate in Management	600/2450/1

The units and any supporting documentation for these qualifications can be found on our website.

Qualification or unit entries for verified qualifications

Centres must have been approved to offer these qualifications in order to make entries. We recommend your centre applies to become an approved centre well in advance of making their first entries.

Entries must be made via Interchange - OCR's secure extranet facility. For full details of the process see *Making entries for vocational qualifications via Interchange*.

Candidates should be entered either for the full award **or** individual units; they should not be entered for both.

Options for candidate entry:

- Full award entry – Where candidates intend to complete the whole qualification, rather than just individual units, they can be entered for the full award. This is often a more cost-effective way of making entries. However if the candidate does not complete the full award, the remaining units cannot be transferred to another candidate. Please see the fees list for qualification and unit fees.

- Unit entry – Candidates can build their qualification unit by unit. This entry route may be useful if your centre is unsure whether a candidate is intending to complete the full qualification.

Route for making entries:

- Named entry – You provide specific candidate information, e.g. name and date of birth, for each unit or qualification. The advantage of named entry is that any materials we supply are personalised, requiring less manual work later.

Centres must have made an entry for a qualification or a unit in order for us to provide your OCR verifier's details.

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

Ofqual requires Awarding Organisations to capture the Unique Learner Number (ULN) for all candidates who have claimed certification for any of these qualifications. It is also a condition of funding that all candidates that claim certification for publically funded qualifications must have a valid ULN.

The Personal Learning Record (PLR) is a permanent, online record of a candidate's qualifications and achievements and supports Credit Accumulation and Transfer (CAT). Each unit and qualification in the Qualifications and Credit Framework (QCF) has a credit value. The PLR enables learners to accumulate a record of their achievements within one place and supports the transfer of credit for these units between learning providers and awarding organisations, therefore supporting learners to gain full qualifications.

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.

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 *Admin guide: Vocational Qualifications* and at the Learner Records Service.

7.5 How to make certificate claims

All claims should be carried out via OCR Interchange. For full details of the process see *Making online claims for vocational qualifications.*

7.6 Enquiries about results

Please refer to the *Admin guide: Vocational Qualifications*.

8   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.

8.1   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. See the *Admin guide: Vocational Qualifications* for full details.

For details on how to make online claims for QCF qualifications see the step-by-step guide; *Making online claims for vocational qualifications*.

8.2   Replacement certificates

For details on replacement certificates see the *Admin guide: Vocational Qualifications*.

9 Other information

9.1 National Occupational Standards (NOS) Mapping

These qualifications provide 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 relates to National Occupational Standards (NOS) in management and leadership.

Each unit contains details of the signposting to the NOS.

9.2 Functional skills signposting

Training provided for team leading and management may help to prepare candidates for the functional skills assessment (e.g. report writing may be good preparation for English). It is likely however that further training would be needed to fully prepare candidates for functional skills assessment.

Each unit contains details of the signposting to functional skills.

9.3 Avoidance of bias

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

9.4 Regulatory requirements

These qualifications comply with Ofqual's *General Conditions of Recognition* and Ofqual's *Regulatory Arrangements for the Qualifications and Credit Framework (Ofqual, August 2008).*

These qualifications have been regulated by Ofqual for delivery in England and Northern Ireland during the life of the qualifications and approved by the Welsh Government for use by centres in Wales.

Ofqual regulates qualifications, examinations and assessments in England and vocational qualifications in Northern Ireland. It does not regulate degrees.

CCEA regulates non-vocational qualifications in Northern Ireland.

The Welsh Government regulates qualifications, examinations and assessments in Wales. It does not regulate degrees.

9.5 Language

These qualifications and any associated assessment materials are in English only. Only answers provided in English will be assessed.

9.6 Centre resources and requirements

Your centre should ensure that appropriate physical resources are made available to candidates. Each unit will contain guidance on the resources required.

9.7 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 might occur neutral terms have been used so that candidates may apply whatever is appropriate to their own situation.

We will provide handbooks, assessments and supporting documentation in English.

Further information about the provision of assessment materials in Welsh and Irish may be obtained from our Customer Contact Centre: 024 76 851509.

9.8 Access arrangements and special consideration

Adjustments to standard assessment arrangements are made on the basis of the individual needs of candidates.

It is important 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, Reasonable Adjustments and Special Consideration at* www.jcq.org.uk.

You should also refer to this document for candidates who require a post-examination adjustment (special consideration) to reflect temporary illness, indisposition or injury at the time the assessment was taken.

For further guidance on access arrangements and special consideration refer to the *Admin guide: Vocational Qualifications*.

9.9 Wider issues

These qualifications provide 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 these qualifications will have opportunities to develop candidates' understanding, for example through:

- Unit 22: Key principles of team leading – comply with health and safety legislation

- Unit 22: Key principles of team leading – the rights of an individual to be informed of and to access data held about them by an organisation (Data Protection Act)

- Unit 31: Gaining results from your team – confidentiality of information (employer and clients); the need to ensure data security

- Unit 24: Developing a team – the effects of relevant legislation on equality, diversity and inclusion.

10   Contacting us

10.1 Customer feedback and enquiries

If you have any comments or enquiries about the qualifications in this handbook you can contact one of our customer contact advisers. You can:

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

email: vocational.qualifications@ocr.org.uk

telephone: 024 76 851509

fax: 024 76 421944

You could also visit our website at www.ocr.org.uk for further information about our qualifications.

10.2 Complaints

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

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

11 Qualification overview

Title	OCR Level 2 Certificate in Team Leading			
OCR entry code	09878	**Qualification Number (QN)**		600/2420/3
Age group approved	Pre-16	16-18	18+	19+
	No	Yes	No	Yes
This qualification is suitable for candidates:	• studying in preparation for employment in management • wishing to gain a Level 2 qualification to support further study in Further Education (FE) and Higher Education (HE) in management • wishing to gain a Level 2 qualification to support further study in FE or HE in any other sector or subject area			
Entry requirements	There are no formal entry requirements for this qualification.			
Credit requirement	a minimum of 13			
Structure and options	3 mandatory units from mandatory Group			10 credits
	minimum credit from optional Group			3 credits
	minimum credit to be achieved at level 2 or above the level of the qualification			10 credits
Assessment model	This qualification is pass/fail. This qualification is internally assessed by centre assessors and quality assurance personnel and externally verified by OCR.			
Last date to enter candidates	This is the operational end date for the qualification. 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 accredited qualifications and our last entry/certification notification.			

Title	OCR Level 3 Certificate in Management		
OCR entry code	09879	**Qualification Number (QN)**	600/2450/1
Age group approved	Pre-16	16-18	18+	19+
		Yes	No	Yes
This qualification is suitable for candidates:	• studying in preparation for employment in management • wishing to gain a Level 3 qualification to support further study in Further Education (FE) and Higher Education (HE) in management • wishing to gain a Level 3 qualification to support further study in FE or HE in any other sector or subject area		
Entry requirements	There are no formal entry requirements for this qualification.		
Credit requirement	a minimum of 13		
Structure and options	3 mandatory units from mandatory Group		10 credits
	minimum credit from optional Group		3 credits
	minimum credit to be achieved at level 3		10 credits
Assessment model	This qualification is pass/fail. This qualification is internally assessed by centre assessors and quality assurance personnel and externally verified by OCR.		
Last date to enter candidates	This is the operational end date for the qualification. 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 accredited qualifications and our last entry/certification notification.		