![OCR - Oxford Cambridge and RSA logo]

Management

Centre Handbook

OCR Level 5 Diploma in Management and Leadership
Entry code 10336

> This qualification closed for entries on 31/12/2020
> Last certification will be 31/12/2022

Key updates to this handbook

Section	Title of section and change	Version and date issued
Front cover	Last Entry and Last Certification date added.	Version 4 November 2021
All sections	**The format of this handbook has been completely updated to bring in line with a new template. The qualification content and structure remains unchanged from previous version, but some of the supporting information has been bought up-to-date following a review of documents. The sections affected are detailed as follows:**	
1	Qualification overview – table updated	
2	2.5 Unique Learner Number (ULN) – new section title	
4	Introductory paragraph added 4.1 Assessment centre requirements – Content updated 4.2 Centre assessor responsibilities – New section title and content updated 4.3 Internal Quality Assurance Personnel (IQA) – content updated.	
5	Title updated and introductory paragraph added 5.2 Assessment and the Data Protection Act – content updated 5.3 Authentication – content updated 5.4 Direct Claim Status (DCS) – content updated 5.5 Initial assessment of learners – content updated 5.6 Planning assessment – new section title 5.8 Methods of assessment – content updated 5.9 Examining the evidence – content updated 5.15 Quality assurance – how it works – new section title and content updated	
6	6.2 Wider issues – content updated 6.4 Accessibility – content updated 6.5 Reporting suspected malpractice – content updated	
7	Introductory paragraph updated 7.1 Claiming certificates – content updated 7.2 Assessment review/appeals – new section title and content updated 7.3 Replacement certificates – content updated	
9	9.2 Professional development training event – new section title and content updated	

	9.3 Useful documents and links – new section title and content updated	
All sections	Updated: Address for registered office Copyright statement Contact details Hyperlinks refreshed	Version 3 January 2019
2	2.2 Qualification size	
5	5.16 Candidate cumulative assessment record	
All sections	Amended reference to the Admin Guide to the new Administration area on the [OCR website](#) and removed the section on administration arrangements. References to the Qualifications and Credit Framework (QCF) have been changed to Regulated Qualifications Framework. Updated contact information in the event of any queries concerning the units or assessment.	Version 2 June 2017
2	The following information has been updated: 2.2 Delivery in Wales and Northern Ireland 2.3 Funding 2.5 Unique Learner Numbers and the Personal Learning Record	
3	3.4 Recognition of prior learning	
5	5.2 Information added about data protection 5.3 Resubmitting work for assessment	
6	6.4 Access arrangements and special consideration 6.5 Reporting suspected malpractice	
11	Contacting us - information updated	
	Administration arrangements – section deleted	

Contents

1. Qualification overview

Title	OCR Level 5 Diploma in Management and Leadership			
OCR entry code	10336	**Qualification Number (QN)**		600/8227/6
Age group approved	Pre-16	16-18	18+	19+
			✓	✓
This qualification is suitable for	• Managers studying for further employment in any sector • Learners wishing to gain a Level 5 qualification to support further study in FE or Higher Education (HE) in the Management sector or any other sector or subject area			
Entry requirements	There are no formal entry requirements for this qualification. However, it is expected that learners will have significant experience of working at a middle management level to ensure they have the suitable foundations on which to further build their knowledge.			
Credit requirement	A minimum of 40 credits			
Structure and options	1 mandatory unit		10 credits	
	minimum credit from optional Group		30 credits	
	minimum credit to be achieved at level 5 or above		35 credits	
Assessment model	This qualification is pass/fail. This qualification is internally assessed by centre assessors and quality assurance personnel and externally quality assured by OCR.			
Last date to enter learners	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.			

2. Introduction

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

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

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

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

Information about the administration of this qualification is available on our website.

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

2.1 How is the qualification assessed?

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

2.2 Delivery in Wales and Northern Ireland

Learners 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 learners may apply whatever is appropriate to their own situation.

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

2.3   Funding

Some qualifications may be eligible for a loan. For more information about Advanced learner loans see the Education and Skills Funding Agency.

You should use the Qualification Number (QN) when looking for public funding for learners.

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

2.4   Qualification size

The size of the qualification is described in terms of Guided Learning Hours (GLH) and Total Qualification Time (TQT).

GLH indicates the approximate time (in hours) that the learner will be supervised during any teaching, learning or assessment activities. We have worked with people who are experienced in delivering this qualification to determine what content needs to be taught and how long it will take to deliver.

TQT is comprised of two elements: GLH, and an estimate of the number of hours a learner will reasonably spend on any unsupervised learning or assessment activities (including homework) so they can successfully achieve their qualification.

OCR Level 5 NVQ Diploma in Management and Leadership minimum 240 GLH and 400 Total Qualification Time (TQT).

2.5   Unique Learner Number (ULN)

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.

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

Where a learner has a ULN, you must enter their ten digit number in the ULN field when making entries via Interchange. For learners 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.

For more information, and to generate a ULN, please refer to the Learning Records Service.

3. Qualification structure and entry requirements

3.1 About the qualification

The qualification provides valuable opportunities for learners to:

- develop skills

- gain underpinning knowledge and understanding

- provide progression into senior management roles

- improve employability

- continue professional development.

3.2 Qualification aims/objectives

The OCR Level 5 Diploma in Management and Leadership aims to:

- provide a relationship between the NVQ component and the underlying knowledge and skills required for this technical certificate component of the Higher Apprenticeship in Management and Leadership framework

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

- develop learners' knowledge and understanding across a range of management concepts that are relevant to senior management

- provide the underpinning knowledge in order to develop learners' abilities to set and support organisational objectives through a wide range of functions, such as informing strategic decision making or managing programmes of complimentary projects.

3.3 Entry requirements

There are no formal requirements for entry to this qualification.

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

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

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

3.4   Recognition of Prior Learning

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

•   domestic/family life

•   education

•   training

•   work activities

•   voluntary activities.

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

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

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

3.5   Progression

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

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

3.6   Qualification structure and rules of combination

This qualification has a rule of combination (ROC).

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

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

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

The units are available to download from our qualification webpage.

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

To achieve this qualification a learner must achieve the following:

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

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

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

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

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

4. Centre assessor and quality assurance personnel requirements

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:

- make sure there are sufficient trained or qualified personnel to assess the number of expected learners

- make sure there are sufficient trained or qualified personnel to internally quality assure for the number of learners 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 make sure that all assessments are valid, reliable, safe and manageable and suitable to the needs of the learner

- make sure evidence is authentic and sufficient

- make sure there is a standardisation process in place to make sure that all assessments are consistent and fair

- make sure those undertaking the roles of quality assurance and assessment maintain their skills, knowledge and understanding about assessment and quality assurance and the associated qualification

- make sure there is sufficient time to conduct effective assessment and internal quality assurance

- make sure any corrective measures, identified by OCR External Quality Assurers (EQAs) and OCR, are addressed.

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. Centres must ensure that there is sufficient time to conduct effective assessment and internal quality assurance.

- Assessment decisions for criteria that must be assessed in the workplace, as identified in unit assessment requirements, must be made in a real work environment by an occupationally competent assessor.

- Assessment decisions for criteria that must be assessed in the workplace (competence based assessment criteria) must be made by an assessor with the expertise to make assessment decisions.

- Competence based assessment must include direct observation as the main source of evidence.

- Simulation may only be utilised as an assessment method for competence based assessment criteria where this is specified in the assessment requirements of the unit.

- Expert witnesses can be used for direct observation where:
  - they have occupational expertise for specialist areas, or
  - the observation is of a particularly sensitive nature.

  The use of expert witnesses should be determined and agreed by the assessor.

- Assessment of criteria not identified in the unit assessment requirements as requiring assessment in the workplace may take place in or outside of a real work environment.

- Assessment decisions for knowledge based assessment criteria must be made by an occupationally knowledgeable assessor.

Assessment decisions for knowledge based assessment criteria must be made by an assessor qualified to make assessment decisions. Where assessment is electronic or undertaken according to a set grid, the assessment decisions are made by the person who has set the answers.

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, for example teacher, tutor, supervisor, manager. All centre assessors must have the role of assessor identified in their role profile.

All assessors must:

- have the role of assessor identified within their role profile; where assessment forms part of an individual's role

- be occupationally knowledgeable in the units they are assessing. This means that each assessor must, according to current sector practice, be knowledgeable in the functions covered by the units they are assessing. Assessors must be able to demonstrate consistent application of the required knowledge and understanding, in the context of a recent role directly related to the units they are assessing as a practitioner, trainer or manager

- hold, or be working towards, an appropriate assessor qualification (e.g. A1, CAVA, D32/33, TAQA). For those working towards an appropriate assessor qualification, it will need to be achieved within twelve months of the starting date and all decisions must be countersigned by a qualified assessor

- be familiar with the units that relate to the qualification and must be able to interpret and make judgements on current working practices and technologies within the area of work

- have direct or related relevant experience in assessment

- understand and apply OCR documenting requirements

- be committed to further training and development.

4.3 Internal quality assurance personnel (IQA)

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

All Internal Quality Assurers (IQAs) must:

- be qualified as an Internal Quality Assurer (IQA) (either V1, D34 or Award in the Internal Quality Assurance of Assessment Processes and Practice)

- be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role. IQAs must also sample the assessment process and resolve differences and conflicts on assessment decisions

- ensure that assessment has been carried out by persons who are occupationally competent within the area they are assessing

- maintain their occupational knowledge by actively engaging in continuous professional development activities in order to keep up-to-date with developments within the sector.

For the purpose of Internal standardisation, a member of staff needs to be nominated to take responsibility for this process.

The role of the IQA is to:

- make sure all centre assessors are assessing to the required standard

- make sure that all assessment decisions are fair, valid and reliable

- make sure feedback is given to all centre assessors and documented e.g. records of feedback

- suggest ways in which assessment may be brought into line to meet the required standards

- check that all units have been included in internal standardisation

- organise regular standardisation meetings / activities / events for the centre assessors

- provide feedback to centre assessors and identify development needs.

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 OCR's criteria for verified qualifications. Non-compliance with the OCR Criteria will result in sanctions and actions which your EQA will discuss with you at your visit and document on the EQA report.

5.1 Assessment: How it works

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

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

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

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

The OCR Fees List provides details of all fees applicable to these units and qualification.

5.2 Assessment and the Data Protection Act

Centre assessors, who are responsible for assessing learners' evidence for internally assessed units, must make sure that learners know they must comply with the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR) when they are producing work for assessment. Learners must not reference another individual's personal details in any evidence produced for assessment. It is the learner's responsibility to make sure evidence that includes another individual's personal details is anonymised.

5.3 Authentication

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

Wherever possible, the assessor should discuss work-in-progress with learners. This will not only make sure that work is underway in a planned and timely manner but will also provide opportunities for assessors to check authenticity of the work and provide general feedback.

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

Plagiarism

Learners 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 work submitted for external quality assurance where plagiarism is suspected will be reported to OCR and investigated. The outcome of the investigation may involve sanctions/penalties imposed on learners, staff and/or the centre.

Plagiarism sometimes occurs innocently when learners are unaware of the need to reference or acknowledge their sources. It is therefore important that centres make sure that learners understand that work they submit must be their own and that they understand the meaning of plagiarism and what penalties may be applied. Learners may refer to research, quotations or evidence but they must list their sources.

If learner work has been copied from a published or electronic source, and has been referenced, this can still be classed as plagiarism. Where the copied work cannot be considered to be his/her own independent work and/or does not demonstrate the learner's own practice, understanding and knowledge of the subject.

The JCQ Plagiarism in Assessments Guidance for Teachers/Assessors provides further information.

Resubmitting work for assessment

While there are no restrictions on the number of times that a learner can resubmit evidence, it is the responsibility of the assessor to make sure that the details of any feedback and guidance are clearly recorded.

Resubmission at the centre assessment stage is intended to allow the learner 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.

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

5.4 Direct Claim Status (DCS)

Centres who consistently meet all the required criteria and deliver high quality assessment for an individual qualification over approximately a twelve month period could be awarded DCS. This is when centres can claim certification for identified qualifications in between their EQA. Visits. Please see the OCR Administration area - Direct claim status for more details.

The decision on whether DCS is awarded, retained, or withdrawn lies with OCR.

In addition to the checks made by the OCR EQA during an EQA visit, OCR (not EQAs) will undertake short notice record reviews of DCS claims. OCR will contact centres and request a copy of the candidate claims record.

Critical points regarding Direct Claim Status

- A **candidate claims record** must be completed and maintained for all claims made via DCS. A template is available for this or centres can create their own record or use an existing report from a management information system. The record must include learner and unit details for any DCS claims made since the centre's last quality assurance visit.

- Centres will keep assessment and internal quality assurance records relating to learners for who direct certification has been claimed for at least three years from the date of the claim. These records will include learner names and registration numbers with details of assessment decisions, internal quality assurance and claims for certification.

- Centres **must** advise OCR immediately of any staffing or resource changes. Where Internal Quality Assurers (IQAs)s change, we reserve the right to remove DCS pending the evaluation of a new IQA. Direct Claim Status may be removed at any time if we believe that the above information is no longer current or the assessment and quality assurance at the centre is compromised.

- All portfolios for learners certificated via DCS since the previous quality assurance visit must be available to the EQA on request during the visit. This is in addition to the portfolios pre-selected for sampling by the EQA.

- All learners, including any who leave the centre following certification via DCS, must be asked to retain their portfolios and Cumulative Assessment Records (CARs) in good condition until the next EQA visit **for the qualification** claimed.

- Certificates issued under DCS must be confirmed through a quality assurance visit. If a portfolio is not available for sampling by the OCR EQA when requested or the work in the portfolio does not meet the required standards the certificate may be considered invalid. In these circumstance OCR may request the return of the certificate for withdrawal. Centres are expected to support learners to complete work to meet the standards and/or enable OCR to sample the portfolio.

- Please note that centre practice that has resulted in OCR issuing an invalid certificate is considered to be malpractice as defined in the JCQ Suspected Malpractice: Policies and Procedures document and which the Head of Centre may be required to investigate. This may result in sanctions and/or penalties being imposed on the centre and/or member(s) of staff in the centre.

- Centres must ensure that an EQA visit takes place before they close, withdraw from delivering the qualification and/or the last certification date of a qualification. All learners claimed by DCS since the last EQA visit must be included for sampling by the EQA at the final visit.

- Direct Claims Status will be withdrawn from all centres 3 months before the last certification date of a qualification or after the final EQA visit to the centre, whichever is sooner.

- The decision on whether DCS is awarded, retained or withdrawn lies with OCR. OCR reserves the right to remove DCS at any time without notice.

Direct Claim Status additional quality checks

- Your candidate claims record will be requested and reviewed by OCR (not the EQA) **as additional short notice quality checks** of DCS claims **made by centres between EQA visits**.

- Copies of your candidate claims record may be requested over the course of the year depending on the number of DCS claims which are made.

- When requested, you will need to email us a copy of the record **within three working days**.

- We will then check your candidate claims record against your DCS claims on our system and let you know if there are any issues or not.

- Please refer to the OCR criteria for verified qualifications in respect of sanctions that may be imposed if issues are identified during a short notice quality check.

5.5   Initial assessment of learners

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

This will also:

- allow centre assessors to plan the assessment

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

- enable learners to understand the best place to start collecting evidence.

For further information about entry requirements and prior learning see section 3.3 Entry requirements and section 3.4 Recognition of prior learning.

5.6   Planning assessment

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

- agreeing the best source of evidence to use for particular units

- determining the best way of assessing the learner

- 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 learners.

5.7   Making assessment decisions

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

Centre assessors should:

- plan with the learners

- assess learner knowledge and understanding

- look at the evidence

- question and give feedback to the learner working towards the qualifications being assessed.

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

5.8   Methods of assessment

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

- valid

- reliable

- safe and manageable

- suitable to the needs of the learner.

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 learner's practical skills or their ability to work well with others.

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

As well as assessment methods being valid, the evidence presented must also be valid. For example, it would not be appropriate to present an organisation's policy on "child protection" as evidence towards the requirement of unit 2. It may be more appropriate for the learner and assessor to have a discussion about the policy and for the learner to explain how it is relevant, illustrated with examples from their work of their compliance to the requirements. This discussion could then be assessed by the assessor and recorded as evidence.

Reliable

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

Safe and manageable

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

Suitable to the needs of the learner

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

For learners who have access requirements please see section 6.4 Accessibility.

If centre staff think that any aspect of this qualification unfairly restricts access and progression, they should talk to their OCR External Quality Assurer (EQA) about this.

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

- **examining the evidence** by a centre assessor

- **questioning** the learner or witness by a centre assessor

- **professional discussion**.

In some situations, the centre assessor can arrange a formal discussion with the learner to provide evidence of the learner's performance and knowledge (see section 5.11 Professional discussion).

5.9   Examining the evidence

Approved and qualified centre assessors (see section 4 Centre assessor and quality assurance personnel requirements) must examine the evidence for the assessment of this qualification.

Evidence can:

- reflect how the learner carried out the process/activity

- be the product of a learner's work demonstrating how the required knowledge and understanding is applied

- be a product relating to the learner's competence.

For example:

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

Learners must not reference another individual's personal details in any evidence produced for summative assessment. It is the learner's responsibility to ensure that any evidence which includes another individual's personal details is anonymised to comply with the Data Protection Act 2018 and the UK General Data Protection Regulation (GDPR).

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

5.10 Questioning

Approved and qualified centre assessors (see [section 4 Centre assessor and quality assurance personnel requirements](#)) may question a learner or witness for the assessment of this qualification.

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

- test a learner's knowledge of facts and procedures

- check if a learner understands principles and theories.

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

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

5.11 Professional discussion

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

5.12 Performance evidence

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

- products or outcomes of the learner's work (for example, things that the learner produced or worked on). The evidence presented for assessment may be the actual product or a record of the product

- proof of the way the learner carried out their work (that is, the process they went through). An internal centre assessor's observation of a learner provides performance evidence and would be suitable for this qualification.

5.13 Where evidence comes from

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

- performance and knowledge evidence may come from a learner carrying out workplace activities

- knowledge evidence may come from answering the centre assessor's questions.

5.14 Medium that can be used

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

5.15 Amount of evidence needed

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

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

5.16 Cumulative assessment record (CAR)

A cumulative assessment record (CAR) is the learner'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 Quality Assurer (EQA). The forms can be in any format but as a minimum they must contain the following information: Templates are available for the recording documents to be used in a CAR and you will need to customise these for the qualification the learner is taking. You may also design your own forms which must be approved during the approval visit or by our External Quality Assurer (EQA). The forms can be in any format but as a minimum they must contain the following information:

- the learner's name and location

- the title and level of the qualification they are taking

- the learner's start date on the programme and confirmation of learner registration

- the name of the centre assessor

- the name of the internal quality assurance personnel

- the date and outcome of the initial assessment of the learner

- dates and details of learner reviews and feedback sessions

- assessment method(s) used

- dates of all assessments and their outcomes (that is, the decision whether the learner 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

- learner's achievement(s).

Learners 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 learner and their centre assessor. The learner should fill in and keep the CAR while working towards their qualification. A centre assessor may help the learner complete the CAR if necessary. It may be viewed by the centre's internal quality assurance personnel and OCR External Quality Assurer (EQA) for sampling purposes as part of the quality assurance process.

Examples of other forms and recording documents are provided to assist centres and learners as they work towards this qualification, please see the OCR website.

5.17 Quality assurance – how it works

Internal quality assurance

It is your centre's responsibility to appoint internal quality assurance personnel (See section 4.4) to manage the internal quality assurance (IQA) process.

The purpose of internal standardisation is to monitor standards and to ensure consistent and reliable assessment decisions across all staff, ensuring that all assessment requirements of the qualification are met. Internal standardisation provides a system for checking the quality of assessment to make sure that it is, valid, authentic, current, and reliable.

For this qualification you must carry out internal quality assurance to make sure that all learners' evidence is assessed consistently to the required standard.

A nominated member of staff (IQA) at your centre must take responsibility for the process and will:

- advise on interpretation of the standards, including feedback from previous assessments (where relevant)

- provide advice and support to centre assessors (staff who are assessing the qualification)

- monitor and observe assessment practice to ensure that all assessments are in line with the required standards.

- make sure feedback is given to all centre assessors and documented e.g. records of feedback

- maintain quality assurance documentation

- liaise with the allocated EQA.

There are three stages of assessment where internal standardisation plays a vital role: setting of assessments – including devising and/or modifying by centres, production of evidence and expectations and standardising centre staff assessment decisions.

Internal standardisation is an ongoing process and should always include the following formal stages:

- review centre devised / modified assignments, if relevant

- standardise assessment decisions

- sample assessment evidence

- review assessment practices.

A guide to internal standardisation for vocational qualifications is available on the OCR website.

External quality assurance

Once you make learner registrations, we will allocate an EQA who will arrange to visit your centre to verify your assessments and internal quality assurance. OCR will contact you to request information on the learners and assessment staff is sent to the EQA.

EQA visits take place twice a year (roughly 6 months apart) and at the end of each EQA visit a provisional date is agreed for the next visit. Visits take place irrespective of whether certification claims have been made as learners are sampled mid-qualification as well as at the point of certification. When learners have completed units of the qualification and they have been assessed and internally quality assured, claims for the units or full awards can be made via OCR Interchange.

The EQA **must** interview learners, centre assessors and internal quality assurance personnel during their visits.

For each external quality assurance visit your centre must have available and provide access to the OCR EQA:

- the learner assessment records for all learners

- all evidence/portfolios for learners certificated by Direct Claims Status (DCS) since the last EQA visit

- the portfolios for learners the EQA has requested to sample

- assessments taking place for observation, when requested/arranged

- OCR's on-line claim system (Interchange)

- as requested by the EQA, learners, centre assessors and internal quality assurance personnel which may include any claims for certificates through Direct Claims Status (DCS)

- 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. Authorised copies of original certificates and 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 EQA visit,

- if recorded evidence is used, make sure all recordings and appropriate playback equipment is available.

Centre records required for quality assurance

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

As a minimum these must record the following information:

- the learner's name and location

- the title and level of the qualification they are taking

- the learner's start date on the programme and confirmation of learner 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 learner

- dates and details of learner reviews and feedback sessions

- assessment method(s) used

- dates of all assessments and their outcomes (that is, the decision whether the learner 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 resulting from internal quality assurance

- learner's achievement(s).

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

OCR External Quality Assurer (EQA) reports for centres

Our EQA will report against the [OCR criteria for verified qualifications](). Our EQA will use the report to provide feedback to your centre and to OCR.

All EQA reports are reviewed by OCR and their actions/recommendations are considered. The final decision on the application of sanctions at Level 2 or above lies with OCR.

If your centre is found to be non-compliant with any of the OCR criteria this will result in action(s) and appropriate sanction(s) being recommended. When a sanction is recommended there will always be one or more actions for your centre to address.

If you wish to appeal a sanction or EQA decision then you should follow the link to [OCR Administration area - Post result services]().

6. Delivery

6.1 Mode of delivery

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

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

OCR does not specify the mode of study or a time limit for the achievement of this qualification other than the last entry/last certification dates.

6.2 Wider issues

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

Spiritual, moral, ethical, social and cultural issues

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

- the rights of an individual to be informed of and to access data held about them by an organisation (Data Protection Act 2018 and the UK General Data Protection Regulation (GDPR))

- the copyrights of individuals and organisations over published electronic data

- confidentiality of information (employer and clients); the need to ensure data security

- computer misuse

- responsibility of honesty and accuracy in recording, manipulating and presenting data.

Environmental issues and health and safety considerations

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

- correct procedures for working with IT equipment

- print consumables

- energy saving software.

6.3   Centre resources and requirements

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

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

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

6.4   Accessibility

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

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

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

For further guidance on access arrangements and special consideration refer to the Exams Officers area of the OCR website.

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

6.5   Reporting suspected malpractice

It is the responsibility of the Head of Centre[1] to report all cases of suspected malpractice involving centre staff or learners. A JCQ Report of Suspected Malpractice form (JCQ/M1 for learner suspected malpractice or JCQ/M2 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 suspected malpractice promptly and report the outcomes to OCR.

More information about reporting and investigating suspected malpractice and the possible sanctions and penalties which could be imposed, is contained in the JCQ Suspected Malpractice Policies and Procedures document available from the JCQ website. Centres may also like to refer to the OCR Website for more details.

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[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 assessments

7.   Certification

Learners who achieve the full qualification will receive:

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

- a certificate giving the full qualification title and the qualification number.

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

7.1   Claiming certificates

Certificates (unit and/or full award) issued for learners will be sent to your centre for distribution. In order to make sure that these are automatically issued, you must make sure that the OCR learner number is **always** used where a learner has already achieved one or more units. For more details refer to the OCR Administration area – Certificates.

Please ensure you carry out careful checks before making certification claims to avoid incorrect/invalid certificates being issued. Before submitting a claim, carefully check to make sure the correct units have been selected and the correct grades have been entered. You must check each certificate you receive before handing it to the learner.

7.2   Assessment review/appeals

Learners appealing against their assessor's assessment decision should follow the centre's appeal process.

If a centre wishes to appeal against the OCR EQA's assessment decision, they should request that their EQA submit their appeal to the Chief EQA.

Centres can appeal against the outcome of a malpractice case and sanctions imposed due to non-compliance with the OCR criteria.

To find out more about these, please refer to OCR Administration area - Post result services.

7.3   Replacement certificates

For details on replacement certificates refer to the OCR Administration area – Certificates.

8.   Apprenticeship information

8.1   How do I get a certificate for the apprenticeship?

The Higher Apprenticeship is certificated by Instructus. For full details of frameworks please see the Instructus website https://www.instructus-skills.org/, alternatively all apprenticeship frameworks are available from Apprenticeship Certificates England or Apprenticeship Certification Wales.

8.2   About the apprenticeships

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

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

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

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

8.3   What makes up an apprenticeship?

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

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

Each apprenticeship is made up of:

- Competence qualification i.e. OCR Level 5 NVQ Diploma in Management

- Knowledge qualification i.e. OCR Level 5 Diploma in Management and Leadership

- Employee Rights and Responsibilities - Assessed using Instructus Employment Rights and Responsibilities workbook. This can be downloaded from https://www.instructus-skills.org/.

9.   Support

9.1   OCR assessment documents

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

- Assessment decision record

- Assessment feedback record

- Assessment planning record

- Evidence Record Sheet

- Evidence summary sheet

- Record of achievement

- Witness list

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

Evidence checklists

OCR provides evidence checklists which are available to download.

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

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

For verified units this form (or a suitable alternative) is mandatory for learners' 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 learner with the help of an assessor if necessary.

You are free to design alternative recording sheets for your learners and centre to use. The sheets must meet certain criteria and be approved by your External Quality Assurer (EQA). Full details on the design and approval of recording sheets visit the qualification page.

Evidence Summary Sheet (one for each verified unit)

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

Assessment Planning Record

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

Assessment Decision Record

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

Assessment Feedback Record

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

Witness List

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

Record of Achievement

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

9.2   Our professional development programme

As part of our teacher training we offer a broad range of courses. We are 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 professional development, please visit our website.

9.3   Useful documents and links

OCR	OCR's Administration area www.ocr.org.uk/administration/ OCR's criteria for verified qualifications What is malpractice?
JCQ	Publications at https://www.jcq.org.uk/ *Access arrangements, reasonable adjustments and special considerations* *JCQ Suspected Malpractice Policies and Procedures*
Ofqual	https://www.gov.uk/government/organisations/ofqual register.ofqual.gov.uk/

10. Administration and other information

10.1 Administration

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

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

10.2 National Occupational Standards (NOS) Mapping

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

Each unit contains details of the signposting to the NOS.

10.3 Avoidance of bias

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

10.4 Regulatory requirements

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

11. Contacting us

11.1 Feedback and enquiries

We aim to provide consistently great customer service and your feedback is invaluable in helping us to achieve our goal. For questions about our qualifications, products and services, please contact the Customer Support Centre. To leave your feedback on the OCR website, people and processes please use our feedback form.

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

Telephone: 01223 553998
Email: support@ocr.org.uk

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

11.2 Complaints

We are committed to providing a high quality service but understand that sometimes things can go wrong. We welcome your comments and want to resolve your complaint as efficiently as possible. To make a complaint please follow the process set out on our website.