



Level 5 NVQ Diploma in
MANAGEMENT AND LEADERSHIP

Qualification Specification

Qualification recognition number: 601/3854/3
Qualification Reference: L5NVQDML

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Section One

Centre Requirements

1.1 Introduction

Introduction to FutureQuals

FutureQuals is forward thinking, learner and customer-focused, and committed to delivering inspiring learning and skills.

Our Values

“We are a Visionary, Supportive, Innovative and Professional Awarding Organisation that is committed to excellence.”

Our Vision

“We envisage a place in which every learner realises their full potential.”

Our Mission

“To provide respected and valued qualifications and assessment to enable quality assured learning.”

FutureQuals is recognised to deliver regulated qualifications by Ofqual in England, CCEA Regulation in Northern Ireland, the Scottish Qualifications Authority (SQA Accreditation) and Qualifications Wales to offer a comprehensive and diverse range of qualifications across a wide range of vocational areas many of which are transferable across industries and sectors.

A full list of FutureQuals current qualifications can be accessed at <http://www.futurequalsquals.com>

We have developed a genuine understanding and insight into all types of educational organisations, which ensures that we are highly responsive to their needs. We offer a wide range of benefits and support for our learners, our approved centres, and their assessment and quality assurance teams.

FutureQuals offers a wide range of benefits and support for all of our educational products and services including:

- Vocational qualifications accredited by the UK regulators and recognised by employers, universities and professional bodies
- 24/7 online management systems for the registration of learners, ensuring highly efficient services and access to assessment and results
- A diverse range of qualifications
- A flexible approach to assessment
- A network of professionals who examine and quality assure our regulated qualifications and assessments
- Regular updates on new developments in education and training
- Unrivalled customer service support and extensive guidance materials

Introduction to Qualification Specification

Welcome to the FutureQuals Specification for the **Level 5 NVQ Diploma in Management and Leadership**. The aim of this specification is to provide our centres with guidance to assist in the administration, delivery and assessment of this qualification. It is recommended that you study this specification in detail and become fully conversant with the procedures and accompanying documents.

This specification is a live document and, as such, will be updated when required. Centres will be notified when changes are made. It is the responsibility of the approved centre to ensure the most up to date version of the Approved Specification is in use.

This document is copyright but may be copied by approved centres for the purpose of assessing learners. It may also be copied by learners for their own use.

1.2 Data Protection

FutureQuals is registered with the Data Protection Act and handles all data in accordance with the required procedures of the Act.

1.3 Complaints

FutureQuals aims to constantly monitor the levels of service provided and report on performance indicators on a regular basis. We will endeavour to be open about the levels of service we aim to offer all our customers.

However, if we fall short of expectations or our own standards, we want to give the opportunity for those affected to provide feedback so we can put things right.

Our Complaints Policy, which includes information on how to make a complaint, can be found on the FutureQuals website.

1.4 Enquiries

Any enquires relating to this qualification should be addressed to:

Future (Awards and Qualifications) Ltd
EMP House
Telford Way
Coalville
Leicestershire
LE67 3HE

Tel: 01530 836662

Fax: 01530 836668

E-mail: qualifications@futurequals.com

Website: www.futurequals.com

Section Two

Qualification Information

2.1 Qualification Outline

Purpose and Aims

The Level 5 NVQ Diploma in Management and Leadership is suitable across all occupations and sectors of employment, and is aimed at learners who have the ability and the opportunity to demonstrate recognisable management skills. For example, managing business processes, leading, planning and implementing change, managing finance and providing learning opportunities. Individuals may find that the focus of their work is more to do with managing projects, or with technical matters, than with people.

The Total Qualification Time (TQT) for this qualification is: 530

Guided Learning (GL) for this qualification is: 247 hours

Minimum credits required to achieve the qualification: 53

Suitable for age ranges: 18+ 19+

Method of assessment: Portfolio of Evidence. This qualification is internally assessed and internally quality assured by Centre staff and externally quality assured by FutureQuals External Quality Advisors (EQAs).

If the method of assessment includes formative assessments such as practical tasks, written questions, multiple choice/short answer and knowledge assessment tasks where supervision of a learner assessment is required, assessment must be undertaken in line with the requirements set out in the FutureQuals Instructions for Conducting Controlled Assessments Policy. This document is published on the Policies and Procedures section of the FutureQuals website.

Grading: There is no specific grading criteria for this qualification.

2.2 Additional Information

This qualification is regulated by the Office of the Qualifications and Examinations Regulator (Ofqual) in England <https://register.ofqual.gov.uk> and CCEA Regulation in Northern Ireland <http://ccea.org.uk/regulation>.

It may be eligible for public funding as determined by the Department for Education (DfE) under Sections 96 and 97 of the Learning and Skills Act 2000 and Department of Education in Northern Ireland.

For information regarding potential sources of funding please visit the following websites:

<https://hub.fasst.org.uk/Pages/default.aspx>

<https://www.gov.uk/government/organisations/education-and-skills-funding-agency>

<http://www.delni.gov.uk> or, contact your local funding office.

You should use the Qualification Accreditation Number (QAN) when you wish to seek public funding for your learners. Each component within a qualification will also have a unique reference number (Component Reference Number), which is listed in this specification. The qualification title and component reference numbers will appear on the learner's final certification document. Learners need to be made aware of this detail when they are recruited by the centre and registered with FutureQuals.

2.3 Progression

The Level 5 NVQ Diploma in Management and Leadership has been specifically designed to support progression on to other relevant qualifications, including the FAQ Level 7 NVQ Diploma in Strategic Management and Leadership.

2.4 Assessment Principles

The FAQ The Level 5 NVQ Diploma in Management must be assessed according to the Instructus Assessment Principles and Strategies.

2.5 Qualification Structure

To achieve the Level 5 NVQ Diploma in Management and Leadership learners must complete a minimum of 53 credits: 22 credits from Mandatory Group M and a minimum of 23 credits from Optional Group 01. A maximum of 8 credits can come from Optional Group 02.

At least 30 of the credits must be achieved at Level 5 or above.

Group M - Mandatory				
Component Number	URN	Component Name	Credit Value	Level
1	A/506/2046	Contribute to the development of a strategic plan	5	5
2	D/506/2055	Design business processes	5	5
3	H/506/2056	Manage strategic change	7	5
4	L/506/1953	Provide leadership and management	5	4

Group O1 – Optional Components			
URN	Component Name	Credit Value	Level
J/506/2048	Establish business risk management processes	5	5
R/506/2053	Promote equality of opportunity, diversity and inclusion	5	5
T/506/2059	Develop and manage collaborative relationships with other organisations	5	5
F/506/2064	Optimise the use of technology	6	5
Y/506/2068	Manage product and/or service development	5	5
J/506/1949	Develop and maintain professional networks	3	4
Y/506/1955	Develop and implement an operational plan	5	4
M/506/1962	Encourage learning and development	3	4
A/506/1981	Discipline and grievance management	3	4
F/506/1982	Develop working relationships with stakeholders	4	4
L/506/1984	Manage a tendering process	4	4
K/506/1989	Manage physical resources	4	4
K/506/1992	Prepare for and support quality audits	3	4
T/506/1994	Conduct quality audits	3	4
A/506/1995	Manage a budget	4	4
R/506/1999	Manage a project	7	4
L/506/2004	Manage business risk	6	4
A/506/2032	Manage knowledge in an organisation	5	4
M/506/2044	Manage redundancy and redeployment	6	4
J/506/2101	Lead the development of a quality strategy	4	7
F/506/2114	Lead the development of a continuous improvement strategy	5	7
L/506/2293	Manage strategic marketing activities	7	5
J/506/2907	Manage the impact of work activities on the environment	4	4
R/506/2909	Recruitment, selection and induction practice	6	4

D/506/2959	Lead the development of a knowledge management strategy	7	7
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Group O2 – Optional Components			
URN	Component Name	Credit Value	Level
D/504/4056	Manage Health and Safety in own area of responsibility	5	4
A/506/1950	Contribute to the design and development of an information system	5	4
F/506/1951	Manage information systems	6	4
M/506/1959	Manage events	6	4
F/506/2176	Review the quality of customer service	4	4
A/502/8656	Developing sales proposals	5	4
D/502/8651	Prioritising information for sales planning	3	4
M/506/2898	Manage customer service operations	7	4

2.6 Barred Components and Exemptions

Components with the same title at different levels, or components with the same content, cannot be combined in the same qualification.

Section Three

Assessment Principles and Component Specifications

3.1 Assessment Principles

1.1 The Management & Leadership Assessment Strategy is designed to provide awarding organisations with a robust and flexible approach to deliver assessment for Management & Team Leading NVQs / SVQs and competence-based qualifications.

2.1 Awarding organisations will provide qualifications and quality assurance that support their delivery to all Management & Team Leading NVQs / SVQs and competence-based qualification assessment centres in line with regulatory requirements in England, Scotland, Wales and Northern Ireland.

2.2 Awarding organisations will regularly carry out standard risk assessments in each Management & Team Leading NVQ / SVQ and competence-based qualification assessment centre and manage all identified risks appropriately.

2.3 Awarding organisations will consistently apply external verification processes at all Management & Team Leading NVQ / SVQ and competence-based qualification assessment centres, underpinned by standard risk assessment and risk management processes.

2.4 Awarding organisations will supply the Skills CFA with quarterly reports on:

- Registration and achievement data at qualification level, and component level where available

3.1 Assessment of all components at any level of Management & Team Leading NVQs / SVQs and competence-based qualifications may be based on either candidate performance at work or through simulation, as necessary (See Section 4 below).

3.2 Components which have been imported by Skills CFA in their Management & Team Leading NVQs / SVQs and competence-based qualifications will be assessed in compliance with the imported assessment strategies.

4.1 Simulation must not be used, except in exceptional circumstances where natural work evidence is unlikely to occur. Agreement must be gained from the awarding organisation for the use of any simulation. If simulation is used, it should be used sparingly and should only form a small part of the evidence for the qualification.

¹ Occupational expertise to assess performance, and moderate and verify assessments

- a. **Assessors, moderators or verifiers** who have achieved, or are working towards achievement of, the appropriate regulatory body approved qualifications for assessment, moderation or verification;

OR

- b. A **trainer, supervisor or manager**, elected by an employer, who must either:
 - Have achieved, or be working towards achieving, appropriate regulatory body approved component qualifications for assessment, moderation or verification; **OR**

- Seek guidance and approval from their awarding organisation to demonstrate that the;
 - 1) Organisation has appropriate processes in place to facilitate assessment, moderation or verification functions;
 - 2) Trainer, supervisor or manager is able to map their assessment, moderation or verification skills and knowledge 100% to the National Occupational Standards upon which the qualifications above are based. This is known as the employer direct model in Scotland.

5.1 Assessors must be occupationally competent to make Management & Team Leading assessment judgements about the level and scope of individual candidate performance at work; and occupationally competent to make assessment judgements about the quality of assessment and the assessment process.

5.2 External Moderators / Verifiers or Internal Moderators / Verifiers must be occupationally competent to make Management & Team Leading moderation and verification judgements about the quality of assessment and the assessment process.

5.3 Awarding organisations will supply information on the requirements for internal and external moderation / verification activities to Management & Team Leading assessment centres.

5.4 Skills CFA and awarding organisations requires all assessors, moderators and verifiers to maintain current Management & Team Leading competence to deliver these functions. Skills CFA recognises this can be achieved in many ways but must be recorded in individual continual professional development (CPD) records that are maintained in Management & Team Leading



3.2 Component Specifications

Component 1: Contribute to the development of a strategic plan

Component Reference Number: A/506/2046

Level: 5

Credit: 5

GL: 31

Component Summary

This component aims to develop the knowledge and skills required to contribute to the development of a strategic plan and introduce learners to the key principles underpinning strategic planning. Upon completion of this component, learners will be able to analyse the factors affecting the development of strategic plans and will be able to contribute towards a strategic plan.

Assessment Guidance

All Assessment Criteria must be met and assessed in line with Skills CFA Assessment Strategy.

Relationship to Occupational Standards

- CFAM&LBA6 Develop strategic business plans

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the principles of strategic planning	1.1 Evaluate a range of strategic planning models
	1.2 Evaluate the advantages and limitations of a range of analytical techniques
	1.3 Analyse a range of perspectives of and approaches to business strategy
2 Be able to analyse the factors affecting the development of strategic plans	2.1 Evaluate political, economic, social, technological, legal and ethical factors affecting the development of strategic plans
	2.2 Evaluate the market factors that may influence strategic planning decisions
	2.3 Evaluate the application of scanning tools to strategy development
3 Be able to make a contribution to a strategic plan	3.1 Analyse the relationship between strategic intentions, strategic choice and strategy formulation
	3.2 Make viable contributions that are consistent with strategic objectives and resource constraints
	3.3 Evaluate the impact of a proposed strategy on a business

Component 2: Design business processes

Component Reference Number: D/506/2055

Level: 5

Credit: 5

GL: 23

Component Summary

This component aims to develop the knowledge and skills required to design business processes. Upon completion of this component, learners will have developed an understanding of techniques and tools that support the design of business processes. Learners will be able to develop and evaluate business processes

Assessment Guidance

All Assessment Criteria must be met and assessed in line with Skills CFA Assessment Strategy.

Relationship to Occupational Standards

- CFAM&LFA3 Manage business processes

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand techniques and tools that support the design of business processes	<ul style="list-style-type: none">1.1 Analyse the principles of business change and business process re-engineering1.2 Evaluate the concept and application of workflow patterns and usability testing1.3 Evaluate a range of modelling tools1.4 Analyse the factors to be taken into account when evaluating the effectiveness of business processes
2 Be able to develop business processes	<ul style="list-style-type: none">2.1 Evaluate the scope for business process improvement and constraints2.2 Generate ideas that meet defined business needs2.3 Test a proposed process through a modelling exercise2.4 Evaluate the feasibility and viability of a proposed process against agreed criteria2.5 Establish the degree of overlap between a proposed process and existing processes and systems2.6 Resolve tensions between existing and proposed systems and processes2.7 Adhere to organisational policies and procedures, legal and ethical requirements when developing business processes
3 Be able to evaluate the effectiveness of business processes	<ul style="list-style-type: none">3.1 Analyse valid information using techniques that are appropriate to the process being evaluated3.2 Assess the cost and benefit of a business process to the organisation3.3 Justify recommendations for the rejection, adoption or enhancements to processes with evidence

Component 3: Manage strategic change

Component Reference Number: H/506/2056

Level: 5

Credit: 7

GL: 25

Component Summary

This component aims to develop the knowledge and skills required to manage strategic change. Upon completion of this component, learners will have developed an understanding of the

management and evaluation of change. Learners will be able to plan, manage and evaluate strategic change.

Assessment Guidance

All Assessment Criteria must be met and assessed in line with Skills CFA Assessment Strategy.

Relationship to Occupational Standards

- CFAM&LCA1 Identify and evaluate opportunities for innovation and improvement
- CFAM&LCA2 Plan change CFAM&LCA3 Engage people in change
- CFAM&LCA4 Implement change
- CFAM&LCA5 Evaluate change

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the management and evaluation of change	1.1 Evaluate the characteristics and application of a range of change management models for different organisational structures 1.2 Analyse stakeholder mapping techniques used for managing and evaluating change 1.3 Analyse techniques to evaluate change 1.4 Evaluate the relationship between change management, business continuity and crisis management
2 Be able to plan for strategic change	2.1 Assess the reasons for, scope and inherent risks of a required change 2.2 Evaluate the influences of the internal and external environment on a change 2.3 Analyse the ethical dimensions of a change 2.4 Identify viable alternative strategies for achieving a desired change 2.5 Justify with evidence the selected strategy to be taken to manage a change 2.6 Develop a plan that specifies specific, measurable, achievable, realistic and time-bound objectives and resources 2.7 Develop a stakeholder engagement plan that addresses their needs and concerns 2.8 Specify mechanisms for the management of risks and interdependencies that are capable of meeting strategic objectives
3 Be able to manage strategic change	3.1 Allocate resources and responsibilities in accordance with the plan 3.2 Take action to ensure the change plan is implemented in accordance with organisational values and procedures 3.3 Take action to ensure operational plans are not compromised by the introduction of change and remain capable of delivering the strategy

	<p>3.4 Take into account the on-going commitment of stakeholders to a change and its implications</p> <p>3.5 Manage friction between stakeholders' needs and interdependencies in accordance with the change plan</p>
4 Be able to evaluate strategic change	<p>4.1 Establish valid evaluation criteria that are capable of measuring the effects of change</p> <p>4.2 Select and use evaluation tools and techniques that are appropriate to the nature of change</p> <p>4.3 Evaluate aspects of change that were successful and ascertain why other aspects were not successful</p> <p>4.4 Justify recommendations made with valid evidence</p> <p>4.5 Identify the implications for knowledge management systems and processes</p>

Component 4: Provide leadership and management

Component Reference Number: L/506/1953

Level: 4

Credit: 5

GL: 28

Component Summary

This component aims to develop the knowledge and skills required for leadership and management and introduce learners to the key principles supporting leadership and management. Upon completion of this component, learners will be able to engage and inspire stakeholders and colleagues and deliver results.

Assessment Guidance

All Assessment Criteria must be met and assessed in line with Skills CFA Assessment Strategy.

Relationship to Occupational Standards

- CFAM&LBA2 Provide leadership in your area of responsibility

Learning Outcome - The learner will:	Assessment Criterion - The learner can:
1 Understand the principles supporting leadership and management	1.1 Analyse how leadership and management theories may be applied 1.2 Assess the influence of an organisation's culture on its leadership styles and management practices 1.3 Assess the influence of an organisation's structure on its leadership styles and management practices 1.4 Analyse how theories of motivation may be applied in the practice of leadership 1.5 Evaluate the role of stakeholder engagement in leadership and management 1.6 Assess the suitability of a range of leadership styles and management practices to the culture of an organisation
2 Be able to engage and inspire stakeholders and colleagues	2.1 Display behaviours and attitudes that show a commitment to the achievement of an organisation's goals 2.2 Display behaviours and attitudes that show a commitment to the fulfilment of an organisation's vision and the expression of its values 2.3 Identify who stakeholders are and the nature of their interest 2.4 Take action to ensure that colleagues and other stakeholders understand their role in achievement of organisational objectives 2.5 Win the trust and support of colleagues and other key stakeholders through exemplary performance and behaviour 2.6 Take action to maintain morale through difficult times 2.7 Take action to secure the on-going commitment of colleagues and other key stakeholders
3 Be able to deliver results	3.1 Make planning and resourcing decisions that optimise the available resources, skills and expertise

	3.2 Use delegation techniques whilst delivering targets
	3.3 Empower individuals to take responsibility for their decisions and actions within agreed parameters
	3.4 Adapt plans, priorities and resource allocations to meet changing circumstances and priorities

Section Four

Centre Information

4.1 Centre Operations Manual

Information regarding centre support, learner registration, certification, reasonable adjustments and special consideration, complaints and appeals can be found in the [Centre Operations Manual](#).

4.2 Initial Assessment and Centre Learner Support

It is important that centres carry out an initial assessment to identify what knowledge and degree of skills the learner already has, and to identify if any support or reasonable adjustments will be required to enable them to be assessed fairly. This should include an assessment of minimum core personal skills in English, Mathematics and ICT.

This should be recorded so that centres can identify any associated needs and record this in appropriate plans. This will help in planning the learning programme. It is important at the initial assessment stage to ensure that learners commence a programme at the appropriate level.

Centres should assess each learner's potential and make a professional judgement about his/her ability to successfully complete the programme of study and achieve the qualification.

This assessment will need to take account of:

- the support available to the learner within the centre during his/her programme of study
- any specific support that might be necessary to allow the learner to access the assessment for the qualification
- diagnoses of the requirements of the learner, making use of specialist advice from external sources, as appropriate

Centres should identify any learner requirements and how they may affect successful completion of the particular programme. Programme teams should refer closely to the qualification specifications when discussing possible options for learners. They should advise learners on the appropriateness of the qualification to the learner and identify more suitable qualifications if necessary.

It is our intention that there should be no discrimination on the grounds of a protected characteristic. FutureQuals and approved centres have a responsibility to ensure that the process of assessment is robust and fair and allows a learner to show what they know and can do without compromising the assessment criteria.

Details on how to make adjustments for learners to ensure fair access to assessment is set out in the FutureQuals Reasonable Adjustment and Special Considerations Policy.

4.3 Identification Requirements and Learner Authenticity

Identification Requirements

It is a centre's responsibility to confirm the identity of a learner as part of its registration process. A centre may do this by requesting sufficient personal data and a unique learner number (ULN) to ensure the learner can be clearly and uniquely identified.

The use of a ULN is now a mandatory requirement for publicly funded education and when submitting Individualised Learner Record (ILR) returns.

Centres must have systems in place to ensure that an individual completing an assessment is the person he/she is claiming to be.

Therefore, centres are required to ensure that each learner's identification is checked and that the type of identification provided by each learner is recorded before assessments are undertaken. FutureQuals External Quality Assurers will check this record during quality assurance monitoring activities.

The following would be permitted proof of a learner's Identity:

- a valid passport (any nationality)
- a signed UK photo card driving licence
- valid warrant card issued by HM Forces or the Police
- other photographic ID card, e.g. employee ID card (must be current employer), student ID card, travel card
- UK biometric residence permit

If an assessment is taking place in a learner's place of work and a learner is unable to supply any of the above, authentication of a learner's identity by a third-party representative, for example his/her line manager or a member of his/her workplace Human Resources Team can be accepted.

Learner Authenticity

It is a regulatory requirement that every assessment submission is authenticated as the work of the named learner whether submitted to a centre or to FutureQuals. Therefore, the FutureQuals Evidence Logbook requires that a declaration of authenticity is signed by a learner for each assessment submitted.

By signing the declaration a learner is acknowledging that if the statement is untrue, an assessment breach has been committed.

If a centre uses electronic systems or e-portfolios, an alternate form of formal declaration of authenticity must be completed with each assessment that is submitted.

If a centre uses its own version of the FutureQuals Evidence Logbook it must ensure that the version used captures the same information i.e. the assessment method, evidence reference, the assessor's decision (including the signature and date to evidence completion assessment) and the learner's declaration of authenticity.

Any submission that does not carry a formal declaration of authenticity will not be externally quality assured. If an alternate formal declaration of authenticity is completed by a learner it must, as a minimum, include the statement:

Statement of confirmation of authenticity

I declare that the work presented for this component is entirely my own work.

The learner must sign and date the declaration.

4.4 Legal Considerations

Learners and centres should be aware of regulations affecting those who deal with children, young people and vulnerable adults in the country the qualification is delivered in.

The Prevent Duty Guidance available from the Home Office, makes clear the important role of further education leaders in stopping extremists seeking to radicalise learners on campuses and in supporting learners at risk of extremist influences.

Ofsted has responsibility for monitoring the Prevent Duty in publicly funded further education and skills providers.



Future (Awards and Qualifications) Ltd
EMP House, Telford Way, Coalville,
Leicestershire, LE67 3HE

Telephone: 01530 836662
Fax: 01530 836668
Email: info@futurequals.com
www.futurequals.com