

# Highfield Level 5 End-Point Assessment for Leader in Adult Care

End-Point Assessment Kit



# Highfield Level 5 End-Point Assessment for Leader in Adult Care

EPA-Kit

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# How to Use this EPA Kit

Welcome to the Highfield End-Point Assessment Kit for the Leader in Adult Care Apprenticeship Standard.

Highfield is an independent end-point assessment organisation that has been approved to offer and carry out the independent end-point assessments for the Level 5 Leader in Adult Care Apprenticeship Standard. Highfield internally quality assures all end-point assessments in accordance with its IQA process, and additionally all end-point assessments are externally quality assured by the relevant EQA organisation.

The EPA kit is designed to outline all you need to know about the end-point assessments for this standard and will also provide an overview of the on-programme delivery requirements. In addition, advice and guidance for trainers on how to prepare apprentices for the end-point assessment is included. The approaches suggested are not the only way in which an apprentice may be prepared for their assessments, but trainers may find them helpful as a starting point.

## Key facts

<b>Apprenticeship standard:</b>	Leader in Adult Care
<b>Level:</b>	5
<b>On Programme Duration:</b>	Typically 18 months
<b>End-Point Assessment Window:</b>	3 months
<b>Grading:</b>	Pass/Distinction
<b>End-Point Assessment methods:</b>	Observation of leadership Professional discussion

## In this kit, you will find:

- an overview of the standard and any on-programme requirements
- a section focused on delivery, where the standard and assessment criteria are presented in a suggested format that is suitable for delivery
- guidance on how to prepare the apprentice for gateway
- detailed information on which part of the standard is assessed by which assessment method
- suggestions on how to prepare the apprentice for each part of the end-point assessment
- a section focused on the end-point assessment method where the assessment criteria are presented in a format suitable for carrying out mock assessments

# Introduction

## Standard overview

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The Leader in Adult Care will guide and inspire teams to make positive differences to someone's life when they are faced with physical, practical, social, emotional, psychological or intellectual challenges. They will be a leader of the care team and will develop and implement a values-based culture at a service or unit level. They may be responsible for business development, financial control, organisational resilience and continuity as well as for managing risk and leading on organisational change.

A Leader in Adult Care has responsibility for managing community or residential based services. This role has a large element of leadership, whether with other care workers and networks or in leading the service itself. A successful apprentice will have met all the requirements. They have a responsibility to ensure the service is safe, effective, caring, responsive to people's needs and well-led. They may be a registered manager of a service, unit, deputy or assistant manager. They will be responsible for ensuring regulatory compliance of the care given and the values and training of staff with established standards and regulations.

Leaders in Adult Care may work in residential or nursing homes, domiciliary care, community day centres, a person's own home or some clinical healthcare settings. The role of Leader in Adult Care in this standard also covers Personal Assistants who operate in a management role but they may only work directly for one individual who needs support and/or care services. Typical job titles include registered, assistant, deputy, unit or service manager.

## On-programme requirements

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Although learning, development and on-programme assessment is flexible, and the process is not prescribed, the following is the recommended baseline expectation for an apprentice to achieve full competence in line with the Leader in Adult Care Apprenticeship Standard.

The on-programme assessment approach will be agreed between the training provider and employer. The assessment will give an ongoing indication of an apprentice's performance against the final outcomes defined in the standard. The training provider will need to prepare the apprentice for the end-point assessment, including preparation for the observation of leadership and the professional discussion

The training programme leading to end-point assessment should cover the breadth and depth of the standard using suggested on-programme assessment methods that integrate

the knowledge, skills and behaviour components, and which ensure that the apprentice is sufficiently prepared to undertake the end-point assessment.

It is required that the on-programme assessment includes:

- the completion and achievement of a regulated level 5 Diploma in Leadership and management for Adult Care
- level 2 English and maths qualifications

Throughout the period of learning and development, and at least every 2 months, the apprentice should meet with the on-programme assessor to record their progress against the standard. At these reviews, evidence should be discussed and recorded by the apprentice. The maintenance of an on-programme record is important to support the apprentice, on-programme assessor and employer in monitoring the progress of learning and development and to determine when the apprentice has achieved full competence in their job role and is therefore ready for end-point assessment.

## **Additional, relevant on-programme qualification**

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The required on-programme regulated qualification for the apprenticeship is the Level 5 Diploma in Leadership and Management for Adult Care.

## **Readiness for end-point assessment**

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In order for an apprentice to be ready for the end-point assessments:

- the apprentice must have achieved level 2 English and maths
- the required on-programme qualification, the Level 5 Diploma in Leadership and Management for Adult Care must have been achieved
- the line manager (employer) must be confident that the apprentice has developed all the knowledge, skills and behaviours defined in the apprenticeship standard and that the apprentice is competent in performing their role. To ensure this, the apprentice must attend a formal meeting with their employer to complete the gateway readiness report.
- the apprentice and the employer should then engage with Highfield to agree a plan and schedule for each assessment activity to ensure all components can be completed within a 3-month end-point assessment window. Further information about the gateway process is covered later in this kit.

## Order of end-point assessments

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The assessment methods can be undertaken in any order.

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# The Highfield Approach

This section describes the approach Highfield has adopted in the development of this end-point assessment in terms of its interpretation of the requirements of the end-point assessment plan and other relevant documents.

## Documents used in developing this end-point assessment

Standard (2020)

[Leader in adult care / Institute for Apprenticeships and Technical Education](#)

End-point assessment plan (2021 ST0008/AP02)

[https://www.instituteforapprenticeships.org/media/5007/st0008\\_leader-in-adult-care\\_l5\\_publicationadjustment\\_12032021.pdf](https://www.instituteforapprenticeships.org/media/5007/st0008_leader-in-adult-care_l5_publicationadjustment_12032021.pdf)

NSAR CARE Clarification Guidance Note Leader in Adult Care (Level 5) ST0008: issued 01 May 2020

<https://www.nsar.co.uk/wp-content/uploads/2020/05/Guidance-Note-Leader-in-Adult-Care-Level-52.pdf>

## Specific considerations

In order to develop valid end-point assessments, Highfield has interpreted the requirements of the Leader in Adult Care assessment plan as follows:

- Knowledge, skills and behaviours are all assessed during both the observation of leadership and the professional discussion.

## Timescale for completion of the end-point assessment

The assessment plan states on page 2 that ‘the EPA must be completed over a maximum total assessment time of two days, within a 3-month assessment period’. It then states on page 4 that ‘the assessment methods can be completed either on the same day or on different days’.

Highfield has clarified this point with the external quality assurance body, NSAR, who have confirmed the following:

EPA must be completed over no more than 2 days and can occur at any point within a period of typically 3 months. So, for example, this could be:

- Immediately after Gateway requirements are met and the portfolio reviewed, or
- On 2 consecutive days (within the 3-month window), or
- On any 2 days (within the 3-month window), or

- The same day (within the 3-month window), and
- In any order.

### **Preparation time for the observation of leadership**

The assessment plan states on page 5 that ‘the apprentice should be given a minimum of 2 weeks and a maximum of 4 weeks to prepare for this activity following gateway’.

Highfield has clarified this point with the external quality assurance body, NSAR, who have confirmed the following:

The maximum timeframe for planning of the observation of leadership is 4 weeks. If the observation of leadership is scheduled to take place directly following the preparation period, the preparatory documentation would need to be shared at 3 weeks. If the observation is scheduled after the 4-week period, the preparatory documentation submission would not impact on the planning time but would still need to be submitted to Highfield Assessment 7 days prior to the observation.

### **Observation of leadership**

The assessment plan, on page 6, states ‘there is an expectation that there may be staff interaction during the activity, such as asking questions or creating open discussion. This should be controlled, directed and managed by the apprentice to meet the KSBs’.

The Highfield interpretation is that the apprentice will lead the observation of leadership but the end-point assessor will lead the post-observation questioning. Organisational staff will **not** be present for the post-observation questioning. Highfield has clarified this point with the external quality assurance body, NSAR, who have agreed that this interpretation is correct.

### **Observation of leadership – post-observation questioning**

The assessment plan, on pages 6-7, states that ‘in addition to the 4 set questions, this post-observation questioning session will allow the independent assessor to further probe any required KSBs that were not covered in the observation, using open-ended questions, although these should be kept to a minimum’.

Highfield’s approach is to ensure that over-assessment does not occur. For consistency and fairness, Highfield will ensure that sufficient questions are asked to enable learners to attempt all criteria.

### **Grading the professional discussion**

The guidance note on page 2 states that ‘Page 22-23: S11, K10 and K11 are repeated as distinction criteria this leaves the total number of distinction criteria at 26 and the score for achieving a distinction at 21 or more.’

The Highfield interpretation is that to avoid duplication within our documentation and to avoid assessing a criterion three times, we will maintain a score of 19/24 to achieve a distinction in the professional discussion. Highfield has clarified this point with the external quality assurance body, NSAR, who have agreed that this approach is acceptable.

### **Resits and re-takes**

The guidance note on page 2: 'Apprentices having to re-take an assessment (their first opportunity being cancelled or interrupted) will have another opportunity to sit the assessment, and one resit opportunity.'

The Highfield interpretation of the above statement is that if the apprentices first opportunity was cancelled or interrupted, the apprentice would be able to sit a rescheduled assessment as a first attempt and would have one further opportunity to resit (or retake if further learning is needed). Highfield has clarified this point with the external quality assurance body, NSAR, who have agreed that this interpretation is correct.

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# Gateway

## How to prepare for gateway

After apprentices have completed their on-programme learning, they should be ready to pass through 'gateway' to their end-point assessment.

Gateway is a meeting that should be arranged between the apprentice, their employer and training provider to determine that the apprentice is ready to undertake their end-point assessment. The apprentice should prepare for this meeting by bringing along work-based evidence, including:

- customer feedback
- recordings
- manager statements
- witness statements

As well as evidence from others, such as:

- mid and end-of-year performance reviews
- feedback to show how they have met the apprenticeship standards while on-programme

In advance of gateway, apprentices will need to have:

- achieved level 2 English
- achieved level 2 maths
- achieved the Level 5 Diploma in Leadership and Management for Adult Care
- completed their observation of leadership plan

Therefore, apprentices should be advised by employers and providers to gather this evidence and undertake these qualifications during their on-programme training. It is recommended that employers and providers complete regular checks and reviews of this evidence to ensure the apprentice is progressing and achieving the standards before the formal gateway meeting is arranged.

### Observation of Leadership Plan

At Gateway, the apprentice must submit a proposal for their observation, outlining their plan for the observation. This is then forwarded to the end-point assessor for approval or further discussion. The assessor will be ensuring that the observation of leadership will:

- involve observable interaction with organisational staff, and
- provides scope for appropriate coverage of the assessment criteria mapped to this method

The form is available to download and complete from the Highfield Assessment website.

## The gateway meeting

The gateway meeting should last around an hour and must be completed on or after the apprenticeship on-programme end date. It should be attended by the apprentice and the relevant people who have worked with the apprentice on-programme, such as the line manager/employer or mentor, the on-programme trainer/training provider and/or a senior manager (as appropriate to the business).

During the meeting, the apprentice, employer and training provider will discuss the apprentice's progress to date and confirm if the apprentice has met the full criteria of the apprenticeship standard during their on-programme training. The **Gateway Readiness Report** should be used to log the outcomes of the meeting and agreed by all 3 parties. This report is available to download from the Highfield Assessment website.

The report should then be submitted to Highfield to initiate the end-point assessment process. If you require any support completing the Gateway Readiness Report, please contact your Employer Engagement Manager at Highfield Assessment.

**Please note:** a copy of the standard should be available to all attendees during the gateway meeting.

### Reasonable adjustments and special considerations

Highfield Assessment has measures in place for apprentices who require additional support. Please refer to the Highfield Assessment Reasonable Adjustments Policy for further information/guidance.

### ID requirements

Highfield Assessment will need to ensure that the person undertaking an assessment is indeed the person they are claiming to be. All employers are therefore required to ensure that each apprentice has their identification with them on the day of the assessment so the end-point assessor can check.

Highfield Assessment will accept the following as proof of an apprentice's identity:

- a valid passport (any nationality)
- a signed UK photocard driving licence
- a valid warrant card issued by HM forces or the police
- another photographic ID card, e.g. employee ID card, travel card, etc.

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## The Leader in Adult Care Apprenticeship Standard

The following pages contain the Leader in Adult Care apprenticeship standard and the assessment criteria in a format that is suitable for delivery.

Tasks and Responsibilities		
Knowledge – Professional Discussion		
	<i>Assessment criteria:</i>	
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K1 - Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services	K1.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to the safe delivery of services	K1.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to the safe delivery of services
K2 - Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management	K2.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to health, safety and risk management	K2.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to health, safety and risk management
K3 - Principles of risk management, assessment and outcome based practice	K3.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to risk management and outcome based practice	K3.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to outcome based practice

K4 - Principles and underpinning theories of change management including approaches, tools and techniques that support the change process	K4.1 Describe the <b>change management theories</b> , processes and tools used	K4.2 Evaluates the outcome of the change management approaches used and the effectiveness of the techniques implemented
K5 - Legislative and regulatory frameworks which inform quality standards	K5.1 Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to quality standards	K5.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to quality standards
K6 - Theories and models that underpin performance and appraisal including disciplinary procedures	K6.1 Explain theories and models that underpin performance and appraisal including disciplinary procedures	K6.2 Evaluates relevant underpinning theories and models around performance management and how these have been applied (application may include disciplinary procedures).
<b>Skills - Observation of Leadership</b>		
	<b>Assessment criteria</b>	
<b>The apprentice will:</b>	<b>Pass Criteria</b>	<b>Distinction Criteria</b>
S1 - Develop and apply systems and processes needed to ensure compliance with regulations and organisational policies and procedures	S1.1 Formulates fit for purpose systems and processes, efficiently ensuring that compliance with regulations and organisational policies and procedures are met	
S2 - Implement strategies to support others to manage the risks presented when balancing individual rights and professional duty of care	S2.1 Correctly applies strategies to support others management of risks whilst balancing individual rights and professional duty of care	

S3 - Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery	S3.1 Formulates fit for purpose systems and processes efficiently ensuring that a personalised, strength-based approach is utilised across the service	
S4 - Lead and support others to work in a person centred way and to ensure active participation which enhances the well-being and quality of life of individuals	S4.1 Correctly applies strategies to lead and support others i.e. work in a person centred way, whilst encouraging active participation which enhances the well-being and quality of life of individuals	
S5 - Encourage and enable both staff and people who access care and support to be involved in the co-production of how the service operates	S5.1 Demonstrates that leadership models have been referenced in their approach to co-production when encouraging and enabling the team and people who access services	
S6 - Manage all resources in delivering complex care and support efficiently and effectively	S6.1 Demonstrates all resources are delivered and managed in an efficient and effective manner	

Amplification and Guidance
<ul style="list-style-type: none"> <li>○ <b>Regulations</b> can include: <ul style="list-style-type: none"> <li>○ Health and Social Care Act 2012</li> <li>○ Care Act 2014</li> <li>○ CQC: Health and Social Care Act 2008 (Regulated Activities) Regulations 2014</li> <li>○ Fundamental Standard</li> <li>○ Care Quality Commission (Registration) Regulations 2009</li> </ul> </li> </ul>

- **Statutory standards, guidance and codes of practice** can include:
  - Health and Social Care Act 2012
  - Care Act 2014
  - CQC: Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 – Fundamental Standard
  - Care Quality Commission (Registration) Regulations 2009
  - Skills for Care Code of Conduct for Healthcare Support Workers and Adult Social Care Workers in England
  
- **Leadership models** can include:
  - Transactional leadership
  - Transformational leadership
  
- **Change management theories**
  - Lewin's Change Management Model
  - McKinsey 7 – S Model
  - Nudge Theory
  - The ADKAR Change Management Model
  - Kubler-Ross Change Curve
  - Bridges' Transition Model
  - Satir Change Model
  - Kotter's Theory
  - Maurer 3 Levels of Resistance and Change Model
  - Deming Cycle (PDCA)

## Dignity and human rights

Knowledge – Professional Discussion		
<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K7 - Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead	K7.1 Describes legislative requirements and policy initiatives on diversity, equality and inclusion illustrating their relevance to their workplace	K7.2 Analyses legislative requirements and policy initiatives about diversity, equality and inclusion, evaluating their practices against such legislation and policy to ensure dignity and human rights are promoted in their workplace.
Skills - Observation of Leadership		
<i>Assessment criteria:</i>		
<i>The apprentice will:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
S7 - Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace	S7.1 Leads practices, clearly aligned to diversity, equality and inclusion <b>legislation</b> and policy	
S8 - Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems	S8.1 Promotes a culture of dignity and respect, and where others are able to work in ways that may challenge their own beliefs.	

### Amplification and Guidance

- **Legislation** must include:
  - The Equality Act 2010
  - Human Rights Act 1998

## Communication

### Knowledge – Professional Discussion

<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K8 - Legal and ethical frameworks in relation to confidentiality and sharing information	K8.1 Explain <b>legal and ethical frameworks</b> relating to confidentiality and information sharing to devise. Implement processes to record information effectively and safely	K8.2 Analyse how <b>legal and ethical frameworks</b> have been applied and further evaluate their effectiveness
K9 - Range of tools and strategies to enhance communication including technology	K9.1 Explains a range of communication enhancing tools and strategies, including technologies	K9.2 Appraises how effective communication strategies are throughout the organisation

### Skills – Professional Discussion

#### *Assessment criteria*

<b><i>The apprentice will:</i></b>	<b><i>Pass Criteria</i></b>	<b><i>Distinction Criteria</i></b>
S9 - Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and to keep information safe and preserve confidentiality	S9.1 Explain organisational processes have been developed and implemented in relation to recording, reporting and confidentiality	S9.2 Analyse how processes to record and communicate have been applied. Further evaluates their effectiveness in communicating concisely, keeping information safe and preserving confidentiality.

#### Skills - Observation of Leadership

<b><i>Assessment criteria</i></b>		
<b><i>The apprentice will:</i></b>	<b><i>Pass Criteria</i></b>	<b><i>Distinction Criteria</i></b>
S10 - Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues	S10.1 Develops communications that break down policy and guidance to communicate key messages with a range of audiences for example: people who access care and support, carer and families and other colleagues	

#### Amplification and Guidance

- **legal and ethical frameworks** to include:
  - Data Protection Act 2018

- General Data Protection Regulation 2018
- Skills for Care Code of Conduct for Healthcare Support Workers and Adult Social Care Workers in England

## Safeguarding

### Knowledge – Professional Discussion

<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K10 - Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements	K10.1 Explains safeguarding principles across all <b>legislative</b> and local and <b>national requirements</b>	K10.2/11.2 and S11.2 Evaluates safeguarding planning processes which incorporates effective staff training. Modelling recognising and responding to potential signs of abuse and/or unsafe practices, including the culture of whistleblowing. This should include reporting requirements relating to both adults and children. * *(This distinction criterion for S11, K10 and K11 need only to be demonstrated once).
K11 - The elements needed to create a culture that supports whistleblowing in the organisation	K11.1 Explains how they ensure that staff are trained and supported on how to recognise and respond to potential signs of abuse and or unsafe practices including the culture of whistleblowing. This should include reporting requirements relating to both adults and children	

Skills – Professional Discussion		
	Assessment criteria	
<i>The apprentice will:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
S11 - Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures	S11.1 Explains <b>safeguarding principles</b> across all organisational policies and procedures	
S12 - Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding	S12.1 Evaluates the effectiveness of safeguarding which is firmly embedded across all organisational policies, systems and processes	

### Amplification and Guidance

- **Legislative and national requirements** may include:
  - The Care Act 2014
  - Sexual Offences Act 2003
  - Safeguarding Vulnerable Groups Act 2006 and the Protection of Freedoms Bill
  - Public Interest Disclosure Act 1998
  
- **Safeguarding Principles** to include:
  - Empowerment
  - Prevention
  - Proportionality
  - Protection
  - Partnership
  - Accountability

## Health and wellbeing

Knowledge – Observation of Leadership		
	<i>Assessment criteria:</i>	
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K12 - Models of monitoring, reporting and responding to changes in health and wellbeing	K12.1 Identifies and applies relevant <b>models</b> of monitoring, reporting and responding to changes in health and wellbeing	
Skills – Professional Discussion		
	<i>Assessment criteria</i>	
<i>The apprentice will:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
S13 - Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance	S13.1 Explains how to remain compliant with <b>legislation, standards and guidance</b> in relation to health, safety and risk management	S13.2 Analyses evidence from the evaluation of health and well-being to make improvements to ensure policies, procedures and practices have a significant, positive impact on compliance, standards and guidance
S14 - Implement health and safety and risk management policies, procedures and practices to create a culture that values health and well-being in the organisation	S14.1 Explains how they monitor, evaluate and improve health and well-being policies and practices	S14.2 Analyses evidence from the evaluation of health and well-being to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being

S15 - Monitor, evaluate and improve health, safety and risk management policies and practices in the service	S15.1 Explains how they monitor, evaluate and improve health, safety and risk management practices	S15.2 Analyses evidence from the evaluation of health, safety and risk management practices to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being
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Amplification and Guidance
<ul style="list-style-type: none"> <li>○ <b>Models</b> may include: <ul style="list-style-type: none"> <li>○ Measures of health status <ul style="list-style-type: none"> <li>▪ Physiological measurements</li> <li>▪ Assessment of symptoms</li> <li>▪ Co-morbidity</li> </ul> </li> <li>○ Psychometric criteria <ul style="list-style-type: none"> <li>▪ Katz ADL</li> <li>▪ Lawton-Brody IADL</li> <li>▪ Geriatric Depression Scale.</li> <li>▪ Cornell Scale for Depression in Dementia (CSDD)</li> <li>▪ Patient Health questionnaire (PHQ-9)</li> <li>▪ Oxford hip score</li> </ul> </li> </ul> </li> <li>○ <b>Legislation, standards and guidance:</b> <ul style="list-style-type: none"> <li>○ Health and Social Care Act 2012</li> <li>○ Care Act 2014</li> <li>○ CQC: Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 <ul style="list-style-type: none"> <li>▪ Fundamental Standards</li> </ul> </li> </ul> </li> </ul>

- Care Quality Commission (Registration) Regulations 2009
- Skills for Care Code of Conduct for Healthcare Support Workers and Adult Social Care Workers in England

## Professional Development

### Knowledge – Professional Discussion

<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K13 - Principles of professional development	K13.1 Explains <b>principles of professional development</b>	K13.2 Evaluates the impact of the <b>principles of professional development</b>
K14 - Goals and aspirations that support own professional development and how to access available opportunities	K14.1 Explains their professional goals and aspirations and outlines the available opportunities to support their development	K14.2 Assesses appropriate professional development opportunities to meet professional goals and clearly articulates the rationale behind their decisions
K15 - Elements needed to create a culture that values learning, professional development, reflective practice and evidence-based practice	K15.1 Explains what is required to create a culture that values professional development and reflective practice	K15.2 Appraises a culture that nurtures continuous professional development
K16 - Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers	K16.1 Describes the systems and processes that are in place support professional development opportunities	K16.2 Evaluates current systems implemented to support professional development

<b>Skills – Professional Discussion</b>		
	<b>Assessment criteria</b>	
<b>The apprentice will:</b>	<b>Pass Criteria</b>	<b>Distinction Criteria</b>
S17 - Take initiative to research and disseminate current drivers in the adult care landscape (assessed through leadership skills)*		
S18 - Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities	S18.1 Explains the systems used to demonstrate improvement of performance of self and colleagues	S18.2 Explains how they maximise systems and utilises learning and development opportunities to improve performance of self and others
<b>Skills - Observation of Leadership</b>		
	<b>Assessment criteria</b>	
<b>The apprentice will:</b>	<b>Pass Criteria</b>	<b>Distinction Criteria</b>
S16 - Apply evaluated research and evidence-based practice in own setting	S16.1 Applies the evidence-based practice around current drivers in the Adult Care landscape to their own setting	

\* please note S17 does not have grading criteria and will be assessed indirectly through leadership skills

### Amplification and Guidance

- **principles of professional development**
  - each person’s responsibility
  - benefit individuals
  - improve quality of service delivery
  - relevant to each person’s area of practice

## Leadership

### Knowledge – Professional Discussion

<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
K17 - Theories of management and leadership and their application to adult care	K17.1 Identifies and explains <b>theories of management and leadership</b> and their application to adult care	K17.2 Critiques theories of management and leadership and their application to adult care
K18 - Features of effective team performance	K18.1 Identifies the knowledge of key elements of effective team performance	K18.2 Analyses and evaluates individual team member performance and uses this to implement improvements in effectiveness

Skills - Observation of Leadership		
	Assessment criteria	
<i>The apprentice will:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
S19 - Show a well-developed sense of their own behaviour and impact on others modelling a values-based culture	S19.1 Exhibits values-based behaviours and identifies how they impact upon others within the work settings	
S20 - Create a supportive culture that values initiative and innovation and recognises the variety of skills of all within the service, both workers and individuals supported	S20.1 Establishes a culture that values initiatives and innovation through identification and recognition of the variety of skills within the service	
S21 - Adopt a team approach, recognising contributions of team members and able to lead a team where required	S21.1 Supports and leads a team through valuing the contributions and skills of workers	

Amplification and Guidance
<ul style="list-style-type: none"> <li>○ <b>Theories of management and leadership</b> could include: <ul style="list-style-type: none"> <li>○ Transactional leadership</li> <li>○ Transformational leadership</li> </ul> </li> </ul>

## Behaviours

Behaviours– Observation of leadership		
<i>Assessment criteria:</i>		
<i>The apprentice will know and understand:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
B1 - Care – is caring consistently and enough about individuals to make a positive difference to their lives	B1.1 Evaluates enrichment of quality of life for the users of their services	
B2 - Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect	B2.1 Promotes and improve the delivery of compassionate care within the setting	
B3 - Courage – is doing the right thing for people and speaking up if the individual they support is at risk	B3.1 Evaluates the effectiveness of staff practice and their application of knowledge and policy compliance	
Behaviours – Professional discussion		
<i>Assessment criteria:</i>		
<i>The apprentice will show:</i>	<i>Pass Criteria</i>	<i>Distinction Criteria</i>
B4 - Communication – good communication is central to successful caring relationships and effective team working	B4.1 Demonstrates how they manage <b>communications</b> between staff and between staff and users of services	B4.2 Analyses communications systems on a regular basis to demonstrate improvements

B5 - Competence – is applying knowledge and skills to provide high quality care and support	B5.1 Applies the relevant knowledge and skills for the benefit of the users of their services	B5.2 Evaluates the impact of their knowledge and skills in relation to quality assurance exercise (eg health and safety risk assessment, safeguarding)
B6 - Commitment – to improving the experience of people who need care and support ensuring it is person-centred	B6.1 Demonstrates how they apply <b>person-centred care principles</b>	B6.2 Reviews their person-centred care plans regularly to clearly reflect the desired outcomes of the user of services

Amplification and Guidance
<p><b>Communications</b> – This could include:</p> <ul style="list-style-type: none"> <li>○ Verbal – face to face, by phone or video call</li> <li>○ Non-verbal – sign language or picture formats</li> <li>○ Written – care notes, memos, letters, emails, electronic messages (including augmentative and alternative communication systems).</li> </ul> <p><b>Person-centred care principles</b> – This could include:</p> <ul style="list-style-type: none"> <li>○ 4 principles identified by the Health Foundation of: <ul style="list-style-type: none"> <li>○ Affording people dignity, compassion and respect.</li> <li>○ Offering coordinated care, support or treatment.</li> <li>○ Offering personalised care, support or treatment.</li> <li>○ Supporting people to recognise and develop their own strengths and abilities to enable them to live an independent and fulfilling life.</li> </ul> </li> </ul>

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# Assessment Summary

The end-point assessment for the Leader in Adult Care Apprenticeship Standard is made up of 2 components:

1. Observation of leadership which will last a total of 90 minutes and is comprised of two stages.
  - a. The observation which must take 60 minutes
  - b. The post-observation question session will take 30 minutes, this follows the observation.
2. Professional Discussion which should take 90 minutes (+10% at the discretion of the independent assessor to allow the apprentice to finish their last answer)

As an employer/training provider, you should agree a plan and schedule with the apprentice to ensure all assessment components can be completed effectively.

Each component of the end-point assessment will be assessed against the appropriate criteria laid out in this kit and a grade allocated. The overall grade will be determined using the combined grade.

Wherever possible the end-point assessor should be the same for both observation of leadership and professional discussion.

## Observation of leadership

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The apprentice will be required to achieve **all** pass assessment criteria for this assessment method to achieve a Pass grade. Unsuccessful apprentices will have not met all pass assessment criteria.

## Professional discussion

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The apprentice will be required to achieve **all** pass assessment criteria for this assessment method to achieve a Pass grade.

To achieve a distinction learners must complete **all** pass criteria and achieve at least 19 of the 24 distinction criteria within the professional discussion.

## Grading

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A pass is gained by achieving pass criteria for all behaviours, knowledge and skills. A distinction is gained by successfully achieving all pass criteria and through meeting at least 19 of the 24 distinction criteria within the professional discussion.

Observation of Leadership	Professional Discussion	EPA Grade
Fail	Fail	Fail
Pass	Fail	Fail
Fail	Pass	Fail
Fail	Distinction	Fail
Pass	Pass	Pass
Pass	Distinction	Distinction

## Retake and Re-sit information

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Apprentices who fail one or more assessment method will be offered the opportunity to take a re-sit or re-take on one further occasion only. If the apprentice's first attempt was cancelled or interrupted, the apprentice would be able to sit a rescheduled assessment as a first attempt and would have one further opportunity to resit (or retake if further learning is needed).

Upon resit or retake Highfield will ensure that the apprentice undertakes an Observation of leadership activity with a new subject focus and that the Professional Discussion utilises different questions.

A re-sit does not require further learning, whereas a re-take does. The maximum grade awarded to a re-sit or re-take will be pass, unless Highfield identifies exceptional circumstances accounting for the original fail. Apprentices should have a supportive action plan to prepare for the re-sit or a re-take. The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

An apprentice who fails an assessment method, and therefore the EPA in the first instance, will only be required to re-sit the assessment method(s) that they failed. The timescales for a resit or retake is agreed between the employer and Highfield. A resit is typically taken within 3 months of the EPA outcome notification. The timescale for a retake is dependent on how much re-training is required and is typically taken within 6 months of the EPA outcome notification.

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# Assessing the Observation of Leadership

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The observation of leadership must include the ability to demonstrate leadership to an organisational audience. It is expected that the Apprentice will lead the activity and will have prepared for this in advance and have all necessary information and evidence prepared beforehand. The apprentice should be given a minimum of 2 weeks and a maximum of 4 weeks to prepare for this activity following the gateway. Apprentices must ensure that the appropriate organisational staff are present at the activity and are notified in advance of the activity.

Organisational staff will most likely be internal staff and, in line with the nature of the standard and the requirements of the occupation, this intervention should be primarily about the running of the care unit/establishment.

Any preparatory documentation/ presentation should be shared with Highfield 7 days prior to the observation. Preparation for the observation should commence, once the Gateway process has been confirmed as completed by Highfield. Example activities to demonstrate leadership to an organisational audience could include:

- service development/improvement plans, for example: presenting or reporting on frontline delivery work in supporting those who use services to improve outcomes.
- a response to regulatory and legislative requirements, for example: working with external partners, funders, stakeholders. In the form of a meeting to plan for changes to service provision based on regulatory and legislative requirements arising from inspections.
- development of service provision, for example, this may be in the form of presenting some information or analysing data in relation to evidence-based practice to develop or improve the service provision.
- setting up new service provision, for example, presenting outcomes from market research in relation to unmet need, financial viability, and local strategic direction. This could include invitations for tender applications.
- when and how to trigger a best interest meeting, who should be involved and what their roles and responsibilities should be. For example, preparing for a best interest meeting, the rationale around the need to trigger the meeting and interrogating internal procedures and processes in relation to this.

The suitable workplace activity and its content should be agreed in advance and with the appropriate notice by the employer, apprentice and Highfield as it is recognised that these activities may not occur on a daily or weekly basis. Highfield will need to ensure that the proposed activity will provide scope for appropriate coverage of the

KSBs mapped to this method prior to the observation. The proposed observation plan for the observation of leadership should be submitted to Highfield at Gateway. The selected leadership activity must be based on real-life improvement to the apprentice's employer and the users of their services. The employer, apprentice and Highfield must comply with the requirements of the GDPR and all other safeguarding duties.

An observation plan document is available to download from the Highfield Assessment website and should be used to provide details of the leadership activity to be demonstrated during the observation.

Where Highfield believes that the planned activity will not demonstrate appropriate coverage of the KSBs, then this must be communicated to the employer and apprentice 2 days prior to the end of the 4-week preparatory period. Highfield **must** then guide the employer and apprentice so that further activity can be agreed that demonstrates appropriate coverage of the KSBs which must occur within the EPA window.

Once the observation plan has been agreed the apprentice should ensure that any supporting documentation for the observation is uploaded to the apprentice's Dropbox folder 7 days prior to the observation.

The independent assessor will observe the apprentice and carry out follow-up questions during the post-observation questioning. The observation of leadership can be undertaken either directly (face-to-face) or through virtual technology, but this should be agreed by the employer, apprentice, and Highfield. There is an expectation that there may be staff interaction during the observation, such as asking questions or creating open discussion. This should be controlled, directed and managed by the apprentice to meet the KSBs. Organisational staff will **not** be present for the post-observation questioning

### **Post-observation questioning**

This post-observation questioning should take 30 minutes (+10% at the discretion of the independent assessor to allow the apprentice to complete their last answer). This time is in addition to the 60 minutes of direct observation. During the post-observation questioning session, the independent assessor must ask a minimum of 4 set open questions to assess related underpinning knowledge linked to K12 (topics detailed below). The 4 set questions will be set in advance and will directly address the knowledge requirement mapped to the Observation(K12). Apprentices should be given the opportunity to explain how they have considered K12 when demonstrating leadership via questioning which will be focused on the following 4 areas:

- The principles of adult safeguarding - Empowerment, Prevention, Proportionality, Protection, Partnership and Accountability
- Relevant legislation
- CQC regulatory requirements
- CQC Key lines of enquiry (KLOE) -Safe, Effective, Caring, Responsive and Well-led

In addition to the 4 set questions, this post observation questioning session will allow the independent assessor to further probe any required KSBs that were not covered in the observation using open ended questions. For consistency and fairness, Highfield will ensure that sufficient questions are asked to enable learners to meet all pass criteria.

The independent assessor should base their questions on the leadership activity they have just observed to seek clarification on points which were not clear. Assessors will also be able to use this time to ensure that the appropriate assessment criteria have been fully addressed in the assessment method and to be clear that the performance demonstrated is indeed at the grade that they intend to award (e.g. pass/fail).

Both, the observation and post-observation questioning **must** happen on the same day. The apprentice will be allowed to take a break if necessary, between the two stages. Highfield will manage invigilation of apprentices during breaks in order to maintain security of the assessment in line with our malpractice policy.

#### **Before the assessment:**

Employers/training providers should:

- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which Leader in Adult Care criteria will be assessed (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard and identify real-life examples
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their on-programme experience as preparation for this assessment

## Observation of Leadership Mock Assessment

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It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment, and Highfield recommends that the apprentice experiences a mock observation of Leadership in advance of the end-point assessment with the training provider/employer giving feedback on any areas for improvement.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock observation should take place in a suitable location.
- The 60-minute observation should be followed by a 30-minute post-observation questioning session. This must include a minimum of 4 set open questions to assess related underpinning knowledge linking to K12 and all other KSBs.
- consider a video or audio recording of the mock observation and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock interview with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.

## Observation of Leadership Criteria

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Throughout the 90-minute observation of leadership, the assessor will review the apprentice's competence in the criteria outlined below and allocate the relevant grade.

Apprentices should prepare for the observation by considering how the criteria can be met and reflecting on their past experiences.

The apprentice is	Pass Assessment criteria
<b>Behaviours - Care</b>	
B1 – caring consistently and enough about individuals to make a positive difference to their lives	B1.1 Evaluates enrichment of quality of life for the users of their services

The apprentice is	Pass Assessment criteria
<b>Behaviours - Compassion</b>	
B2 -delivering care and support with kindness, consideration, dignity, empathy and respect	B2.1 Promotes and improve the delivery of compassionate care within the setting

The apprentice is	Pass Assessment criteria
<b>Behaviours - Courage</b>	
B3 - doing the right thing for people and speaking up if the individual they support is at risk	B3.1 Evaluates the effectiveness of staff practice and their application of knowledge and policy compliance

The apprentice will	Pass Assessment criteria
<b>Tasks and responsibilities</b>	
S1 - Develop and apply systems and processes needed to ensure compliance with regulations and organisational policies and procedures	S1.1 Formulates fit for purpose systems and processes, efficiently ensuring that compliance with <b>regulations</b> and organisational policies and procedures are met
S2 - Implement strategies to support others to manage the risks presented when balancing individual rights and professional duty of care	S2.1 Correctly applies strategies to support others management of risks whilst balancing individual rights and professional duty of care

S3 - Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery	S3.1 Formulates fit for purpose systems and processes efficiently ensuring that a personalised, strength-based approach is utilised across the service
S4 - Lead and support others to work in a person centred way and to ensure active participation which enhances the well-being and quality of life of individuals	S4.1 Correctly applies strategies to lead and support others e work in a person centred way, whilst encouraging active participation which enhances the well-being and quality of life of individuals
S5 - Encourage and enable both staff and people who access care and support to be involved in the co-production of how the service operates	S5.1 Demonstrates that <b>leadership models</b> have been referenced in their approach to co-production when encouraging and enabling the team and people who access services
S6 - Manage all resources in delivering complex care and support efficiently and effectively	S6.1 Demonstrates all resources are delivered and managed in an efficient and effective manner

The apprentice will	Pass Assessment criteria
<b>Dignity and human rights</b>	
S7 - Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace	S7.1 Leads practices, clearly aligned to diversity, equality and inclusion legislation and policy
S8 - Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems	S8.1 Promotes a culture of dignity and respect, and where others are able to work in ways that may challenge their own beliefs.

The apprentice will	Pass Assessment criteria
<b>Communication</b>	
S10 - Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues	S10.1 Develops communications that break down policy and guidance to communicate key messages with a range of audiences for example: people who access care and support, carer and families and other colleagues

The apprentice will	Pass Assessment criteria
<b>Health and wellbeing</b>	
K12 - Models of monitoring, reporting and responding to changes in health and wellbeing	K12.1 Identifies and applies relevant models of monitoring, reporting and responding to changes in health and wellbeing

The apprentice will	Pass Assessment criteria
<b>Professional Development</b>	
S16 - Apply evaluated research and evidence-based practice in own setting	S16.1 Applies the evidence-based practice around current drivers in the Adult Care landscape to their own setting

The apprentice will	Pass Assessment criteria
<b>Leadership</b>	
S19 - Show a well-developed sense of their own behaviour and impact on others modelling a values-based culture	S19.1 Exhibits values-based behaviours and identifies how they impact upon others within the work settings
S20 - Create a supportive culture that values initiative and innovation and recognises the variety of skills of all within the service, both workers and individuals supported	S20.1 Establishes a culture that values initiatives and innovation through identification and recognition of the variety of skills within the service
S21 - Adopt a team approach, recognising contributions of team members and able to lead a team where required	S21.1 Supports and leads a team through valuing the contributions and skills of workers

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## Assessing the Professional Discussion

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The professional discussion is an in-depth, two-way discussion between the apprentice and the end-point assessor. The assessor will undertake the professional discussion and, wherever possible must be the same independent assessor who conducts the observation of leadership. The professional discussion should be appropriately structured to draw out the best of the apprentice's energy, enthusiasm, competence and excellence.

The professional discussion is for the independent assessor to ask the apprentice questions in relation to knowledge, skills and behaviours as set out in the standard.

- The professional discussion should take 90minutes (+10% at the discretion of the independent assessor, to allow the apprentice to finish their last answer). The room should be quiet and away from distraction.
- The independent assessor will ask questions to ensure all the relevant behaviours, knowledge and skills that are mapped to this assessment method are covered. (These are confirmed in the Professional Discussion criteria on the following pages).
- The independent assessor must ensure that at least one question is asked for each of the knowledge skills and behaviour groups that are mapped to this assessment method, as defined in the Standard (e.g. tasks and responsibilities, dignity and human rights, communication, safeguarding, health and wellbeing, professional development, leadership)
- The independent assessor can ask follow-up questions for clarity.
- The questions will be provided by Highfield and the independent assessor will select from these.
- The responses to the questions must be recorded.

### Grading the professional discussion

- To achieve a **pass**, apprentices will need to achieve all pass criteria outlined on the following pages
- To achieve a **Distinction** the apprentice must achieve all the pass criteria as well as 19 of the 24 distinction criteria

### Before the assessment:

Employers/training providers should:

- plan the professional discussion to allow the apprentice the opportunity to demonstrate each of the required standards
- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which criteria will be assessed (outlined on the following pages)

- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their on-programme experience as preparation for this assessment

## Professional Discussion Mock Assessment

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It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment, and Highfield recommends that the apprentice experiences a mock professional discussion in preparation for the real thing. The most appropriate form of mock professional discussion will depend on the apprentice's setting and the resources available at the time.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock professional discussion should take place in a suitable location.
- a 90-minute time slot should be available to complete the professional discussion, if it is intended to be a complete professional discussion covering all relevant standards. However, this time may be split up to allow for progressive learning.
- consider a video or audio recording of the mock professional discussion and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- use structured 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
  - How do you manage and analyse a range of communications and communication systems within the organisation to ensure service improvements (B4.1 and B4.2)?
  - Give examples of how you have used and evaluated statutory standards, guidance and codes of practice to ensure safe delivery of services.
  - How have you used legal and ethical frameworks and how do you evaluate their effectiveness?

## Professional Discussion Criteria

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Throughout the 90-minute professional discussion, the assessor will review the apprentice's competence in relation to the criteria outlined below.

- To achieve a **pass**, apprentices will need to achieve all pass criteria outlined on the following pages
- To achieve a **Distinction** the apprentice must achieve all the pass criteria as well as 19 of the 24 distinction criteria

The apprentice will show	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Behaviours - Communication</b>		
B4 - Communication – good communication is central to successful caring relationships and effective team working	B4.1 Demonstrates how they manage <b>communications</b> between staff and between staff and users of services	B4.2 Analyses communications systems on a regular basis to demonstrate improvements

The apprentice will show	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Behaviours - Competence</b>		
B5 Competence - applying knowledge and skills to provide high quality care and support	B5.1 Applies the relevant knowledge and skills for the benefit of the users of their services	B5.2 Evaluates the impact of their knowledge and skills in relation to quality assurance exercise (e.g. health and safety risk assessment, safeguarding)

The apprentice will show	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Behaviours – Commitment</b>		
B6 - Commitment to improving the experience of people who need care and support ensuring it is person-centred	B6.1 Demonstrates how they apply <b>person-centred care principles</b>	B6.2 Reviews their person-centred care plans regularly to clearly reflect the desired outcomes of the user of services

The apprentice will know and understand:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Tasks and responsibilities</b>		
K1 - Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services	K1.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to the safe delivery of services	K1.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to the safe delivery of services
K2 - Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management	K2.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to health, safety and risk management	K2.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to health, safety and risk management
K3 - Principles of risk management, assessment and outcome based practice	K3.1 Explains how they use and prioritise <b>statutory standards, guidance and codes of practice</b> which underpin practice in relation to risk management and outcome based practice	K3.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to outcome based practice
K4 - Principles and underpinning theories of change management including approaches, tools and techniques that support the change process	K4.1 Describe the <b>change management theories, processes and tools</b> used	K4.2 Evaluates the outcome of the change management approaches used and the effectiveness of the techniques implemented

K5 - Legislative and regulatory frameworks which inform quality standards	K5.1 Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to quality standards	K5.2 Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to quality standards
K6 - Theories and models that underpin performance and appraisal including disciplinary procedures	K6.1 Explain theories and models that underpin performance and appraisal including disciplinary procedures	K6.2 Evaluates relevant underpinning theories and models around performance management and how these have been applied (application may include disciplinary procedures).

The apprentice will know and understand:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Dignity and human rights</b>		
K7 - Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead	K7.1 Describes legislative requirements and policy initiatives on diversity, equality and inclusion illustrating their relevance to their workplace	K7.2 Analyses legislative requirements and policy initiatives about diversity, equality and inclusion, evaluating their practices against such legislation and policy to ensure dignity and human rights are promoted in their workplace.

The apprentice will know, understand and be able to:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Communication</b>		
K8 - Legal and ethical frameworks in relation to confidentiality and sharing information	K8.1 Explain legal and ethical frameworks relating to confidentiality and information sharing to devise. Implement processes to record information effectively and safely	K8.2 Analyse how legal and ethical frameworks have been applied and further evaluate their effectiveness
K9 - Range of tools and strategies to enhance communication including technology	K9.1 Explains a range of communication enhancing tools and strategies, including technologies	K9.2 Appraises how effective communication strategies are throughout the organisation

S9 - Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and to keep information safe and preserve confidentiality	S9.1 Explain organisational processes have been developed and implemented in relation to recording, reporting and confidentiality	S9.2 Analyse how processes to record and communicate have been applied. Further evaluates their effectiveness in communicating concisely, keeping information safe and preserving confidentiality.
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The apprentice will know, understand and be able to:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Safeguarding</b>		
K10 - Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements	K10.1 Explains safeguarding principles across all <b>legislative</b> and local and <b>national requirements</b>	K10.2/11.2 and S11.2 Evaluates safeguarding planning processes which incorporates effective staff training. Modelling recognising and responding to potential signs of abuse and/or unsafe practices, including the culture of whistleblowing. This should include reporting requirements relating to both adults and children.*  *(This distinction criterion for S11, K10 and K11 need only to be demonstrated once).
K11 - The elements needed to create a culture that supports whistleblowing in the organisation	K11.1 Explains how they ensure that staff are trained and supported on how to recognise and respond to potential signs of abuse and or unsafe practices including the culture of whistleblowing. This should include reporting requirements relating to both adults and children	
S11 - Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures	S11.1 Explains <b>safeguarding principles</b> across all organisational policies and procedures	
S12 - Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding	S12.1 Evaluates the effectiveness of safeguarding which is firmly embedded across all organisational policies, systems and processes	

The apprentice will be able to:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Health and wellbeing</b>		
S13 - Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance	S13.1 Explains how to remain compliant with legislation, standards and guidance in relation to health, safety and risk management	S13.2 Analyses evidence from the evaluation of health and well-being to make improvements to ensure policies, procedures and practices have a significant, positive impact on compliance, standards and guidance
S14 - Implement health and safety and risk management policies, procedures and practices to create a culture that values health and well-being in the organisation	S14.1 Explains how they monitor, evaluate and improve health and well-being policies and practices	S14.2 Analyses evidence from the evaluation of health and well-being to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being
S15 - Monitor, evaluate and improve health, safety and risk management policies and practices in the service	S15.1 Explains how they monitor, evaluate and improve health, safety and risk management practices	S15.2 Analyses evidence from the evaluation of health, safety and risk management practices to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being

The apprentice will know, understand and be able to:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Professional development</b>		
K13 - Principles of professional development	K13.1 Explains principles of professional development	K13.2 Evaluates the impact of the <b>principles of professional development</b>
K14 - Goals and aspirations that support own professional development and how to access available opportunities	K14.1 Explains their professional goals and aspirations and outlines the available opportunities to support their development	K14.2 Assesses appropriate professional development opportunities to meet professional goals and clearly articulates the rationale behind their decisions
K15 - Elements needed to create a culture that values learning, professional development, reflective practice and evidence based practice	K15.1 Explains what is required to create a culture that values professional development and reflective practice	K15.2 Appraises a culture that nurtures continuous professional development
K16 - Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers	K16.1 Describes the systems and processes that are in place support professional development opportunities	K16.2 Evaluates current systems implemented to support professional development
S17 - Take initiative to research and disseminate current drivers in the adult care landscape (assessed through leadership skills)*		
S18 - Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities	S18.1 Explains the systems used to demonstrate improvement of performance of self and colleagues	S18.2 Explains how they maximise systems and utilises learning and development opportunities to improve performance of self and others

\* please note S17 does not have grading criteria and will be assessed indirectly through leadership skills

The apprentice will know and understand:	Assessment criteria (Pass)	Assessment criteria (Distinction)
<b>Leadership</b>		
K17 - Theories of management and leadership and their application to adult care	K17.1 Identifies and explains theories of management and leadership and their application to adult care	K17.2 Critiques theories of management and leadership and their application to adult care
K18 - Features of effective team performance	K18.1 Identifies the knowledge of key elements of effective team performance	K18.2 Analyses and evaluates individual team member performance and uses this to implement improvements in effectiveness

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