

NCFE CACHE Level 5 Diploma in Leadership for Health and Social Care Services (Northern Ireland) (603/6041/0)

Tutor Guidance:
Summary of 'Be able to' assessment criteria

Contents

Section 1 Introduction	3
Introduction	4
Qualification introduction and purpose	5
Rules of combination	5
Progression	5
Entry guidance	5
Section 2 Mandatory units	6
Unit 01 Manage communication systems and processes (R/617/9951)	9
Unit 02 Promote professional development (Y/617/9952)	14
Unit 03 Champion equality, diversity, inclusion and person-centred practice (D/617/9953)	17
Unit 04 Lead, manage and implement health and safety and risk management policies, procedures and practices (H/617/9954)	23
Unit 05 Work in partnership (K/617/9955)	31
Unit 06 Develop professional supervision practice (M/617/9956)	35
Unit 07 Manage health and social care to ensure positive outcomes for individuals (T/617/9957)	39
Unit 08 Manage quality assurance and quality improvement (A/617/9958)	45
Unit 09 Safeguarding and protection (F/617/9959)	49
Unit 10 Assess the individual (T/617/9960)	53
Unit 11 Appraise staff performance (A/617/9961)	58
Unit 12 Lead and manage a team (F/617/9962)	62
Unit 13 Assess the individual in group living (J/617/9963)	70
Unit 15 Concerns and complaints (R/617/9965)	75
Section 3 Assessment and quality assurance information	79
Assessment guidance	80
Assessment strategy	82
Contact us	83

Section 1

Introduction

Introduction

This Tutor Guidance was created to support assessors and learners in identifying how the skills learning outcomes can be evidenced through the skills/competency ('Be able to') assessment criteria within the mandatory units of the Level 5 Diploma in Leadership for Health and Social Care Services (Northern Ireland).

This document will:

- provide an overview of each unit
- highlight knowledge learning outcomes to facilitate holistic opportunities for application to skills assessment
- identify the assessment criteria that will be assessed as skills/competency in relation to the learner's own practical experience
- suggest assessment methods which can be applied to each assessment criterion
- enable planning for next steps and tracking in relation to assessment.

Your External Quality Assurer or Subject Specialists will be able to support you with the use of this document.

This document must be used alongside the Qualification Specification to ensure all assessment criteria are appropriately met.

We have provided this Tutor Guidance in Microsoft Word format to enable you to use the content more flexibly within your own course materials.

To ensure that you are using the most up-to-date version of this Tutor Guidance, please check the version number and date in the page footer against that of the Tutor Guidance document on QualHub.

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- the resources and materials used in the delivery of these qualifications, must be age-appropriate and due consideration should be given to the wellbeing and safeguarding of learners in line with your institute's safeguarding policy when developing or selecting delivery materials.

Qualification introduction and purpose

This qualification provides learners with the skills and knowledge needed to manage and lead others in adult health and social care provision in Northern Ireland.

The qualification is formed of mandatory and optional units.

The mandatory units cover a wide range of topics including:

- safeguarding and protection
- partnership working
- professional development
- providing a supportive environment for individuals to achieve positive outcomes
- complying with quality systems and continuously improving quality
- carrying out policy
- promoting and developing best practice
- team management.

The **Adult Management** pathway is most suitable for managers who are looking to progress their career. It is also appropriate for managers who have not yet achieved a vocational qualification at this level. The **Adult Residential Management** pathway is aimed at learners in similar roles to those taking the **Adult Management** pathway, but the focus is on management and care in a residential setting and managers who are looking to progress their career in this setting. It is also appropriate for managers who have not yet achieved a vocational qualification at this level.

Rules of combination

Learners must achieve **72 credits** from the **Adult Management** mandatory units and a minimum of **18 credits** from the optional units.

Learners must achieve **71 credits** from the **Adult Residential Management** mandatory units and a minimum of **19 credits** from the optional units.

Progression

Learners who achieve this qualification could progress onto a variety of management roles in adult care or into further or higher education in Northern Ireland.

Entry guidance

These qualifications are designed for learners to develop the knowledge and skills required to manage practice and lead others in adult health and social care provision in Northern Ireland.

Entry is at the discretion of the centre. However, learners should be aged 19 or above to undertake these qualifications.

Centres are responsible for ensuring that these qualifications are appropriate for the age and ability of learners. They need to make sure that learners can fulfil the requirements of the learning outcomes and comply with the relevant literacy, numeracy and health and safety aspects of these qualifications.

Learners registered on these qualifications should not undertake another qualification at the same level with the same or a similar title, as duplication of learning may affect funding eligibility.

Section 2

Mandatory units

Mandatory units**Adult Management Pathway mandatory units**

Unit number	Regulated unit number	Unit title	Level	Credit	GLH	Notes
Unit 01	R/617/9951	Manage communication systems and processes	5	5	40	
Unit 02	Y/617/9952	Promote professional development	5	4	25	
Unit 03	D/617/9953	Champion equality, diversity, inclusion and person-centred practice	5	7	60	
Unit 04	H/617/9954	Lead, manage and implement health and safety and risk management policies, procedures and practices	5	5	33	
Unit 05	K/617/9955	Work in partnership	5	4	26	
Unit 06	M/617/9956	Develop professional supervision practice	5	5	39	
Unit 07	T/617/9957	Manage health and social care to ensure positive outcomes for individuals	5	5	35	
Unit 08	A/617/9958	Manage quality assurance and quality improvement	5	5	35	
Unit 09	F/617/9959	Safeguarding and protection	5	7	50	
Unit 10	T/617/9960	Assess the individual	5	6	40	
Unit 11	A/617/9961	Appraise staff performance	5	4	32	
Unit 12	F/617/9962	Lead and manage a team	5	6	40	
Unit 14	L/617/9964	Understand professional leadership and management	5	3	20	
Unit 15	R/617/9965	Concerns and complaints	5	6	40	



Adult Residential Management Pathway mandatory units

Unit number	Regulated unit number	Unit title	Level	Credit	GLH	Notes
Unit 01	R/617/9951	Manage communication systems and processes	5	5	40	
Unit 02	Y/617/9952	Promote professional development	5	4	25	
Unit 03	D/617/9953	Champion equality, diversity, inclusion and person-centred practice	5	7	60	
Unit 04	H/617/9954	Lead, manage and implement health and safety and risk management policies, procedures and practices	5	5	33	
Unit 05	K/617/9955	Work in partnership	5	4	26	
Unit 06	M/617/9956	Develop professional supervision practice	5	5	39	
Unit 07	T/617/9957	Manage health and social care to ensure positive outcomes for individuals	5	5	35	
Unit 08	A/617/9958	Manage quality assurance and quality improvement	5	5	35	
Unit 09	F/617/9959	Safeguarding and protection	5	7	50	
Unit 11	A/617/9961	Appraise staff performance	5	4	32	
Unit 12	F/617/9962	Lead and manage a team	5	6	40	
Unit 13	J/617/9963	Assess the individual in group living	5	5	39	
Unit 14	L/617/9964	Understand professional leadership and management	5	3	20	
Unit 15	R/617/9965	Concerns and complaints	5	6	40	



Unit 01 Manage communication systems and processes (R/617/9951)

The purpose of this unit is to assess the knowledge, understanding and skills required to develop communication systems for meeting individual outcomes and promoting partnership working. The unit explores the challenges and barriers to communication and the importance of management of information.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the importance of communication in managing a health and social care service
- the importance of information management in a health and social care service.

LO	AC	Suggested evidence for assessment	Planning for next steps
3. Be able to use communication in managing a health and social care service	3.1 Recognise and address barriers to communication	Direct observation: <ul style="list-style-type: none"> • interacting with an individual • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • assessment of communication and language needs, wishes and preferences • care planning cycle • meeting minutes • referral documentation • training materials and records • workforce development plan 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.2 Support colleagues to use communication to achieve positive outcomes for individuals	Direct observation: <ul style="list-style-type: none"> • induction • training • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • assessment of communication and language needs, wishes and preferences • care planning cycle • meeting minutes • training materials and records • workforce development plan • supervision records • appraisal/performance review documentation 	
	3.3 Use a range of inter-personal communication skills with others to meet different needs	Direct observation: <ul style="list-style-type: none"> • holistic • working with others, partnership activity or networking 	
	3.4 Evaluate own communication skills and plan for improvement	Work product: <ul style="list-style-type: none"> • 360° approach, collated feedback • SWOT (strengths, weaknesses, opportunities and threats) analysis • training needs analysis • professional development plan • supervision records • appraisal/performance review documentation Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
<p>4. Be able to use information management systems that meet legal requirements, and agreed ways of working</p>	<p>4.1 Produce and maintain accurate, complete, retrievable and up-to-date records used in the management of a health and social care service</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • accessing information • recording, reporting and storing information • ensuring security and privacy • team meeting • working with others, partnership activity or networking <p>Work product:</p> <ul style="list-style-type: none"> • records and reports • meeting minutes 	
	<p>4.2 Utilise records and reports to inform judgments and decisions</p>	<p>Work product:</p> <ul style="list-style-type: none"> • records and reports <p>Professional discussion</p> <p>Reflective account</p>	
	<p>4.3 Implement information communication technology (ICT) systems for the exchange and storage of information</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • using ICT systems <p>Work product:</p> <ul style="list-style-type: none"> • policy and procedure • records and reports 	
	<p>4.4 Lead the sharing of information with others in a timely manner in line with agreed ways of working and practices relating to confidentiality</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • accessing information • recording, reporting and storing information • ensuring security and privacy • team meeting • working with others, partnership activity or networking <p>Work product:</p> <ul style="list-style-type: none"> • records and reports • meeting minutes • policy and procedure 	

LO	AC	Suggested evidence for assessment	Planning for next steps
5. Be able to improve communication systems and/or practices that support safe service provision	5.1 Analyse existing communication systems and practices	Work product: <ul style="list-style-type: none"> • performance plans and indicators • collated feedback • service evaluation • quality improvement plan • training needs analysis • workforce development plan Professional discussion Reflective account	
	5.2 Propose improvements to communication systems and practices	Work product: <ul style="list-style-type: none"> • performance plans and indicators • collated feedback • service evaluation • quality improvement plan • training needs analysis • workforce development plan • review and development of communication systems as a result of legal and ethical requirements and lessons learned • protocols for working with others • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	<p>5.3 Lead and review the implementation of a revised communication system and/or practice over time</p>	<p>Work product:</p> <ul style="list-style-type: none"> • performance plans and indicators • collated feedback • service evaluation • quality improvement plan • training needs analysis • workforce development plan • training materials and records • review and development of communication systems as a result of legal and ethical requirements and lessons learned • policy and procedural development • protocols for working with others <p>Professional discussion</p> <p>Reflective account</p>	

Unit 02 Promote professional development (Y/617/9952)

The purpose of this unit is to assess the knowledge, understanding and skills required to promote professional duty by maintaining currency of knowledge and skills whilst reflecting to continually improve practice.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the principles of professional development.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to prioritise goals and targets for own professional development	2.1 Evaluate own knowledge and performance against standards and benchmarks	Work product: <ul style="list-style-type: none"> • job description and person specification • employment contract • policy and procedure • performance plans and indicators • 360° approach, collated feedback • supervision records • appraisal/performance review documentation • professional development plan • training needs analysis • internal and external audits • inspection reports • service evaluation • quality improvement plan Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.2 Prioritise development goals and targets to meet expected standards	Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation • professional development plan • performance plans and indicators • training needs analysis 	
3. Be able to prepare a professional development plan	3.1 Identify own learning style	Work product: <ul style="list-style-type: none"> • learning styles assessment 	
	3.2 Select learning opportunities to meet development objectives	Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation • performance plans and indicators • training needs analysis • workforce development plan 	
	3.3 Produce a plan for own professional development, using an appropriate source of support	Work product: <ul style="list-style-type: none"> • 360° approach, collated feedback • supervision records • appraisal/performance review documentation • professional development plan • performance plans and indicators • training needs analysis • internal and external audits • inspection reports • workforce development plan 	
	3.4 Establish a process to evaluate the effectiveness of the plan	Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation • professional development plan • performance plans and indicators • internal and external audits • inspection reports • service evaluation 	

LO	AC	Suggested evidence for assessment	Planning for next steps
4. Be able to improve own practice through reflective practice	4.1 Analyse the use of reflective practice in own setting	Professional discussion Reflective account	
	4.2 Explain the importance of reflective practice to improve own performance	Professional discussion Reflective account	
	4.3 Use reflective practice and feedback from others to improve own performance	Work product: <ul style="list-style-type: none"> • 360° approach, collated feedback • supervision records • appraisal/performance review documentation • training needs analysis • professional development plan • performance plans and indicators • internal and external audits • inspection reports • service evaluation • quality improvement plan Professional discussion Reflective account	
	4.4 Evaluate how your practice has been improved through reflection on: <ul style="list-style-type: none"> • best practice • poor practice 	Work product: <ul style="list-style-type: none"> • SWOT analysis • supervision records • appraisal/performance review documentation • professional development plan • performance plans and indicators Professional discussion Reflective account	

Unit 03 Champion equality, diversity, inclusion and person-centred practice (D/617/9953)

The purpose of this unit is to assess the knowledge, understanding and skills required for a whole-systems approach to equality, diversity, inclusion and person-centred practice. The unit explores models of practice and requires the demonstration of skills and understanding of systems and processes.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- diversity, equality, inclusion and person-centred practice in own area of responsibility
- how to develop systems and processes that promote diversity, equality and inclusion.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to champion diversity, equality, inclusion and person-centred practice in own area of responsibility	2.1 Promote equality, diversity and inclusion	Direct observation: <ul style="list-style-type: none"> • holistic • championing equality, diversity and inclusion • team meeting • role modelling • induction • coaching or mentoring Work product: <ul style="list-style-type: none"> • statement of purpose • risk management • care planning cycle • referral documentation • workforce development plan • training materials and records • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.2 Challenge discrimination and exclusion in policy and practice	Work product: <ul style="list-style-type: none"> • policy and procedural development • management of comments and complaints • supervision records • appraisal/performance management documentation • workforce development plan • training materials and records Professional discussion Reflective account	
	2.3 Provide others with information about the: <ul style="list-style-type: none"> • effects of discrimination • impact of inclusion 	Direct observation: <ul style="list-style-type: none"> • induction • coaching or mentoring • training Work product: <ul style="list-style-type: none"> • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.4 Support others to challenge discrimination and exclusion	<p>Direct observation:</p> <ul style="list-style-type: none"> • induction • coaching or mentoring • training <p>Work product:</p> <ul style="list-style-type: none"> • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation • policy and procedural development <p>Professional discussion</p> <p>Reflective account</p>	
3. Be able to lead person-centred practice	3.1 Support others to work with individuals to establish their history, preferences, wishes and needs	<p>Direct observation</p> <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring <p>Work product:</p> <ul style="list-style-type: none"> • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.2 Support others to implement person-centred practice	Direct observation <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • statement of purpose • risk management • supervision records • appraisal/performance review documentation • workforce development plan • training materials and records • policy and procedural development 	
	3.3 Support others to work with individuals to review approaches to meet individuals' needs and preferences	Direct observation <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • care planning cycle • referral documentation • risk management • supervision records • appraisal/performance review documentation • workforce development plan • training materials and records • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.4 Support others to work with individuals to adapt approaches in response to individuals' emerging needs or preferences	Direct observation: <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • care planning cycle • referral documentation • risk management • supervision records • appraisal/performance review documentation • workforce development plan • training materials and records • policy and procedural development 	
5. Be able to manage the risks presented when balancing individual rights and professional duty of care	5.1 Manage the risks presented when balancing individual rights and professional duty of care	Work product: <ul style="list-style-type: none"> • risk management • mental capacity assessments • safeguarding documentation • policy and procedural development 	
	5.2 Describe ethical dilemmas that may arise in own area of responsibility when balancing individual rights and duty of care	Work product: <ul style="list-style-type: none"> • risk management Professional discussion Reflective account	
	5.3 Explain the principle of informed choice	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	5.4 Explain how issues of individual capacity may affect: <ul style="list-style-type: none"> • informed choice • consent 	Work product: <ul style="list-style-type: none"> • risk management • mental capacity assessments Professional discussion Reflective account	
	5.5 Propose a strategy to manage risks when balancing individual rights and professional duty of care	Work product: <ul style="list-style-type: none"> • care planning cycle • risk management • mental capacity assessments • safeguarding documentation • working with others, partnership activity or networking • policy and procedural development Professional discussion Reflective account	

Unit 04 Lead, manage and implement health and safety and risk management policies, procedures and practices (H/617/9954)

The purpose of this unit is to assess the knowledge, understanding and skills required for health and safety and risk management, including the development of policies, procedures and practices.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the current legislative framework and organisational health, safety and risk management policies, procedures and practices.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to implement and monitor compliance with health, safety and risk management requirements	2.1 Comply with health, safety and risk management procedures	Direct observation: <ul style="list-style-type: none"> • holistic Work product – records relating to health, safety and risk management activities: <ul style="list-style-type: none"> • security and access to premises • emergency • provision, maintenance and safe use of facilities, equipment and resources • infection prevention and control • food safety • moving and positioning • safe handling of medicines • disposal of waste and environmental safety • control of hazardous substances • accident and incident reporting • role and expectations of regulators • health and safety audit – internal and/or external • inspection reports 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.2 Support others to comply with legislative and organisational health, safety and risk management policies, procedures and practices relevant to their work	Direct observation <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • induction • risk management • supervision records • appraisal/performance review documentation • workforce development plan • training materials and records • policy and procedural development 	
	2.3 Explain the actions to take when health, safety and risk management, procedures and practices are not being complied with	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.4 Complete records and reports on health, safety and risk management issues according to legislative and organisational requirements	Work product – records relating to health, safety and risk management activities: <ul style="list-style-type: none"> • security and access to premises • emergency • provision, maintenance and safe use of facilities, equipment and resources • infection prevention and control • food safety • moving and positioning • safe handling of medicines • disposal of waste and environmental safety • control of hazardous substances • accident and incident reporting • role and expectations of regulators • health and safety audit – internal and/or external 	

LO	AC	Suggested evidence for assessment	Planning for next steps
<p>3. Be able to lead the implementation of policies, procedures and practices to manage risk to individuals and others</p>	<p>3.1 Implement policies, procedures and practices to identify, assess and manage risk to individuals and others</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling <p>Work product:</p> <ul style="list-style-type: none"> • risk management • mental capacity assessment • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.2 Work with individuals and others to assess and manage potential risks and hazards	<p>Direct observation:</p> <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking • role modelling • coaching or mentoring <p>Work product:</p> <ul style="list-style-type: none"> • risk management • mental capacity assessment • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
4. Be able to promote a culture where needs and risks are balanced with health and safety practice	4.1 Work with individuals to balance the management of risk with individual rights and the views of others	<p>Direct observation:</p> <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • service user meetings, forums, surveys, comments and complaints <p>Work product:</p> <ul style="list-style-type: none"> • risk management 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.2 Work with individuals and others to develop a balanced approach to risk management that takes into account the benefits for individuals of risk taking	Direct observation: <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership or activity Work product: <ul style="list-style-type: none"> • risk management • mental capacity assessment • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
	4.3 Evaluate own practice in promoting a balanced approach to risk management	Work product: <ul style="list-style-type: none"> • risk management • management meetings • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • skills analysis • policy and procedural development Professional discussion Reflective account	
	4.4 Analyse how helping others to understand the balance between risk and rights improves practice	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
5. Be able to improve health, safety and risk management policies, procedures and practices	5.1 Obtain feedback on health, safety and risk management policies, procedures and practices from individuals and others	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • risk management • management meetings • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
	5.2 Evaluate the health, safety and risk management policies, procedures and practices within the work setting	Work product: <ul style="list-style-type: none"> • risk management • management meetings • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	5.3 Identify areas of policies, procedures and practices that need improvement to ensure safety and protection in the work setting	Work product: <ul style="list-style-type: none"> • risk management • management meetings • analysis of data with recommendations and targets for improved outcomes • health and safety audit – internal and/or external • inspection reports • service evaluation • quality improvement plan • skills analysis • policy and procedural development Professional discussion Reflective account	
	5.4 Recommend changes to policies, procedures and practices that ensure safety and protection in the work setting	Work product: <ul style="list-style-type: none"> • risk management • workforce development plan • policy and procedural development Professional discussion Reflective account	

Unit 05 Work in partnership (K/617/9955)

The purpose of this unit is to assess the knowledge, understanding and skills required to implement and promote effective partnership working, including co-production.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- partnership working and co-production.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to establish and maintain working relationships with colleagues	2.1 Explain own role and responsibilities when working with colleagues	Work product: <ul style="list-style-type: none"> • job description • person specification • policy and procedural development Professional discussion Reflective account	
	2.2 Develop and agree common objectives when working with colleagues	Direct observation: <ul style="list-style-type: none"> • objective setting process • organisational and team planning activities • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • team building activity • supervision records • appraisal/performance review documentation • performance plans and indicators • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Evaluate own working relationship with colleagues	Professional discussion Reflective account	
	2.4 Use appropriate approaches to address conflicts and dilemmas that may arise between colleagues	Work product: <ul style="list-style-type: none"> • team building activity • supervision records • appraisal/performance review documentation Professional discussion Reflective account	
3. Be able to establish and maintain working relationships with other professionals	3.1 Explain own role and responsibilities when working with other professionals	Professional discussion Reflective account	
	3.2 Develop procedures for working relationships with other professionals	Direct observation: <ul style="list-style-type: none"> • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • protocols for working with others • service integration • service level agreements and contracts shared • commissioning activity • policy and procedural development 	
	3.3 Agree common objectives when working with other professionals within the boundaries of own role and responsibilities	Direct observation: <ul style="list-style-type: none"> • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • protocols for working with others • service integration • service level agreements and contracts • shared commissioning activity • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.4 Evaluate procedures for working with other professionals	Work product: <ul style="list-style-type: none"> • policy and procedural development Professional discussion Reflective account	
	3.5 Use appropriate approaches to address conflicts and dilemmas that may arise between other professionals	Professional discussion Reflective account	
4. Be able to work in partnership with others	4.1 Develop procedures for working relationships with others	Direct observation: <ul style="list-style-type: none"> • working with others, partnership activity or networking • co-production activities Work product: <ul style="list-style-type: none"> • protocols for working with others • policy and procedural development 	
	4.2 Agree common objectives when working with others within the boundaries of own role and responsibilities	Direct observation: <ul style="list-style-type: none"> • working with others, partnership activity or networking • co-production activities Work product: <ul style="list-style-type: none"> • protocols for working with others • policy and procedural development 	
	4.3 Evaluate procedures for working with others	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.4 Use appropriate approaches to address conflicts and dilemmas that may arise between individuals, staff and carers, families and significant others	Professional discussion Reflective account	

Unit 06 Develop professional supervision practice (M/617/9956)

The purpose of this unit is to assess the knowledge, understanding and skills required to undertake professional supervision of others.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the purpose of professional supervision
- how the principles of professional supervision can be used to inform performance management
- how to evaluate own practice when conducting professional supervision.

LO	AC	Suggested evidence for assessment	Planning for next steps
3. Be able to undertake the preparation for professional supervision with supervisees	3.1 Use research on the theories of power to explain factors which may result in a power imbalance	Professional discussion Reflective account	
	3.2 Explain how to address power imbalance in own supervision practice	Professional discussion Reflective account	
	3.3 Agree with supervisee confidentiality, boundaries, roles and accountability within the professional supervision process	Work product: <ul style="list-style-type: none"> • supervision contract • policy and procedure Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.4 Agree with supervisee the frequency and location of professional supervision	Work product: <ul style="list-style-type: none"> • supervision contract • policy and procedure Professional discussion Reflective account	
	3.5 Agree with supervisee sources of evidence that can be used to inform professional supervision	Work product: <ul style="list-style-type: none"> • supervision contract • supervision records • policy and procedure Professional discussion Reflective account	
	3.6 Agree with supervisee actions to be taken in preparation for professional supervision	Work product: <ul style="list-style-type: none"> • supervision contract • supervision records • policy and procedure Professional discussion Reflective account	
4. Be able to provide professional supervision	4.1 Support supervisees to reflect on their practice	Work product: <ul style="list-style-type: none"> • supervision records Professional discussion Reflective account	
	4.2 Provide positive feedback about the achievements of the supervisee	Work product: <ul style="list-style-type: none"> • supervision records Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.3 Provide constructive feedback that can be used to improve performance	Work product: <ul style="list-style-type: none"> • supervision records Professional discussion Reflective account	
	4.4 Support supervisees to identify their own development needs	Work product: <ul style="list-style-type: none"> • supervision records • professional development plan Professional discussion Reflective account	
	4.5 Review and revise professional supervision targets to meet the identified objectives of the work setting	Work product: <ul style="list-style-type: none"> • service and business objectives • key performance indicators • supervision records • professional development plan Professional discussion Reflective account	
	4.6 Support supervisees to explore different methods of addressing challenging situations	Work product: <ul style="list-style-type: none"> • supervision records • professional development plan Professional discussion Reflective account	
	4.7 Record agreed supervision decisions	Work product: <ul style="list-style-type: none"> • supervision records Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
5. Be able to manage conflict situations during professional supervision	5.1 Give examples from own practice of managing conflict situations within professional supervision	Professional discussion Reflective account	
	5.2 Reflect on own practice in managing conflict situations experienced during professional supervision process	Professional discussion Reflective account	

Unit 07 Manage health and social care to ensure positive outcomes for individuals (T/617/9957)

The purpose of this unit is to assess the knowledge, understanding and skills required in the process of planning and achieving positive outcomes that underpin the personalisation agenda. This unit covers a range of key areas of practice that support the implementation of personalisation. The unit also explores the role of the manager/senior worker in providing a supportive environment for individuals to achieve positive outcomes.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the theory and principles that underpin outcome-based practice.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to lead practice that promotes social, emotional, cultural, spiritual and intellectual wellbeing	2.1 Explain the psychological basis for wellbeing	Professional discussion Reflective account	
	2.2 Promote a culture among the workforce of considering all aspects of individuals' wellbeing in day-to-day practice	Direct observation: <ul style="list-style-type: none"> • leadership and management style • team meeting • focus groups Work product: <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management • communication strategy • induction • supervision records • appraisal/performance review documentation 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Review the extent to which systems and processes promote individual wellbeing	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
3. Be able to lead practice that promotes individuals' health	3.1 Use resources to promote good health and healthy choices in all aspects of the provision	Work product: <ul style="list-style-type: none"> • resource planning (human, financial and physical) • budget planning, setting and review Professional discussion Reflective account	
	3.2 Use appropriate methods to meet the health needs of individuals	Direct observation: <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • care planning cycle • monitoring current and emerging health needs • risk management • clinical records • healthcare protocols • workforce development plan • training materials and records 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.3 Implement practice and protocols for involving appropriate professional health care expertise for individuals	Work product: <ul style="list-style-type: none"> • care planning cycle • referral protocol • access to specialist services • working with others, partnership activity or networking • policy and procedural development • workforce development plan • training materials and records 	
	3.4 Develop a plan to ensure the workforce has the necessary training to recognise individual health care needs	Work product: <ul style="list-style-type: none"> • skills analysis • professional development plan • workforce development plan • training materials and records 	
4. Be able to lead inclusive provision that gives individuals choice and control over the outcomes they want to achieve	4.1 Explain the necessary steps in order for individuals to have choice and control over decisions	Professional discussion Reflective account	
	4.2 Manage resources so that individuals can achieve positive outcomes	Work product: <ul style="list-style-type: none"> • resource planning (human, financial and physical resource) • budget planning, setting and review Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.3 Monitor and evaluate progress towards the achievement of outcomes	Direct observation: <ul style="list-style-type: none"> • care planning cycle, monitoring and audit • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • care planning cycle • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
	4.4 Develop a plan to ensure the workforce has the necessary training to support individuals to achieve outcomes	Work product: <ul style="list-style-type: none"> • workforce development plan • professional development plan 	
	4.5 Implement systems and processes for recording the identification, progress and achievement of outcomes	Work product: <ul style="list-style-type: none"> • care planning cycle • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • workforce development plan • professional development plan • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
5. Be able to manage working partnerships with carers, families and significant others to achieve positive outcomes	5.1 Analyse the importance of working relationships with carers, families and significant others	Professional discussion Reflective account	
	5.2 Implement systems, procedures and practices that engage carers, families and significant others	Direct observation: <ul style="list-style-type: none"> • care planning cycle, monitoring and audit • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • care planning cycle • meeting minutes • co-production activities • policy and procedural development 	
	5.3 Use appropriate approaches to address conflicts and dilemmas that may arise between individuals, staff and carers, families and significant others	Professional discussion Reflective account	
	5.4 Explain how legislation and regulation influence working relationships with carers, families and significant others	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	5.5 Implement safe and confidential recording systems and processes to provide information sharing and recording	Direct observation: <ul style="list-style-type: none"> • accessing information • recording, reporting and storing information • ensuring security and privacy • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • records and reports • policy and procedural development 	

Unit 08 Manage quality assurance and quality improvement (A/617/9958)

The purpose of this unit is to assess the knowledge, understanding and skills required to manage quality assurance and quality improvement systems in own work setting.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the context of quality assurance and quality improvement.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to lead the implementation of a quality assurance process	2.1 Provide information to team members and others to develop their knowledge of quality standards	Direct observation: <ul style="list-style-type: none"> • team meeting • training • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • training materials and records • workforce development plan • professional development plan • key performance indicators • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.2 Develop systems and processes to measure achievements of quality indicators	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
	2.3 Monitor service compliance with quality indicators	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development 	
	2.4 Identify areas for improvement	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • training needs analysis • workforce development plan • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.5 Support team members to carry out their roles in implementing quality processes	Direct observation: <ul style="list-style-type: none"> • team meeting • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • objective setting process • supervision records • appraisal/performance review documentation • workforce development plan • training materials and records 	
3. Be able to deliver a quality improvement plan	3.1 Work with others to identify an area of quality improvement	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • team meeting • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • key performance indicators • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • workforce development plan • policy and procedural development 	
	3.2 Produce an approved quality improvement plan	Work product: <ul style="list-style-type: none"> • service evaluation • quality improvement plan • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.3 Monitor implementation of the quality improvement plan	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • team meeting • training • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • key performance indicators • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • workforce development plan • policy and procedural development 	
	3.4 Evaluate the impact of the quality improvement plan to the service provision	Work product: <ul style="list-style-type: none"> • internal and external audits • inspection reports • service evaluation 	
	3.5 Adapt the quality improvement plan to address issues as they arise	Work product: <ul style="list-style-type: none"> • internal and external audits • inspection reports • analysis of data with recommendations and targets for improved outcomes • service evaluation • revised quality improvement plan 	

Unit 09 Safeguarding and protection (F/617/9959)

The purpose of this unit is to assess the knowledge, understanding and skills required to protect and safeguard vulnerable adults. The unit requires learners to understand the legal and regulatory basis for safeguarding and to know the actions to take and procedures to follow. It also follows the personalisation agenda in supporting individuals to develop the confidence to manage their own risks. One of the key steps in safeguarding is to work in partnership with other organisations in order to achieve the best possible outcomes.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the legislation, regulations and policies that underpin the protection of adults at risk
- the policies, procedures and practices in adult social care for safe working with children and young people
- the use of restrictive practices within social care.

LO	AC	Suggested evidence for assessment	Planning for next steps
4. Be able to lead service provision for safeguarding	4.1 Ensure the provision of high-quality and current information to staff and others relating to safeguarding	Direct observation: <ul style="list-style-type: none"> • induction • team meeting • training Work product: <ul style="list-style-type: none"> • meeting minutes • workforce development plan • training materials and records • working with others, partnership activity or networking • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.2 Promote a culture where the individual's needs and choices are balanced with expectations of safeguarding protocols	Direct observation: <ul style="list-style-type: none"> • induction • team meeting • focus groups • training • care planning cycle, monitoring and audit Work product: <ul style="list-style-type: none"> • care planning cycle • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • workforce development plan • supervision • appraisal/performance review documentation 	
	4.3 Follow agreed protocols for working in partnership with others: <ul style="list-style-type: none"> • within own organisation • outside of own organisation 	Work product: <ul style="list-style-type: none"> • meeting minutes • referral documentation • working with others, partnership activity or networking • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.4 Challenge ineffective practice in the promotion of the safeguarding of vulnerable adults	Work product: <ul style="list-style-type: none"> • meeting minutes • training materials and records • workforce development plan • supervision records • appraisal/performance review documentation Professional discussion Reflective account	
5. Be able to monitor and evaluate the systems, processes and practice that safeguards adults at risk	5.1 Monitor the use of restrictive practices in order to promote person-centred practice	Work product: <ul style="list-style-type: none"> • care planning cycle • mental capacity assessment • incident recording • behavior support planning 	
	5.2 Evaluate systems, procedures and partnership working for safeguarding in own service setting	Work product: <ul style="list-style-type: none"> • key performance indicators • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • workforce development plan • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	5.3 Provide feedback to others on practice that supports the safeguarding of adults at risk	Work product: <ul style="list-style-type: none"> • meeting minutes • training materials and records • workforce development plan • supervision records • appraisal/performance review documentation • working with others, partnership activity or networking Professional discussion Reflective account	
	5.4 Recommend proposals for improvements in systems and procedures in own service setting	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • service evaluation • quality improvement plan • workforce development plan • policy and procedural development Professional discussion Reflective account	

Unit 10 Assess the individual (T/617/9960)

The purpose of this unit is to provide the knowledge and skills needed to understand and implement different forms of assessment in the context of partnership working.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the assessment process.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to lead and contribute to assessments	2.1 Initiate early assessment of the individual	Direct observation: <ul style="list-style-type: none"> • care planning cycle, monitoring and audit • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • care planning cycle • meeting minutes • referral documentation Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.2 Support the active participation of the individual in shaping the assessment process	Direct observation: <ul style="list-style-type: none"> • care planning cycle, monitoring and audit • assessment • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • assessment documentation • care planning cycle • referral documentation Professional discussion Reflective account	
	2.3 Undertake assessments within the boundaries of own role	Direct observation: <ul style="list-style-type: none"> • assessment • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • assessment documentation • care planning cycle • referral documentation Professional discussion Reflective account	
	2.4 Make recommendations to support referral processes	Work product: <ul style="list-style-type: none"> • assessment documentation • referral documentation Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
<p>3. Be able to manage the outcomes of assessment</p>	<p>3.1 Develop a care or support plan in collaboration with the individual or others that meets identified needs</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • care planning cycle, monitoring and audit • working with others, partnership activity or networking <p>Work product:</p> <ul style="list-style-type: none"> • assessment documentation • care planning cycle 	
	<p>3.2 Implement interventions that contribute to positive outcomes for the individual</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • holistic • care planning cycle, monitoring and audit • working with others, partnership activity or networking <p>Work product:</p> <ul style="list-style-type: none"> • assessment documentation • care planning cycle 	
<p>4. Be able to promote others' understanding of the role of assessment</p>	<p>4.1 Develop others' understanding of the functions of a range of assessment tools</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • team meeting • induction • coaching or mentoring • training <p>Work product:</p> <ul style="list-style-type: none"> • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation <p>Professional discussion</p> <p>Reflective account</p>	

LO	AC	Suggested evidence for assessment	Planning for next steps
	<p>4.2 Develop others' understanding that assessment may have a positive and/or negative impact on an individual and their families</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • team meeting • induction • coaching or mentoring • training <p>Work product:</p> <ul style="list-style-type: none"> • workforce development plan • training materials or records • supervision records • appraisal/performance review documentation <p>Professional discussion</p> <p>Reflective account</p>	
	<p>4.3 Develop others' understanding of their contributions to the assessment process</p>	<p>Direct observation:</p> <ul style="list-style-type: none"> • team meeting • induction • coaching or mentoring • training <p>Work product:</p> <ul style="list-style-type: none"> • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation <p>Professional discussion</p> <p>Reflective account</p>	

LO	AC	Suggested evidence for assessment	Planning for next steps
5. Be able to review and evaluate the assessment	5.1 Review the assessment process based on feedback from the individual and/or others	Work product: <ul style="list-style-type: none"> • care planning cycle • collated feedback • comments and complaints • working with others, partnership activity or networking Professional discussion Reflective account	
	5.2 Evaluate the outcomes of the review	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes Professional discussion Reflective account	
	5.3 Develop an action plan to address the findings	Work product: <ul style="list-style-type: none"> • quality improvement plan • workforce development plan • policy and procedural development 	

Unit 11 Appraise staff performance (A/617/9961)

The purpose of this unit is to develop the knowledge, understanding and skills to appraise staff performance.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- policies and models which underpin appraisal of performance.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to facilitate preparation for appraisals	2.1 Confirm with appraisee the objectives against which performance will be appraised	Work product: <ul style="list-style-type: none"> • organisational objectives and performance indicators • objective setting process • appraisal/performance review documentation • supervision records • professional development plan Professional discussion Reflective account	
	2.2 Identify with the appraisee the actions they need to take to prepare for their appraisal	Work product: <ul style="list-style-type: none"> • appraisal/performance review preparation documentation • appraisal/performance review documentation • supervision records • professional development plan Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Evaluate evidence gathered from a range of sources towards achievement of objectives	Work product: <ul style="list-style-type: none"> • 360° approach, collated feedback • appraisal/performance review documentation • supervision records • professional development plan • organisational objectives and performance indicators Professional discussion Reflective account	
	2.4 Prepare paperwork for appraisal in line with work setting requirements	Work product: <ul style="list-style-type: none"> • appraisal/performance review preparation documentation • appraisal/performance review documentation • supervision records • professional development plan Professional discussion Reflective account	
3. Be able to support appraisee to participate in appraisal meetings	3.1 Demonstrate how to prepare the environment for the appraisal meeting	Professional discussion Reflective account	
	3.2 Support the appraisee to engage in an evaluation of their performance over the past year to include: <ul style="list-style-type: none"> • areas of practice which have met or exceeded standards • areas for development 	Work product: <ul style="list-style-type: none"> • appraisal/performance review preparation documentation • appraisal/performance review documentation • supervision records • professional development plan Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.3 Provide feedback to appraisee on their performance over the past year to include: <ul style="list-style-type: none"> • areas of practice which have met or exceeded standards • areas for development 	Work product: <ul style="list-style-type: none"> • appraisal/performance review documentation • supervision records • professional development plan Professional discussion Reflective account	
	3.4 Identify with appraisee work and personal objectives for forthcoming year	Work product: <ul style="list-style-type: none"> • appraisal/performance review documentation • professional development plan • organisational objectives and performance indicators Professional discussion Reflective account	
	3.5 Identify with appraisee professional development plan for forthcoming year	Work product: <ul style="list-style-type: none"> • appraisal/performance review documentation • professional development plan • organisational objectives and performance indicators Professional discussion Reflective account	
	3.6 Record the appraisal in line with work setting requirements	Work product: <ul style="list-style-type: none"> • appraisal/performance review documentation • professional development plan Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
4. Be able to evaluate own practice during the appraisal process	4.1 Evaluate with appraisee their experience of how the appraisal was conducted	Work product: <ul style="list-style-type: none"> • appraisal/performance review documentation Professional discussion Reflective account	
	4.2 Reflect on own practice in managing the appraisal process	Professional discussion Reflective account	

Unit 12 Lead and manage a team (F/617/9962)

The purpose of this unit is to develop and assess the knowledge, understanding and skills required to lead and manage a team.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the features of team performance.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to support a positive culture within the team	2.1 Identify the components of a positive culture within a team	Professional discussion Reflective account	
	2.2 Demonstrate how own practice supports a positive culture in the team	Direct observation: <ul style="list-style-type: none"> • leadership and management style • team meeting • focus groups • effective delegation including distributed leadership and empowerment strategies • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Use systems and processes to support a positive culture in the team	<ul style="list-style-type: none"> • communication strategy • supervision records • appraisal/performance review documentation • policy and procedural development <p>Direct observation:</p> <ul style="list-style-type: none"> • leadership and management style • team meeting • focus groups • effective delegation including distributed leadership and empowerment strategies <p>Work product:</p> <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management • communication strategy • supervision minutes • appraisal/performance review documentation • policy and procedural development 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.4 Encourage creative and innovative ways of working within the team	<p>Direct observation:</p> <ul style="list-style-type: none"> • leadership and management style • team meeting • focus groups • effective delegation including distributed leadership and empowerment strategies • acknowledge and celebrate achievements • role modelling • coaching or mentoring <p>Work product:</p> <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management • communication strategy • supervision records • appraisal/performance review documentation • policy an procedural development 	
3. Be able to support a shared vision	3.1 Identify the factors that influence the vision and strategic direction of the team	<p>Work product:</p> <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • communication strategy <p>Professional discussion</p> <p>Reflective account</p>	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.2 Communicate the vision and strategic direction to team members	<p>Direct observation:</p> <ul style="list-style-type: none"> • leadership and management style • team meeting • focus groups • role modelling • coaching or mentoring <p>Work product:</p> <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management • communication strategy • supervision records • appraisal/performance review documentation 	
	3.3 Support the team to promote a shared vision when working with others	<p>Direct observation:</p> <ul style="list-style-type: none"> • leadership and management style • focus groups • role modelling • coaching or mentoring <p>Work product:</p> <ul style="list-style-type: none"> • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • change management • communication strategy • supervision records • appraisal/performance review documentation 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.4 Evaluate how the vision and strategic direction of the organisation influences team practice	Work product: <ul style="list-style-type: none"> • inspection and audit reports • service evaluation • quality improvement plan • policy and procedural development Professional discussion Reflective account	
	3.5 Evaluate as a team how the needs and feedback from service-users can influence the vision and strategic direction of the organisation	Direct observation: <ul style="list-style-type: none"> • team meeting Work product: <ul style="list-style-type: none"> • care planning cycle • service user meetings, forums, surveys, comments and complaints • analysis of data with recommendations and targets for improved outcomes • policy and procedural development Professional discussion Reflective account	
4. Be able to develop a plan with team members to meet agreed objectives	4.1 Identify team objectives	Work product: <ul style="list-style-type: none"> • organisational and team planning activities • statement of purpose • vision and values statement • service and business objectives • key performance indicators • quality standards • objective setting process 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.2 Analyse how the skills, interests, knowledge and expertise within the team can meet agreed objectives	Work products: <ul style="list-style-type: none"> • skills analysis • objective setting process Professional discussion Reflective account	
	4.3 Facilitate team members to participate in the planning process	Direct observation: <ul style="list-style-type: none"> • organisational and team planning activities • team meeting • effective delegation including distributed leadership and empowerment strategies Work product: <ul style="list-style-type: none"> • skills analysis • objective setting process • supervision records • appraisal/performance review documentation 	
	4.4 Encourage sharing of skills and knowledge between team members	Direct observation: <ul style="list-style-type: none"> • team meeting • effective delegation including distributed leadership and empowerment strategies • training • role modelling • coaching or mentoring • buddying systems • shadowing 	
	4.5 Agree roles, responsibilities and personal objectives with team members	Work product: <ul style="list-style-type: none"> • skills analysis • objective setting process • team meeting minutes • supervision records • appraisal/performance review documentation 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.6 Use a solution-focused approach to support team members to address identified challenges	Work product: <ul style="list-style-type: none"> • team meeting minutes • supervision records • appraisal/performance review documentation Professional discussion Reflective account	
5. Be able to manage team performance	5.1 Monitor and evaluate progress towards agreed objectives	Direct observation: <ul style="list-style-type: none"> • team meeting Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan Professional discussion Reflective account	
	5.2 Provide feedback on performance	Direct observation: <ul style="list-style-type: none"> • team meeting Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	5.3 Provide recognition when individual and team objectives have been achieved	Direct observation: <ul style="list-style-type: none"> • team meeting • acknowledge and celebrate achievements Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation 	
	5.4 Explain how team members are managed when performance does not meet requirements	Work product: <ul style="list-style-type: none"> • policy and procedure – performance management, grievance, capability and disciplinary • supervision records • appraisal/performance review documentation Professional discussion Reflective account	

Unit 13 Assess the individual in group living (J/617/9963)

The purpose of this unit is to assess the knowledge, understanding and skills required to manage group living facilities. The unit provides the knowledge and skills to lead group living environments that provide individuals with the opportunities to achieve positive outcomes.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- leading group living environments that provide individuals with the opportunities to achieve positive outcomes.

LO	AC	Suggested evidence for assessment	Planning for next steps
1. Be able to develop the physical group living environment to promote positive outcomes for individuals	1.1 Review approaches typically applied to group living provision for individuals in health and social care	Professional discussion Reflective account	
	1.2 Evaluate the impact of legal and regulatory requirements on the physical group living environment	Professional discussion Reflective account	
	1.3 Review the balance between maintaining an environment that is safe and secure, and promoting freedom and choice	Professional discussion Reflective account	
	1.4 Explain how the physical environment can promote wellbeing	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	1.5 Justify proposals for providing and maintaining appropriate quality decorations and furnishings for group living	Work product: <ul style="list-style-type: none"> • proposal Professional discussion Reflective account	
	1.6 Develop an inclusive approach to decision making about the physical environment	Work product: <ul style="list-style-type: none"> • care planning cycle • service user meetings, forums, surveys, comments and complaints • co-production activity • working with others, partnership activity or networking 	
2. Be able to lead the planning, implementation and review of daily living activities	2.1 Evaluate the impact of legislation and regulation on daily living activities	Work product: <ul style="list-style-type: none"> • inspection report Professional discussion Reflective account	
	2.2 Support others to plan and implement daily living activities that meet individual needs and preferences	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • care planning cycle, monitoring and audit • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • activity plans • care planning cycle • workforce development plan • training materials and records • supervision records • appraisal/performance review documentation 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Develop systems to ensure individuals are central to decisions about their daily living activities	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • care planning cycle, monitoring and audit • working with others, partnership activity or networking Professional discussion Reflective account	
	2.4 Oversee the review of daily living activities	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • care planning cycle, monitoring and audit • working with others, partnership activity or networking Work product: <ul style="list-style-type: none"> • activity plans • care planning cycle 	
3. Be able to promote positive outcomes in a group living environment	3.1 Evaluate how group living can promote positive outcomes for individuals	Professional discussion Reflective account	
	3.2 Review the ways in which group activities may be used to promote the achievement of individual positive outcomes	Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.3 Ensure that individuals are supported to maintain and develop relationships	Direct observation: <ul style="list-style-type: none"> • service user meetings, forums, surveys, comments and complaints • care planning cycle, monitoring and audit • working with others, partnership activity or networking 	
	3.4 Use approaches to resolve any conflicts and tensions in group living	Professional discussion Reflective account	
4. Be able to manage a positive group living environment	4.1 Evaluate the effects of the working schedules and patterns on a group living environment	Work product: <ul style="list-style-type: none"> • staff rota • shift patterns Professional discussion Reflective account	
	4.2 Recommend changes to working schedules and patterns as a result of evaluation	Work product: <ul style="list-style-type: none"> • reviewed staff rota • reviewed shift patterns Professional discussion Reflective account	
	4.3 Develop a workforce development plan for the group living environment	Work product: <ul style="list-style-type: none"> • training needs analysis • workforce development plan 	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.4 Support staff to recognise professional boundaries whilst developing and maintaining positive relationships with individuals	Direct observation: <ul style="list-style-type: none"> • holistic • team meeting • training • role modelling • coaching or mentoring Work product: <ul style="list-style-type: none"> • supervision records • appraisal/performance review documentation • training materials and records • workforce development plan • policy and procedure 	
	4.5 Use appropriate methods to raise staff awareness of the group dynamics in a group living environment	Direct observation: <ul style="list-style-type: none"> • team meeting • care planning cycle, monitoring and audit Work product: <ul style="list-style-type: none"> • care planning cycle • supervision records • appraisal/performance review documentation • training materials and records • workforce development plan • policy and procedure 	
	4.6 Review approaches to resource management in maintaining a positive group living environment	Professional discussion Reflective account	

Unit 15 Concerns and complaints (R/617/9965)

The purpose of this unit is to assess the knowledge, understanding and skills required to develop, implement and review procedures and practices to address concerns and complaints. It covers the relevant regulatory requirements, codes of practice and relevant guidance, and analyses the impact of these on service provision.

The knowledge learning outcomes within this unit underpin the skills and provide the foundations for competency. To support a holistic, truly work based approach, opportunities for embedding and applying knowledge and understanding throughout the assessment of competency should be facilitated. Professional discussion can be used to explore actions observed or work products viewed in context. Learners can also reflect on their practice enabling them to expand upon reasons for their approach, undertake self-evaluation, seek feedback and plan for future professional development. Reflection in and on action should be encouraged throughout where connections between knowledge and skills can be reinforced.

For this unit learners need to demonstrate knowledge and understanding of:

- the regulatory requirements, codes of practice and relevant guidance for managing concerns and complaints.

LO	AC	Suggested evidence for assessment	Planning for next steps
2. Be able to implement procedures to address concerns and complaints	2.1 Explain why individuals might be reluctant to raise concerns and make complaints	Professional discussion Reflective account	
	2.2 Outline steps that can be taken to encourage individuals to raise concerns or complaints	Work product: <ul style="list-style-type: none"> • charter • service user agreements • accessible systems • service user meetings, forums, surveys, comments and complaints • care planning cycle • policy and procedure Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	2.3 Ensure information on how to raise concerns and make complaints is available in accessible formats	Work product: <ul style="list-style-type: none"> • charter • service user agreements • accessible systems • care planning cycle • policy and procedure 	
3. Be able to lead the implementation of procedures and practice for addressing concerns and complaints	3.1 Promote a person-centred approach to addressing concerns and complaints	Work product: <ul style="list-style-type: none"> • charter • service user agreements • accessible systems • service user meetings, forums, surveys, comments and complaints • care planning cycle • policy and procedure Professional discussion Reflective account	
	3.2 Ensure that others are informed about the procedure for raising concerns or making complaints	Work product: <ul style="list-style-type: none"> • charter • service user agreements • accessible systems • care planning cycle • policy and procedure • working with others, partnership activity or networking Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	3.3 Use supervision to support workers to recognise and address concerns and complaints	Work product: <ul style="list-style-type: none"> • supervision records 	
	3.4 Implement systems and procedures which address concerns and complaints and fully inform the complainant of the outcome within agreed time frames	Work product: <ul style="list-style-type: none"> • management of comments and complaints • policy and procedure 	
4. Be able to review the procedures and practices for addressing concerns and complaints	4.1 Monitor the use of systems for addressing concerns and complaints	Work product: <ul style="list-style-type: none"> • management of comments and complaints • policy and procedural development 	
	4.2 Evaluate systems for addressing concerns and complaints	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development Professional discussion Reflective account	

LO	AC	Suggested evidence for assessment	Planning for next steps
	4.3 Involve others in the review of procedures and practices for addressing concerns and complaints	Work product: <ul style="list-style-type: none"> • service user meetings, forums, surveys • team meeting minutes • working with others, partnership activity or networking Professional discussion Reflective account	
	4.4 Show how own management practice has provided a culture where the organisation can learn from concerns and complaints	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development Professional discussion Reflective account	
	4.5 Show how recommendations from concern and complaint investigations have been used to improve the quality of service	Work product: <ul style="list-style-type: none"> • analysis of data with recommendations and targets for improved outcomes • internal and external audits • inspection reports • service evaluation • quality improvement plan • policy and procedural development Professional discussion Reflective account	

Section 3

Assessment and quality assurance information

Assessment guidance

A recommended range of assessment methods has been identified for the units in this qualification. This gives the opportunity for different learning styles and individual needs of learners to be taken into account.

If you are proposing to use an assessment method that is not included within the recommended list, you should contact your External Quality Assurer with full details of your proposed method. It will need formal approval from us before it can be used.

Each learner must generate evidence from appropriate assessment tasks which demonstrate achievement of all the learning outcomes associated with each unit.

Please refer to the notes relating to expert witness testimony and simulation which follow this table.

Direct observation is a requirement of evidence generation contributing to the achievement of skills based assessment criteria.

Ref	Assessment Method	Assessing Competence/ Skills	Assessing Knowledge/ Understanding
A	Direct observation of learner by Assessor <ul style="list-style-type: none"> by an Assessor who meets the relevant Sector Skills Council's or other assessment strategy/principles and includes inference of knowledge from this direct observation of practice 	Yes	Yes
B	Professional discussion	Yes	Yes
C	Expert witness testimony* <ul style="list-style-type: none"> when directed by the Sector Skills Council or other assessment strategy/principles 	Yes	Yes
D	Learner's own work products	Yes	Yes
E	Learner log or reflective diary	Yes	Yes
F	Activity plan or planned activity	Yes	Yes
G	Observation of children, young people or adults by the learner	Yes	Yes
H	Portfolio of evidence <ul style="list-style-type: none"> may include simulation** 	Yes	Yes
I	Recognition of prior learning	Yes	Yes

J	Reflection on own practice in real work environment	Yes	Yes
K	Written and pictorial information	No	Yes
L	Scenario or case study	No	Yes
M	Task set by CACHE (for knowledge learning outcomes)	No	Yes
N	Oral questions and answers	Yes	Yes

* **Expert witness testimony** should be used in line with the relevant assessment strategy/principles. This method must be used with professional discretion, and only selected when observation would not be appropriate. Those providing an expert witness testimony must be lead practitioners with experience of making judgements around competence. The circumstances that may allow for an expert witness testimony include:

- when assessment may cause distress to an individual, such as supporting a child with a specific need
- a rarely occurring situation, such as dealing with an accident or illness
- confidential situations – such as safeguarding strategy meetings – where it would be inappropriate for an Assessor to observe the learner’s performance.

** **Simulation**. A learner’s portfolio of evidence may only include simulation of skills where simulation is permitted by the relevant assessment strategy/principles.

Assessment strategy

Skills for Care and Development assessment principles

Knowledge learning outcomes

- Assessors will need to be both occupationally knowledgeable and qualified to make assessment decisions
- Internal Quality Assurers will need to be both occupationally knowledgeable and qualified to make quality assurance decisions.

Competence/Skills learning outcomes

- Assessors will need to be both occupationally competent and qualified to make assessment decisions
 - Internal Quality Assurers will need to be both occupationally knowledgeable and qualified to make quality assurance decisions.
-

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