



# **STANDARD ASSESSMENT SPECIFICATION**

Level 4  
Lead Practitioner in Adult Care

### Change Control

Innovate Awarding will continuously review all support material to ensure its accuracy. All amendments will be recorded on the below change control table. New and updated support material will be listed on the dashboard section of EPA Pro. Please ensure that you are using the most up-to-date version. Any enquiries about this process can be directed to [EPA@innovateawarding.org](mailto:EPA@innovateawarding.org).

VERSION NUMBER	DATE UPLOADED	AMENDMENT	PAGE AFFECTED
5		EQA provider has changed - it is no longer National Skills Academy for Rail (NSAR), it is now The Office of Qualifications and Examinations Regulation (Ofqual). These changes appear on page 4 under the Apprenticeship Overview section and on page 20 under the External Quality Assurance section.	4 and 20

### Disclaimer note

This specification has been developed to support training providers, employer providers and employers to understand the End-point Assessment requirements of the Level 4 Lead Practitioner in Adult Care.

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## Introduction

### Innovate Awarding

Innovate Awarding is an End-point Assessment Organisation approved by the Education and Skills Funding Agency (ESFA) and a nationally regulated Awarding Organisation with a collaborative approach to doing business. We work with employers and training providers to deliver fit for purpose End-point Assessment and qualification services in a number of sectors. For further information, please see our website, [www.innovateawarding.org/apprenticeship-standards/end-point-assessment](http://www.innovateawarding.org/apprenticeship-standards/end-point-assessment).

## Apprenticeship overview

This apprenticeship standard has been developed by employers in the adult care sector and identifies the knowledge, skills and behaviours required by Lead Practitioners in Adult Care.

STANDARD NAME	Lead Practitioner in Adult Care
LEVEL	4
SECTOR	Care
PROGRAMME DURATION	18 months
MINIMUM TIME ON PROGRAMME	12 months
EPA DURATION	Up to 3 months
EPA METHODS	<ul style="list-style-type: none"> <li>• Observation of Practice</li> <li>• Professional discussion</li> </ul>
OUTCOMES	Distinction, Pass, Fail
EXTERNAL QUALITY ASSURANCE CENTRE	Ofqual

### Who is the apprenticeship for?

A Lead Practitioner has a greater depth of knowledge and expertise of particular conditions being experienced by the user of services. They will have specialist skills and knowledge in their area of responsibilities which will allow them to lead in areas such as care needs assessment, occupational therapy, physiotherapy, rehabilitation and enablement, telecare and assistive technology. They will be a coach and mentor to others and will have a role in assessing performance and quality of care delivery. Lead Practitioners in Adult Care may work in residential or nursing homes, domiciliary care, day centres, a person's own home or some clinical healthcare settings. As well as covering Lead Practitioners in Adult Care this standard also covers Lead Personal Assistants who can work at this senior level but they may only work directly for one individual who needs support and/or care services, usually within their own home.

### Role of Innovate Awarding

We are the End-point Assessment organisation and will complete the entirety of the End-point Assessment requirements for the apprenticeship. We will provide information on the processes to enable employers and training providers to support the apprentice to achieve the End-point Assessment.

## Support Materials

Support materials provided include:

- Guides for assessment methods
- Assessment specifications
- Mock End-point Assessment records

## On Programme Requirements

The on-programme learning and development will be agreed between the training provider and employer, or internally if training is delivered by an employer provider.

For this standard, it is mandatory that the apprentice completes:

- Level 4 Diploma in Adult Care
- Completion of Level 2 English and Maths (if not already achieved).

## Gateway

To qualify for End-point Assessment (EPA), the apprentice must pass through the gateway. To do this, they need to achieve:

- Level 2 English and Maths
- Level 4 Diploma in Adult Care

The employer and training provider / employer provider must confirm that the apprentice is ready to complete the End-point Assessment (EPA) before they can pass through to the gateway. This will be indicated at the gateway meeting and documented on “EPA Pro”. This notifies Innovate Awarding that the apprentice is ready for their assessment and that the EPA planning meeting needs to be organised.

Before the apprentice enters the gateway, they should be comfortable with the assessments they will complete and ready to demonstrate they can achieve the standard of the apprenticeship.

## Module Overview

The modules are the titles of the knowledge, skills and behaviours highlighted in the standard.

MODULES	ASSESSMENT METHODS	
	Observation of Practice	Professional Discussion
Module A – Tasks and responsibilities	✓	✓
Module B – Dignity and human rights	✓	✓
Module C – Communication	✓	✓
Module D – Safeguarding		✓
Module E – Health and wellbeing	✓	✓
Module F – Professional development	✓	✓
Module G – Behaviours	✓	✓

## End-point Assessment

The End-point Assessment requires the apprentice to demonstrate that they have achieved the standard requirements.

### What will the End-point Assessment look like?

A planning meeting will take place once the gateway has been passed and the apprentice has been deemed ready for the End-point Assessment. The purpose is to: –

- plan when the assessments will take place
- identify the requirements of each assessment method
- answer any questions/concerns the apprentice may have about the assessment process
- aid in the preparation requirements (e.g. arranging access, facilities and resources)

This meeting is conducted remotely.



## What is the “Observation of Practice”?

Apprentices will be given a maximum of 4 weeks’ notice of their observation in order to prepare for this assessment. Apprentices must ensure that the appropriate organisational staff are present at the activity. Apprentices will be observed carrying out practices such as:

- Preparing for a best interest meeting through consultation with the care staff team. This should include the rationale around the need to trigger the meeting, the roles and responsibilities of who should be involved and the potential implications for the service.
- Leading a meeting where they guide and support colleagues around how to implement the required care delivery within the service to support people that use the services regarding their identified care needs, goals and required outcomes.
- A response to regulatory and legislative requirements that specifically impact upon how the needs of people that use the services are being met. For example, this could be communicating the outcomes of working with external partners and stakeholders so as to deliver positive change to the people being supported by the service.
- Development of service provision so that it can improve service delivery to more effectively meet the needs and aspirations of the people that use the services. For example, this may be in the form of presenting some information or analysing data in relation to evidence based practice to develop or improve the service provision.

The activity will be agreed with IAO in advance of the assessment but it must be based on real life improvements to the apprentice’s employer and the users of their service.

The observation will last for 75 minutes (+10%) and comprise of two parts: The observation of the leadership activity will last for 60 minutes (+10%) and will be followed by a post observation question session during which the assessor will ask open ended questions on any aspect of the activity requiring clarification. This will last for 15 minutes (+10%).

The observation must take place in a suitable controlled environment and may be carried out face to face or remotely through virtual technology such as video conferencing with 360-degree camera function.

## What is the “Professional Discussion”?

The professional discussion is an in-depth two way discussion between the apprentice and End-point Assessor. The professional discussion will last for 90 minutes (+10%) and should take place in a suitable, controlled environment. The discussion may take place face to face or remotely.

During the professional discussion the End-point Assessor will ask the apprentice at least one question for each of the areas of knowledge, skills and behaviours mapped to this method of assessment. The assessor may ask follow-up questions where further clarification is required.

## Apprenticeship Standard Amplification

### Module A – Tasks and responsibilities

#### MODULE A – TASKS AND RESPONSIBILITIES

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	K1. Explain statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services	K1	S1	Apply professional judgement, standards and codes of practice relevant to the role	S1
K2	K2. Analyse theories underpinning own practice and competence relevant to the job role	K2	S2	Develop and sustain professional relationships with others	S2
K3	K3. Describe principles of assessment	K3	S3	Identify and access specialist help required to carry out role	S3
K4	K4. Describe principles of outcome-based practice	K4	S4	Lead the specialist assessment of social, physical, emotional and spiritual needs of individuals with cognitive, sensory and physical impairments	S4
K5	K5. Evaluate principles of risk management	K5	S5	Mentor colleagues to encourage individuals to actively participate in the way their care and support is delivered	S5
			S6	Contribute to the implementation of processes to implement and review support plans	S6
			S7	Provide leadership and mentoring to others for whom they are responsible	S7
			S8	Apply risk management policies	S8
			S9	Contribute to the quality assurance of the service provided	S9



### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Statutory frameworks, standards, guidance and Codes of Practice may include: Legislation such as The Health and Safety at Work Act, The Equality Act, Health and Social Care Act, The Safeguarding Vulnerable Groups Act, Data Protection and GDPR etc, CQC (Care Quality Commission) and the fundamental standards, White papers such as 'Putting People First', and 'Valuing People', Local authorities guidance, Codes of Practice such as the Code of Conduct for Healthcare Support Workers and Adult Social Care Workers or the Code of Practice for Social Service Workers, regulations, minimum standards, the requirements of National Occupational Standard and the organisations own policies and procedures.	K1	S2	Others may include: individuals, carers, family members and friends, advocates, paid workers, other professionals, colleagues.	S2
K2	Theories may include: Theorists such as Maslow, Kolb, Savickas etc. It may also include outcome based practice, reflective practice, supporting transition, communication management, change management, coaching, quality assurance, quality improvement plan, PESTLE Analysis, Organisational Needs Analysis.	K2	S3	Specialist help may include: care, health, social care, voluntary services, education, community services, general practitioners, hospital services, district nurses, practice nurses, speech and language therapists, dietitians, podiatrists, physiotherapists, psychologists, spiritual/religious practitioners, addiction specialists, pharmacists, social workers, advocates, support groups., housing support staff.	S3

## DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K3	<p>The principles of assessment could include:</p> <ul style="list-style-type: none"> <li>• Practicality of obtaining the assessment</li> <li>• Reliability of the evidence that you can gather in that situation</li> <li>• Validity of the evidence – how do we know that it is valid to the assessment we are measuring?</li> <li>• Ensuring that the evidence gathered is authentic</li> <li>• Review and feedback of the evidence gathered against the original aims.</li> </ul>	K3	S4	<p>To include: the use of verbal and non-verbal communication skills, ensuring privacy and dignity, holistic assessment, knowledge of the problem, participation in decision making, discussing treatment options, recording of assessment.</p> <p>Working with other professionals to ensure a multi disciplinary approach to offer the individual a holistic care package.</p> <p>As for K3, the assessment process could include:</p> <p>Practicality of obtaining the assessment</p> <p>Reliability of the evidence that you can gather in that situation</p> <p>Validity of the evidence – how do we know that it is valid to the assessment we are measuring?</p> <p>Ensuring that the evidence gathered is authentic</p> <p>Review and feedback of the evidence gathered against the original aims.</p> <p>It could also include the use of advocacy services.</p>	S4

### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K4	<p>Outcome -based practice includes: individual at the centre, effective communication, focus, partnership working, achievement, monitoring and review, audit trail.</p> <p>The outcome based practice relates to how assessments and reviews benefit the lives of the people that are supported whilst ensuring person centred care.</p> <p>In terms of management of a team, an example can be the supervision and appraisals of the team and how their personal development is being supported by the organisation.</p>	K4			
K5	<p>The principles of risk assessment includes:</p> <ul style="list-style-type: none"> <li>• Identify the risk</li> <li>• Assess and evaluate</li> <li>• Plan to minimise the risk</li> <li>• Monitor and review the effectiveness</li> <li>• An awareness of empowerment to the individuals is important and how risk management can offer further opportunities to people rather than taking away opportunities.</li> <li>• Also including person centred approaches, consent, risk management, supporting development, inclusion, advocacy and support and safeguarding.</li> </ul>	K5			

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.

## Module B – Dignity and human rights

### MODULE B – DIGNITY AND HUMAN RIGHTS

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Explain how to contribute to, promote and maintain a culture which ensures dignity is at the centre of practice.	K5	S1	Implement a culture that actively promotes dignity and respects diversity and inclusion	S10
			S2	Model high levels of empathy, understanding and compassion	S11

### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Approaches may include: person-centred ways of working, mutual respect, dignity, trust, confidentiality, right to privacy, empowerment, safeguarding, inclusion, challenging discriminatory practice, monitoring, mentoring, supervision, role modelling, training.	K5	S2	To include trust, honesty, diplomacy, a professional non-judgemental approach, person-centred ways of working, communication skills, negotiation skills, promoting security and safety, supporting needs, discretion.	S11

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.

## Module C – Communication

### MODULE C – COMMUNICATION

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Analyse effective communication	K6	S1	Model effective communication skills	S12
K2	Identify solutions to overcome communication barriers	K6	S2	Address barriers to communication using appropriate resources	S13
K3	Analyse legal and ethical frameworks in relation to confidentiality and sharing information	K7	S3	Apply organisational processes to record, maintain, store and share information	S14
K4	Evaluate a range of technologies used to enhance communication	K8	S4	Provide meaningful information to support people to make informed choices	S15

### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K3	Legal and ethical frameworks will include: agreed ways of working, data protection, GDPR, Freedom of information, and other areas of confidentiality, sensitivity of data, seeking agreements with participants. Regulations and associated policies and procedures will be dependent on service provision. Services providing regulated activity as defined by current legislation and regulators such as CQC and the fundamental standards. Duty of Candour.	K7	S1	To include verbal and non-verbal communication, visual communication, alternative forms of communication e.g. technological aids, use of pictures., Makaton, communicating appropriately with different groups of people e.g. practitioners, families.	S12
K4	Technologies may include: email, electronic files, specialist support/equipment, augmentative technology. Ensuring that documents are available in a 'read to me' option, large print or Braille	K8	S2	Barriers may include: cultural, environmental, personal, specific needs.	S13

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.

## Module D – Safeguarding

### MODULE D – SAFEGUARDING

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Describe legislation, national and local solutions for the safeguarding of adults and children including reporting requirements	K9	S1	Support others to adhere to safeguarding procedures	S16
			S2	Work in partnership with external agencies to respond to safeguarding concerns	S17

### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Legislation, national and local solutions: including current and applicable legislation, reporting requirements, complaints procedure, Duty of Care, Duty of Candour, whistleblowing, information governance, referral process, confidentiality policy, fundamental standards, multi-agency and interagency working, social services, health services, third sector organisations, the emergency services, coordinating and monitoring investigations, liaison between agencies, safeguarding teams, capacity, consent, assessment.	K9	S1	To include: organisational policies, systems and processes to include: whistle blowing guidance, protocols for interagency/ joint/ integrated working, agreements for reporting safeguarding issues, protection for whistle-blowers, recording issues raised and action taken, processes for raising concerns and making complaints.	S16

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.

## Module E – Health and wellbeing

### MODULE E – HEALTH AND WELLBEING

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Analyse models of monitoring, reporting and responding to changes in health and wellbeing	K10	S1	Apply person-centred approaches to promote health and wellbeing	S18
K2	Evaluate holistic solutions used to promote and maintain health and wellbeing using person centred approaches	K11	S2	Collaborate with external partners to achieve best outcomes in health and wellbeing	S19
K3	Describe the importance of effective partnerships, inter-agency, joint and integrated working	K12			

### DELIVERY CONTENT AND GUIDANCE

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Models of monitoring, reporting and responding to changes in health and wellbeing may include: person centred approaches, observation, escalation, immediacy, interventions, general and critical responses, collaboration, partnership working, recording and reporting procedures, risk assessment.	K10	S1	To include: ensuring quality, dignity and respect, understanding and involvement in support and care, personalised, co-ordinated, enabling, outcomes based, the individual at the centre of all activities	S18
K2	To include: responsive and flexible approach, addressing all needs, involvement, inclusion, priorities, personal beliefs and preferences of the individual, proactive approach, ongoing review, monitoring, observation, escalation, immediacy, interventions, general and critical responses, collaboration, partnership working, recording and reporting procedures, risk assessment.	K11			

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.



## Module F – Professional development

### ASSESSMENT CRITERIA

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K1	Analyse the goals and aspirations that support own professional development	K13	S1	Evaluate own practice and access identified development opportunities	S20
K2	Explain how to access available opportunities for professional development	K13	S2	Evaluate the effectiveness of own leadership, mentoring and supervision skills and take steps to enhance performance	S21
			S3	Value individuals to develop effective teams in order to achieve best outcomes	S22
			S4	Contribute to the development of an effective learning culture	S23
			S5	Lead robust, values-based recruitment and selection processes	S24
			S6	Contribute to the induction process by developing the knowledge of individuals within their role	S25
			S7	Lead and support others in professional development	S26

### DELIVERY & GUIDANCE CONTENT

Ref	Knowledge Apprentices will need to:	Maps to	Ref	Skill Apprentices will need to:	Maps to
K2	Available opportunities may include: accessing resources, supervision, appraisal, shadowing, mentoring, coaching, mandatory training, specialist training, formal support, informal support.	K13	S7	Lead and support others could include: personal development plans, supervision, appraisal, reflective practice, monitoring, observation, currency of practice, application of research, workforce development planning, evidence based practice, access to learning and development opportunities	S26

#### Values, attributes and behaviours:

Care, compassion, courage, communication, competence, commitment.

## Module G – Behaviours

### BEHAVIOURS

B1	Care – is caring consistently and enough about individuals to make a positive difference to their lives
B2	Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect
B3	Courage – is doing the right thing for people and speaking up if the person they support is at risk
B4	Communication – good communication is central to successful caring relationships and effective team working
B5	Competence – is applying knowledge and skills to provide high quality care and support
B6	Commitment – to improving the experience of people who need care and support ensuring it is person centred

## End-point Assessment Coverage

Each End-point Assessment component will cover the assessment criteria of the modules within the standard. The coverage (example – K 1.1 – 1.5) is taken from the amplification above.

The “Observation of practice” will cover the following modules of the standard

MODULE	COVERAGE
Module A – Tasks and Responsibilities	S1,2,5,6,7
Module B – Dignity and Human Rights	S 1,2
Module C – Communication	S 1,3
Module E – Health and Wellbeing	S 1
Module F – Professional Development	S3
Module G – Behaviours	B 1,2,4,5

The “Professional discussion” will cover the following modules of the standard:

MODULE	COVERAGE
Module A – Tasks and Responsibilities	S3,4,8,9 K1,2,3,4,5
Module B – Dignity and Human Rights	K 1
Module C – Communication	S 2, 4 K 1,2,4
Module D – Safeguarding	S 1,2 K 1
Module E – Health and Wellbeing	S 1 K 1,2,3
Module F – Professional Development	S 1, 2, 4, 5,6,7 K 1
Module G – Behaviours	B3,6

## Re-Assessment

If the apprentice fails an assessment, this will need to be completed again. If an apprentice has to retake their assessments then they will be observed carrying out a different activity and alternate questions will be asked in the professional discussion.

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

An apprentice who fails an assessment method, and therefore the EPA in the first instance, will be required to re-sit or re-take any failed assessment method only.

The timescales for a resit or retake is agreed between the employer and EPAO. A resit/retake is typically taken within 3 months of the EPA outcome notification.

For a list of the re-sit costs, please see the Innovate website. It is the responsibility of the employer and the employer provider/training provider to ensure that apprentices are ready to pass the End-point Assessments and Innovate Awarding will provide support materials to help prepare apprentices for their assessments.

## Assessment Overview

The End-point Assessor will review the evidence for each apprentice and grade the apprentice on the following scale: fail/pass/distinction. The End-point Assessor will make the final decision as to whether the standard has been met or not.

All apprentices must participate in all elements of the End-point Assessment and achieve a minimum of pass for each component.

ASSESSMENT METHOD	AREA ASSESSED	ASSESSED BY	WEIGHTING	MARKS
Observation of Practice	Module A Tasks and responsibilities	Independent End-point Assessor	50%	Pass
	Module B Dignity and human rights			
	Module C Communication			
	Module E Health and wellbeing			
	Module F Professional development			
	Module G Behaviours			
	Module A Tasks and responsibilities			
Professional Discussion	Module B Dignity and human rights	Independent End-point Assessor	50%	Pass / Distinction
	Module C Communication			
	Module D Safeguarding			
	Module E Health and wellbeing			
	Module F Professional development			
	Module G Behaviours			
	Module A Tasks and responsibilities			

## Grading

The marks will be aggregated to provide an overall grade. The gradings are awarded on the following marks being achieved.

OBSERVATION OF PRACTICE	PROFESSIONAL DISCUSSION	EPA GRADE
Fail	Fail	Fail
Pass	Fail	Fail
Fail	Pass	Fail
Fail	Distinction	Fail
Pass	Pass	Pass
Pass	Distinction	Distinction

## Grading Requirements

### Observation of Practice

To achieve a pass grade, the apprentice must achieve all of the pass criteria for the knowledge, skills and behaviours covered in this component.

### Professional Discussion

To pass this assessment, apprentices must achieve all of the pass criteria for the knowledge, skills and behaviours covered by this component.

To achieve a distinction, apprentices must achieve all of the pass criteria and at least 21 out of 27 of the distinction criteria.

## Internal Quality Assurance

Internal quality assurance is conducted by Innovate Awarding. All assessments completed by an apprentice are subject to Innovate Awarding's Internal Quality Assurance Policy.

## External Quality Assurance

The external quality assurance organisation for the Level 4 Lead Practitioner in Adult Care standard is the Office of Qualifications and Examinations Regulation (Ofqual). The external quality assurance organisation may require access to an apprentice's assessments and they may require to speak to the apprentice directly. Innovate Awarding has a responsibility to accommodate any reasonable request made by the external quality assurance organisation.

## Further Information

[www.innovateawarding.org/apprenticeshipstandards](http://www.innovateawarding.org/apprenticeshipstandards)

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