



# **ASSESSMENT SPECIFICATION**

Level 5  
Leader 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

### 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 5 Leader in Adult Care standard.

This specification has been released as draft to support planning and preparation for assessment and is correct at time of publication. Innovate Awarding will release final published specifications as soon as all information has been confirmed by regulatory and external quality assurance organisations. Any changes will be clearly referenced in future editions. Innovate Awarding Policies and Procedures for End-point Assessment will be published in a separate online customer handbook published on bespoke IT system (EPA Pro).

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## Introduction

### Innovate Awarding

Innovate Awarding Organisation (IAO) is an End-point Assessment Organisation (EPAO) approved by the Education and Skills Funding Agency (ESFA) and a nationally regulated Awarding Organisation (AO) 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. We provide information on the processes to enable employers and training providers to support the apprentice to achieve the End-point Assessment. We will conduct the end point assessment for the **Level 5 Leader in Adult Care** apprenticeship standard.

For further information, please visit:

[www.innovateawarding.org/apprenticeship-standards/end-point-assessment](http://www.innovateawarding.org/apprenticeship-standards/end-point-assessment)

## Apprenticeship Overview

Overview of the standard including what's involved and key elements of the standard.

<b>Sector</b>	Care services
<b>Standard Name</b>	Leader in Adult Care
<b>Standard Reference</b>	ST0008
<b>Programme Duration</b>	18 months
<b>Minimum Time on Programme</b>	12 months
<b>Assessment Plan Version</b>	AP02
<b>EPA Duration</b>	3 months
<b>EPA Methods</b>	<ul style="list-style-type: none"> <li>• Observation of Leadership</li> <li>• Professional Discussion</li> </ul>
<b>Grading</b>	Pass/Distinction
<b>External Quality Assurance Provider</b>	National Skills Academy for Rail (NSAR)

### Who is the apprenticeship for?

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

## On Programme Journey

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.

## Gateway

To progress through Gateway the apprentice must have:

- Consistently been working at or above the level set out in the standard
- Achieved level 2 English and maths
- Achieved the Level 5 Diploma in Leadership and Management for Adult Care

To reach Gateway the employer, training provider and apprentice must agree that all training has been completed. This will be confirmed at the Gateway meeting and evidenced on EPA Pro, notifying Innovate Awarding that the apprentice is ready for their End-point Assessment.

## Knowledge, Skills and Behaviours mapped to assessment methods

Knowledge - The Apprentice must know and understand:		Observation of Leadership	Professional Discussion
<b>K1</b>	Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services		✓
<b>K2</b>	Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management		✓
<b>K3</b>	Principles of risk management, assessment and outcome based practice		✓
<b>K4</b>	Principles and underpinning theories of change management including approaches, tools and techniques that support the change process		✓
<b>K5</b>	Legislative and regulatory frameworks which inform quality standards		✓
<b>K6</b>	Theories and models that underpin performance and appraisal including disciplinary procedures		✓
<b>K7</b>	Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead		✓
<b>K8</b>	Legal and ethical frameworks in relation to confidentiality and sharing information		✓
<b>K9</b>	Range of tools and strategies to enhance communication including technology		✓
<b>K10</b>	Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements		✓
<b>K11</b>	The elements needed to create a culture that supports whistleblowing in the organisation		✓
<b>K12</b>	Models of monitoring, reporting and responding to changes in health and wellbeing	✓	
<b>K13</b>	Principles of professional development		✓
<b>K14</b>	Goals and aspirations that support own professional development and how to access available opportunities		✓
<b>K15</b>	Elements needed to create a culture that values learning, professional development, reflective practice and evidence based practice		✓
<b>K16</b>	Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers		✓
<b>K17</b>	Theories of management and leadership and their application to adult care		✓
<b>K18</b>	Features of effective team performance		✓

Skills - The Apprentice must be able to:		Observation of Leadership	Professional Discussion
<b>S1</b>	Develop and apply systems and processes needed to ensure compliance with regulations and Organisational policies and procedures	✓	
<b>S2</b>	Implement strategies to support others to manage the risks presented when balancing individual rights and professional duty of care	✓	
<b>S3</b>	Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery	✓	
<b>S4</b>	Lead and support others to work in a person centred way and to ensure active participation which enhances the wellbeing and quality of life of individuals	✓	
<b>S5</b>	Encourage and enable both staff and people who access care and support to be involved in the coproduction of how the service operates	✓	
<b>S6</b>	Manage all resources in delivering complex care and support efficiently and effectively	✓	
<b>S7</b>	Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace	✓	
<b>S8</b>	Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems	✓	
<b>S9</b>	Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and keep information safe and preserve confidentiality		✓
<b>S10</b>	Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues	✓	
<b>S11</b>	Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures		✓
<b>S12</b>	Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding		✓
<b>S13</b>	Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance		✓
<b>S14</b>	Implement health and safety and risk management policies, procedures and practices to create a culture that values health and wellbeing in the organisation		✓
<b>S15</b>	Monitor, evaluate and improve health, safety and risk management policies and practices in the service		✓
<b>S16</b>	Apply evaluated research and evidence-based practice in own setting	✓	
<b>S17</b>	Take initiative to research and disseminate current drivers in the adult care landscape (assessed indirectly through leadership skills)	N/A	N/A

<b>Skills - The Apprentice must be able to:</b>		<b>Observation of Leadership</b>	<b>Professional Discussion</b>
<b>S18</b>	Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities		✓
<b>S19</b>	Show a well-developed sense of their own behaviour and impact on others modelling a values-based culture	✓	
<b>S20</b>	Create a supportive culture that values initiative and innovation and recognises the variety of skills of all within the service, both workers and individuals supported	✓	
<b>S21</b>	Adopt a team approach, recognising contributions of team members and able to lead a team where required	✓	
<b>Behaviours</b>		<b>Observation of Leadership</b>	<b>Professional Discussion</b>
<b>B1</b>	Care – is caring consistently and enough about individuals to make a positive difference to their lives	✓	
<b>B2</b>	Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect	✓	
<b>B3</b>	Courage – is doing the right thing for people and speaking up if the individual they support is at risk	✓	
<b>B4</b>	Communication – good communication is central to successful caring relationships and effective team working		✓
<b>B5</b>	Competence – is applying knowledge and skills to provide high quality care and support		✓
<b>B6</b>	Commitment – to improving the experience of people who need care and support ensuring it is person-centred		✓

## End-point Assessment

The End-point Assessment tests the knowledge, skills, and behaviours that an apprentice has acquired during their training. EPA demonstrates the competence of an apprentice in their role as a Leader in Adult Care. This competence is valued by current and future employers.

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

A planning meeting will take place once gateway has been passed and the apprentice has been deemed ready for End-point Assessment.

The purpose of a planning meeting 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.

### Support Materials

Support materials that we will provide include:

- Apprentice journey
- Apprentice assessment guidance
- Observation of leadership planning and evidence locator document
- Mock observation of leadership record
- Mock professional discussion record

### What is the Observation of Leadership?

The Observation of Leadership requires the apprentice to demonstrate leadership to an organisational audience. This assessment method will last a total of 90 minutes and is comprised of two stages: observation plus questioning by the end-point assessor in order to assess the apprentice's related underpinning knowledge and to seek clarification on points which were not clear in the observed activity. The observation must take 60 minutes. The post-observation question session will take 30 minutes and will follow the observation. The end-point assessor may increase the total time of this assessment method by 10%, the additional 10% may be applied across either stage.

For the assessment the apprentice will be observed leading an activity such as:

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

The apprentice must plan the observation in advance in order to ensure that they will be able to demonstrate all of the required Knowledge, Skills and Behaviours (KSBs) in order to pass this assessment. The apprentice must complete the Observation of Leadership Planning and Evidence Locator document and submit this to Innovate Awarding at gateway. The plan must include which members of staff or colleagues will need to be there and if any permissions need to be sought.

The end-point assessor will review the Observation of Leadership Planning and Evidence Locator document to check if the planned activity has the scope to meet the criteria covered by this assessment. If for any reason the plan is not approved, the apprentice must send a revised Observation of Leadership Planning and Evidence Locator document within one week.

The apprentice must ensure that the appropriate organisational staff are present at the activity and are notified in advance.

During the post-observation questioning session, the independent assessor will ask a minimum of 4 set open questions to assess related underpinning knowledge linked to K12: Models of monitoring, reporting and responding to changes in health and wellbeing.

Apprentices will need to explain how they have considered K12 when demonstrating leadership.

The post-observation questions will be focused on the following 4 areas:

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

### **What is the Professional Discussion?**

This assessment will take the form of a professional discussion, which will be appropriately structured to draw out the best of the apprentice's competence and excellence and cover the Knowledge, Skills and Behaviours (KSBs) assigned to this assessment method.

The professional discussion can take place in either of the following:

- employer's premises
- a suitable venue selected by Innovate Awarding (e.g. a training provider's premises).

This assessment method will offer a full synoptic assessment, testing aspects of knowledge, skills and behaviours. It will allow the apprentice to evidence both the knowledge gained and its application through skills and behaviours. The discussion will allow the end-point assessor to thoroughly test understanding through open and follow up (clarification) questions.

The end-point assessor will conduct and assess the professional discussion.

The professional discussion will last 90 minutes (+10% at the discretion of the end-point assessor to allow the apprentice to finish their last answer). The discussion will be a 1:1 conversation. Video conferencing can be used to conduct the professional discussion.

The professional discussion should take place in a quiet room, free from distractions and influence.

The end-point assessor will make all grading decisions

## Observation of Leadership Grading Criteria and Delivery Guidance

In order to pass the Observation of Leadership, the Apprentice must display all of the pass criteria listed in the tables below.

### Area of Standard: Behaviours

Behaviours	Pass Criteria
<b>B1:</b> Care – is caring consistently and enough about individuals to make a positive difference to their lives	Evaluates enrichment of quality of life for the users of their services
<b>B2:</b> Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect	Promotes and improve the delivery of compassionate care within the setting
<b>B3:</b> Courage – is doing the right thing for people and speaking up if the individual they support is at risk	Evaluates the effectiveness of staff practice and their application of knowledge and policy compliance

### Area of Standard: Tasks and responsibilities

Knowledge and Skills	Pass Criteria
<b>S1:</b> Develop and apply systems and processes needed to ensure compliance with regulations and organisational policies and procedures	Formulates fit for purpose systems and processes, efficiently ensuring that compliance with regulations and organisational policies and procedures are met
<b>S2:</b> Implement strategies to support others to manage the risks presented when balancing individual rights and professional duty of care	Correctly applies strategies to support others' management of risks whilst balancing individual rights and professional duty of care
<b>Delivery Guidance</b>	
Others may include: individuals, carers, family members and friends, advocates, paid workers, other professionals, colleagues.	
Knowledge and Skills	Pass Criteria
<b>S3:</b> Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery	Formulates fit for purpose systems and processes efficiently ensuring that a personalised, strength-based approach is utilised across the service
<b>Delivery Guidance</b>	
Including assessments, care plans and service delivery. A care plan may be known by other names.	

Knowledge and Skills	Pass Criteria
<b>S4:</b> Lead and support others to work in a person centred way and to ensure active participation which enhances the wellbeing and quality of life of individuals	Correctly applies strategies to lead and support others to work in a person centred way, whilst encouraging active participation which enhances the wellbeing and quality of life of individuals
<b>S5:</b> Encourage and enable both staff and people who access care and support to be involved in the co-production of how the service operates	Demonstrates that leadership models have been referenced in their approach to co-production when encouraging and enabling the team and people who access services
<b>S6:</b> Manage all resources in delivering complex care and support efficiently and effectively	Demonstrates all resources are delivered and managed in an efficient and effective manner

### Area of Standard: Dignity and human rights

Knowledge and Skills	Pass Criteria
<b>S7:</b> Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace	Leads practices, clearly aligned to diversity, equality and inclusion legislation and policy
<b>S8:</b> Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems	Promotes a culture of dignity and respect, and where others are able to work in ways that may challenge their own beliefs

### Area of Standard: Communication

Knowledge and Skills	Pass Criteria
<b>S10:</b> Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues	Develops communications that break down policy and guidance to communicate key messages with a range of audiences for example: people who access care and support, carer and families and other colleagues

### Area of Standard: Health and wellbeing

Knowledge and Skills	Pass Criteria
<b>K12:</b> Models of monitoring, reporting and responding to changes in health and wellbeing	Identifies and applies relevant models of monitoring, reporting and responding to changes in health and wellbeing
Delivery Guidance	
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.	

## Area of Standard: Professional development

Knowledge and Skills	Pass Criteria
<b>S16:</b> Apply evaluated research and evidence-based practice in own setting	Applies the evidence-based practice around current drivers in the Adult Care landscape to their own setting
Delivery Guidance	
Current drivers in the adult care landscape may include political; regulatory, demographics, local government initiatives, customer, stakeholders, funding mechanisms and limitations, service availability, foresight, market needs, regulation, media influence, legislative requirements, resource availability, gaps in current provision, integration.	

## Area of Standard: Leadership

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

## Professional Discussion Grading Criteria and Delivery Guidance

In order to pass the Professional Discussion, the Apprentice must meet all of the pass criteria listed in the tables below. In order to achieve a distinction, the Apprentice must meet at least 19 of the 24 distinction criteria.

### Area of Standard: Behaviours

Behaviours	Pass Criteria	Distinction Criteria
<b>B4:</b> Communication – good communication is central to successful caring relationships and effective team working	Demonstrates how they manage communications between staff and between staff and users of services	Analyses communications systems on a regular basis to demonstrate improvements
<b>B5:</b> Competence – is applying knowledge and skills to provide high quality care and support	Applies the relevant knowledge and skills for the benefit of the users of their services	Evaluates the impact of their knowledge and skills in relation to quality assurance exercise (e.g. health and safety risk assessment, safeguarding)
<b>B6:</b> Commitment – to improving the experience of people who need care and support ensuring it is person-centred	Demonstrates how they apply person-centred care principles	Reviews their person-centred care plans regularly to clearly reflect the desired outcomes of the user of services

### Area of Standard: Tasks and responsibilities

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K1:</b> Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to the safe delivery of services	Critically evaluates statutory standards, guidance and codes of practice which underpin practice in relation to the safe delivery of services
<b>Delivery Guidance</b>		
Statutory frameworks, standards, guidance and Codes of Practice may include codes of conduct and practice, regulations, minimum standards and the requirements of National Occupational Standard. Consideration should be given to how these relate to the apprentice's own role in the delivery of safe services.		

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K2:</b> Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to health, safety and risk management	Critically evaluates statutory standards, guidance and codes of practice which underpin practice in relation to health, safety and risk management
<b>K3:</b> Principles of risk management, assessment and outcome based practice	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to risk management and outcome based practice	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to outcome based practice
<b>K4:</b> Principles and underpinning theories of change management including approaches, tools and techniques that support the change process	Describe the change management theories, processes and tools used	Evaluates the outcome of the change management approaches used and the effectiveness of the techniques implemented
<b>Delivery Guidance</b>		
Including approaches, tools and techniques that support the change process. Change management theories and models may include Kolb's learning cycle theory, Kubler Ross's change curve theory, the McKinsey 7-S Model, J Hiatt ADKAR model, Satir's change management model, Lewin's change management model. Techniques may include outcome based practice, reflective practice, supporting transition, communication management, coaching. Tools may include quality assurance, quality improvement plan, PESTLE Analysis, Organisational Needs Analysis.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K5:</b> Legislative and regulatory frameworks which inform quality standards	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to quality standards	Critically evaluates statutory standards, guidance and codes of practice which underpin practice in relation to quality standards
<b>Delivery Guidance</b>		
Will include organisational policies and procedures, agreed ways of working, health and safety, confidentiality. Regulations and associated policies and procedures will be dependent on service provision. Services providing regulated activity as defined by current legislation and regulators.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K6:</b> Theories and models that underpin performance and appraisal including disciplinary procedures	Explain theories and models that underpin performance and appraisal including disciplinary procedures	Evaluates relevant underpinning theories and models around performance management and how these have been applied (application may include disciplinary procedures).
<b>Delivery Guidance</b>		
Theories may include agency theory, social comparison theory, feedback intervention theory, equity theory; objective setting, monitoring, motivation, reflection, review, feedback, implementation of disciplinary procedures.		

## Area of Standard: Dignity and human rights

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K7:</b> Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead	Describes legislative requirements and policy initiatives on diversity, equality and inclusion illustrating their relevance to their workplace	Analyses legislative requirements and policy initiatives about diversity, equality and inclusion, evaluating their practices against such legislation and policy to ensure dignity and human rights are promoted in their workplace.
<b>Delivery Guidance</b>		
Legislation and policy initiatives to include: The Human Rights Act 1998, Mental Health Acts 1983/2007, Equality Act 2010, Care Standards Act 2000; policy initiatives may include recruitment and retention, quality monitoring and improvement systems, management policies and procedures, the provision of person-centred care, information governance, duty of candour, challenging discrimination, outcome based practice, social inclusion, the 6 C's.		

## Area of Standard: Communication

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S9:</b> Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and to keep information safe and preserve confidentiality	Explain how organisational processes have been developed and implemented in relation to recording, reporting and confidentiality	Analyse how processes to record and communicate have been applied. Further evaluates their effectiveness in communicating concisely, keeping information safe and preserving confidentiality.
<b>K8:</b> Legal and ethical frameworks in relation to confidentiality and sharing information	Explain legal and ethical frameworks relating to confidentiality and information sharing to devise. Implement processes to record information effectively and safely	Analyse how legal and ethical frameworks have been applied and further evaluate their effectiveness
<b>Delivery Guidance</b>		
Legal and ethical frameworks will include: agreed ways of working, data protection, 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.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K9:</b> Range of tools and strategies to enhance communication including technology	Explains a range of communication enhancing tools and strategies, including technologies	Appraises how effective communication strategies are throughout the organisation
<b>Delivery Guidance</b>		
Tools may include handovers, daily records, team meetings, work schedules, care/support plans, job descriptions. Strategies may include peer supervision, role modelling, mentoring, technology, policies/procedures, systems of work.		

## Area of Standard: Safeguarding

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S11:</b> Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures	Explains safeguarding principles across all organisational policies and procedures	Evaluates safeguarding planning processes which incorporates effective staff training. Modelling recognising and responding to potential signs of abuse and/ or unsafe practices, including the culture of whistleblowing.
<b>K10:</b> Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements	Explains safeguarding principles across all legislative and local and national requirements	This should include reporting requirements relating to both adults and children.*
<b>K11:</b> The elements needed to create a culture that supports whistleblowing in the organisation	Explains how they ensure that staff are trained and supported on how to recognise and respond to potential signs of abuse and or unsafe practices including the culture of whistleblowing. This should include reporting requirements relating to both adults and children.	<i>*This distinction criterion for S11, K10 and K11 need only be demonstrated once.</i>
<b>Delivery Guidance</b>		
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, multiagency and inter-agency working, social services, health services, third sector organisations, the emergency services, coordinating and monitoring investigations, liaison between agencies, safeguarding teams, capacity, consent, assessment.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S12:</b> Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding	Evaluates the effectiveness of safeguarding which is firmly embedded across all organisational policies, systems and processes	
<b>Delivery Guidance</b>		
Evaluation must involve monitoring the use and effectiveness. Organisational policies, systems and processes to include whistle blowing guidance, protocols for inter-agency/ joint/ integrated working, agreements for reporting safeguarding issues, protection for whistleblowers, recording issues raised and action taken, processes for raising concerns and making complaints.		

## Area of Standard: Health and wellbeing

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S13:</b> Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance	Explains how to remain compliant with legislation, standards and guidance in relation to health, safety and risk management	Analyses evidence from the evaluation of health and wellbeing to make improvements to ensure policies, procedures and practices have a significant, positive impact on compliance, standards and guidance
<b>Delivery Guidance</b>		
Organisational policies, procedures and practices will include auditing systems, accident reporting, health and safety checks, risk assessment procedures, training matrix, competency requirements, agreed ways of working, health and safety, confidentiality. Regulations and associated policies and procedures will be dependent on service provision. Services providing regulated activity as defined by current legislation and regulators. Legislation, standards and guidance will include: the Health and Safety at Work etc Act 1974, COSHH (Control of Substances Hazardous to Health Regulations 2002), Management of Health and Safety at Work Regulations 1999, RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013), Food Hygiene Regulations 2006, The Health and Social Care Act 2008, fundamental standards.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S14:</b> Implement health and safety and risk management policies, procedures and practices to create a culture that values health and wellbeing in the organisation	Explains how they monitor, evaluate and improve health and wellbeing policies and practices	Analyses evidence from the evaluation of health and wellbeing to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and wellbeing
<b>Delivery Guidance</b>		
Policies, procedures and practices will include safeguarding, staff training and development, person-centred care, risk management, leadership and management practice.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S15:</b> Monitor, evaluate and improve health, safety and risk management policies and practices in the service	Explains how they monitor, evaluate and improve health, safety and risk management practices	Analyses evidence from the evaluation of health, safety and risk management practices to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and wellbeing
<b>Delivery Guidance</b>		
Evaluation should include monitoring use and performance.		

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>S18:</b> Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities	Explains the systems used to demonstrate improvement of performance of self and colleagues	Explains how they maximise systems and utilises learning and development opportunities to improve performance of self and others
<b>K13:</b> Principles of professional development	Explains principles of professional development	Evaluates the impact of the principles of professional development
<b>Delivery Guidance</b>		
Principles of professional development: review, evaluation, planning, implementation, feedback, reflection, continuous improvement.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K14:</b> Goals and aspirations that support own professional development and how to access available opportunities	Explains their professional goals and aspirations and outlines the available opportunities to support their development	Assesses appropriate professional development opportunities to meet professional goals and clearly articulates the rationale behind their decisions
<b>Delivery Guidance</b>		
Available opportunities may include accessing resources, supervision, appraisal, shadowing, mentoring, coaching, mandatory training, specialist training, formal support, informal support.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K15:</b> Elements needed to create a culture that values learning, professional development, reflective practice and evidence based practice	Explains what is required to create a culture that values professional development and reflective practice	Appraises a culture that nurtures continuous professional development
<b>K16:</b> Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers	Describes how the systems and processes that are in place support professional development opportunities	Evaluates current systems implemented to support professional development
<b>Delivery Guidance</b>		
Systems and processes will include supervision, appraisal, monitoring, observation, safety, currency of practice, reflection, application of research, workforce development planning, budgetary provision, resource allocation, performance management, personal development plan.		

## Area of Standard: Leadership

Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K17:</b> Theories of management and leadership and their application to adult care	Identifies and explains theories of management and leadership and their application to adult care	Critiques theories of management and leadership and their application to adult care
<b>Delivery Guidance</b>		
Theories of management and leadership may include: L Urwick's ten principles of management, K Lewin's leadership styles, House's Path-Goal Theory, Fiedler's Contingency Model, D Goleman's leadership styles and emotional intelligence, A Maslow's hierarchy of needs, P Hersey and K Blanchard's situational leadership, J Kouzes and B Posner's leadership challenge, M Belbin's team roles, Management by Wandering Around (MBWA), French and Raven's Five Forms of Power.		
Knowledge and Skills	Pass Criteria	Distinction Criteria
<b>K18:</b> Features of effective team performance	Identifies the knowledge of key elements of effective team performance	Analyses and evaluates individual team member performance and uses this to implement improvements in effectiveness
<b>Delivery Guidance</b>		
Features of effective team performance will include identification and agreement of common goals, achievement of common goals, skills and knowledge sharing, time management, team roles, problem solving, addressing conflict, bonding.		

## 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 a pass for each component.

### Grading

Each component of End-point Assessment will be graded independently. The grades of both components will then be combined to determine the apprentice's overall grade as outlined below:

Observation of Leadership	Professional Discussion	Overall Grade
Fail	Fail	<b>Fail</b>
Fail	Pass	<b>Fail</b>
Pass	Fail	<b>Fail</b>
Fail	Distinction	<b>Fail</b>
Pass	Pass	<b>Pass</b>
Pass	Distinction	<b>Distinction</b>

To pass the Observation of Leadership, apprentices must achieve all of the pass criteria for the Knowledge, Skills and Behaviours covered in this component.

To pass the Professional Discussion, apprentices must achieve all of the pass criteria for the Knowledge, Skills and Behaviours covered in this component.

To achieve distinction in the Professional Discussion, apprentices must achieve all of the pass criteria and at least 19 of the 24 distinction criteria.

## Re-assessment

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

A re-sit does not require further learning, whereas a re-take does. Apprentices should have a supportive action plan to prepare for the re-sit or re-take. The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

The timescales for a resit or retake are agreed between the employer and Innovate Awarding. A re-sit/re-take is typically taken within 3 months of the End-point Assessment outcome notification. Where an assessment must be a re-sit, the maximum grade is a pass.

For a list of the re-sit costs, please see the Innovate Awarding website.

It is the responsibility of the employer and 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.

## Results, Certifications, Appeals

For information on grading, certification and appeals, please visit:

<https://innovateawarding.org/end-point-assessment/apprentice-information>

## 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 Process.

## External Quality Assurance

The external quality assurance organisation for the **Level 5 Leader in Adult Care** standard is the National Skills Academy for Rail (NSAR). NSAR may require access to an apprentice's assessments and may need to speak to the apprentice directly. Innovate Awarding have a responsibility to accommodate any reasonable request made by the external quality assurance organisation.

## Further Information

<https://innovateawarding.org/end-point-assessment/apprenticeship-standards/>

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