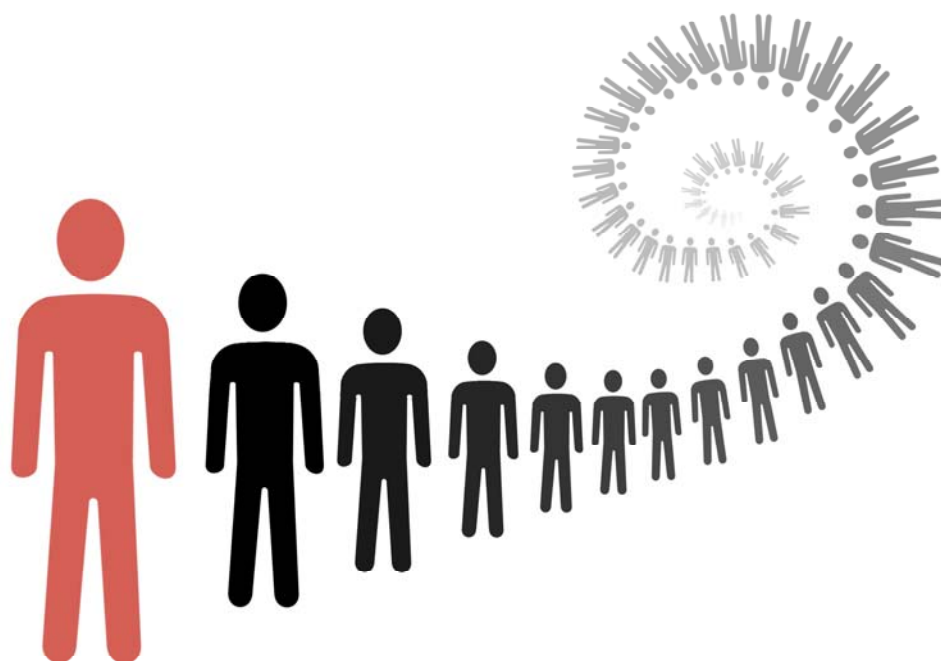


Level 4 NVQ in Leadership and Management for Care Services (3078)

Standards and assessment requirements

500/4105/8



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Level 4 NVQ in Leadership and Management for Care Services (3078)



Standards and assessment requirements

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Contents

1	Introduction	5
	About this document	5
2	The Standards Setting Body and the National Occupational Standards	6
	Background to the National Occupational Standards (NOS) development	6
	Contacting the Sector Skills Council (SSC)	6
3	Candidate entry and progression	7
	Candidate work role requirements	7
	Candidate entry requirements	7
	Legal considerations	7
	Age restrictions	7
	Progression routes	7
4	Centre requirements	8
	Site/partnership agreements	8
	Registration period	8
5	Assessment method requirements	9
	External quality control	9
	Imported units	9
	Accreditation of Prior Experience and Learning (APEL)	9
	Evidence requirements	10
	Performance evidence requirements	11
	Knowledge evidence requirements	11
	Evidencing Behaviours	11
6	Roles and occupational expertise requirements	13
	Assessors must:	13
	Independent assessment requirements	13
	Co-ordinating assessors	13
	Witnesses	14
	Internal verifier	15
	Continuous professional development requirement (CPD)	15
7	Recording assessment and evidence	16
	Confidentiality and privacy	16
	Recording forms to use	16
	Additional guidance on the use of the recording forms for this qualification	17
8	Sources of essential information	19
9	The qualification structure and standards	20
	Qualification structure	20
10	About the standards	24
	Availability of standards	24
	Mapping of previous standards to current	24

11	The Core Units	25
Unit LMC A1	Manage and develop yourself and your workforce within care services	26
Unit LMC B1	Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people	47
Unit LMC C1	Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements	66
Unit LMC E1	Lead and manage effective communication that promotes positive outcomes for people within care services	85
Appendix 1	Key Skills Signposting	103
Appendix 2	Accreditation, national frameworks and qualification level descriptors	118
Appendix 3	Obtaining centre and qualification approval	119
	Approval for global online assessment (GOLA)	119
Appendix 4	Summary of City & Guilds assessment policies	120
	Health and safety	120
	Equal opportunities	120
	Appeals	120
Appendix 5	Funding	121

1 Introduction

About this document

This document provides details that centres and candidates will need in order to assess, verify and collect evidence for this NVQ qualification and includes:

- the requirements for occupational competence for all those involved in the assessment process
- the assessment methods and evidence requirements
- the national occupational standards
- progression routes.

2 The Standards Setting Body and the National Occupational Standards

Background to the National Occupational Standards (NOS) development

This new Leadership and Management for Care Services NVQ replaces both the Registered Managers Award (RMA) and Managers of Residential Childcare (MRCC). The review and updating of the National Occupational Standards (NOS) was undertaken by Skills for Care and Development which is the Sector Skills Council for social care, children's and young people's workforces within the UK. It is an alliance of five organisations.

- Care Council in Wales.
- Children's Workforce Development Council.
- Northern Ireland Social Care Council.
- Scottish Social Services Council.
- Skills for Care.

The review has resulted in a new qualification structure that provides one qualification for people managing adult's or children/young people's services and therefore allows greater transferability. The NVQ in Leadership and Management for Care Services enables those who manage Care Services to demonstrate their competence to practise safely and their acquisition of specialist skills and continuous professional development (CPD).

This NVQ and its component units are derived directly from the NOS consulted on by the Care Councils, Skills for Care and Development (SSC) and stakeholders. The consultations involved service users, Government Departments, employers, assessment centres and potential candidates.

Contacting the Sector Skills Council (SSC)

Sector Skills Councils (SSC) represent the interests of both employers and workers. The NOS within this qualification have been produced by the following SSCs.

Name of SSC	Skills for Care and Development
Address	4th Floor, Albion Court, 5 Albion Place, Leeds LS1 6JL
Telephone	0113 241 1251
Fax	0113 243 6417
e-mail	sscinfo@skillsforcareanddevelopment.org.uk
URL	www.skillsforcareanddevelopment.org.uk

Name of SSC	Management Standards Centre
Address	3 rd Floor, 2 Savoy Court, Strand, London WC2R 0EZ
Telephone	020 7240 2826
Fax	020 7497 0463
e-mail	management.standards@managers.org.uk
URL	www.management-standards.org.uk

3 Candidate entry and progression

Candidate work role requirements

This NVQ is for those working in a leadership and management role for care services. It is designed for full or part time managers who could be working permanently or temporarily in any one of a range of settings, including working with adults, children and or young people.

Candidate entry requirements

There are no formal entry requirements for candidates undertaking this NVQ; however, centres must ensure that candidates are in a position where they can consistently demonstrate competence and the application of knowledge.

Legal considerations

Candidates working within care services may be legally required to undergo criminal record checks prior to taking up or continuing in employment. Centres and employers will need to liaise closely with one another to ensure that any requirements for the particular area of work are fully met. As the requirements vary between work contexts, checks should be made with the appropriate regulatory body and/or government departments if centres or employers are uncertain of the requirements.

These are usually the responsibility of the employer. The appropriate service regulator identifies any 'fit person' criteria, not the Awarding Body.

Age restrictions

This NVQ is not approved for the use of those who are under 19 years of age.

Progression routes

Candidates achieving Level 4 NVQ in Leadership and Management for Care Services may want to consider progressing into higher level qualifications such as:

City & Guilds Professional Diplomas and Certificates in:

- Counselling (4458)
- Inspecting Learning Disability Services (4466)
- Community Development (4463)
- Community Justice (4446)
- Health and Well-being (4462)
- Learning Disability Services (4456).

and

- ILM Qualifications in Management levels 5 and 6
- Social Work Degree.

4 Centre requirements

In addition to the resources required for centre approval some N/SVQ qualifications have requirements with which centres must also comply.

Site/partnership agreements

Employers and training providers are increasingly working in partnership or with assessment taking place across several sites. 'The NVQ Code of Practice' (QCA Appendix 1, Approved Centre Criteria 1.2) makes it explicit that centres must ensure that all assessment sites clearly understand their roles, responsibilities, authorities and accountabilities. It would therefore be advisable for centres to have documented and signed (partnership) agreements with all assessment sites. The content of such agreements must be devised on an individual centre basis but consideration should be given to the inclusion of the following areas.

- Commitment to centre policies and practices e.g. policy for candidate appeals/complaints and access to fair assessment.
- Responsibilities for ensuring that candidates are operating in a work place where the standards of practice fully support candidates to demonstrate their competence.
- Responsibilities for establishing and communicating any issues concerning 'fit person' checks as required by the relevant regulator.
- Access to the workplace and protocols for peripatetic assessors.
- Participation in assessment activities including attending standardisation meetings.
- Actions to be taken if partnership agreement not met.

This list is not exhaustive but may assist centres in identifying areas which need an explicit statement of commitment from member assessment sites/satellites in order to avoid future problems.

Registration period

Registration will be for three years or until 31 December 2010, whichever is the sooner.

Please check the *Catalogue of qualifications* for the latest information on length of registration and the last registration and certification dates.

Where the period of access to assessment offered by a centre is less than the period covered by the candidates' registration with City & Guilds, centres must ensure that this is understood by the candidates.

5 Assessment method requirements

This guidance is based on and amplifies the assessment strategy developed by the Sector Skills Council (Skills for Care and Development) for the Level 4 NVQ in Leadership and Management for Care Services.

External quality control

External quality control is provided by the usual City & Guilds external verification process which includes the use of the electronic reporting form which is designed to provide an objective risk analysis of individual centre assessment and verification practice.

Skills for Care and Development have established an awarding body forum at which issues arising from the external verification process will be discussed and resolved.

Imported units

Some units in the current NVQ qualification have been imported from existing NVQs.

- Unit LMC A4 (HSC446) Manage a dispersed workforce to meet the needs and preferences of individuals at home.
- Unit LMC A5 (MSC D6) Allocate and monitor the progress and quality of work in your area of responsibility.
- Unit LMC C2 (HSC450) Develop risk management plans to support individual's independence and daily living within their home.
- Unit LMC E8 (MSC E2) Manage finance for your area of responsibility.
- Unit LMC E11 (MSC F1) Manage a project.
- Unit LMC E12 (MSC F2) Manage a programme of complementary projects.

Some candidates may have completed units as part of another NVQ, and these can be transferred directly into this qualification by presenting the original certificate to the centre. The original unit, previously achieved, must be identical to the unit in the Leadership and Management for Care Services qualification and authenticity must be established.

External verifiers will carry out checks to ensure centres have appropriately applied this process.

Accreditation of Prior Experience and Learning (APEL)

Some candidates for this qualification may have undertaken training in the past and will be experienced in Leadership and Management for Care Services. All centres delivering the qualification should provide the opportunity for candidates' prior experience and learning (APEL) to be assessed and accredited as part of candidates' initial assessment.

If opportunities for APEL are identified it is important that a complete process of accreditation of prior experience and learning is undertaken by ensuring that:

- it covers relevant or appropriate experience from previous activities as well as accredited learning and qualifications
- it is incorporated into the assessment planning with details of how this will take place
- mapping of prior learning to the National Occupational Standards to identify gaps is documented and auditable

- assessment methods or processes for accreditation of prior experience and learning are documented and made available to the external verifier
- the audit trail covers the whole process and methodology of Accreditation of Prior Experience and Learning
- the authenticity and currency of presented evidence is established by the assessor
- where observation or expert witness testimony is a unit assessment method requirement, this activity is undertaken after candidate registration for the qualification.

In considering the appropriateness of any single piece of evidence the following should be considered.

- Content – the degree to which the content of any previous accredited learning meets the requirements of the National Occupational Standards against which it is being presented as evidence.
- Comprehensiveness of Assessment – ensure that all the learning derived from the content has been assessed. If only a proportion has been assessed, then the learning for the ‘non-tested’ areas cannot be assumed.
- Level – the degree to which the level of learning offered and tested relates to that required by the NVQ in Leadership and Management for Care Services.
- Performance and Knowledge – the degree to which the previous learning covered both performance and knowledge. Some learning will only have offered and tested the latter, in which case the Accreditation of Prior Learning can only cover the knowledge aspect. Performance will require further assessment. Although unlikely, the reverse (performance tested but not knowledge) could be true in which case knowledge and understanding would need further assessment.
- Model of learning – difficulties can arise in mapping learning gained from non-competence based learning programmes into competence-based models.
- Relevance of Context – the degree to which the context of the learning gained and assessed relates to the current context of candidates’ work roles. If the context was different, assessors will need to satisfy themselves of candidates’ ability to transfer the learning gained into the current setting.
- Currency – how recently the learning was gained. Candidates would need to demonstrate current knowledge and understanding of areas such as legislation, policy and practice etc, which may have changed since the previous learning programme was undertaken.
- Authenticity – how the ownership of the evidence is established to ensure it was generated by the candidate.

Evidence requirements

This qualification should be assessed in a holistic manner and the evidence must be generated by the candidates from their normal work based activities.

Candidates must provide their assessor with evidence for **ALL** of their performance criteria and **ALL** of the knowledge requirements identified within the each unit and those parts of the scope that are relevant to their workplace. Prior to commencing the qualification candidates should agree a plan with their assessor regarding the types of evidence that are to be used and which reflect any individual's special assessment requirements.

The evidence requirements for this NVQ are not provided on a unit basis except for the imported units. They have been identified for application to the whole qualification and thereby give candidates and assessors greater discretion to select the most efficient and effective mix of assessment methods to be used which must include some observation.

The evidence must, at all times reflect the policies and procedures of the workplace(s) as informed by current legislation, the relevant service standards and Codes of Practice for the sector.

Imported units C2, A4, E8, E11, E12 and A5 have their own evidence requirements, values and principles and these must be adhered to. They are located alongside the standards for the specific unit(s). If candidates have already achieved any of these units in another qualification they may be directly transferred into the Leadership and Management for Care Services NVQ.

Performance evidence requirements

In order to complete this qualification, candidates must provide evidence of experience of providing Leadership and Management for Care Services to more than one individual.

Competent performance will be evidenced from candidates' real work practice, some of which must be observed. Sufficient observations, combined with other types of evidence across the NVQ, should be planned to allow the assessor to make a safe judgement of candidate competence. Product evidence is also likely to be significant in providing evidence for this qualification.

Regardless of the evidence source, assessment method and means of recording, the legal requirements and best practice in relation to maintaining the confidentiality and rights to dignity and privacy of the clients must be upheld.

Knowledge evidence requirements

Candidates must demonstrate application of the specified knowledge and understanding to their work practice. Most usually, knowledge and understanding will be apparent in candidates' performance evidence. If the assessor cannot positively infer the knowledge and understanding from candidates' work practice they should use an alternative method to elicit this which may include questioning, professional discussion, assignments etc. Assessors must retain records of questions and answers or the focus and outcomes of professional discussion.

Professional discussion, where used, must be conducted by candidates' assessors. It is most appropriately used in the Leadership and Management for Care Services NVQ to elicit underpinning knowledge, gain explanations of how to deal with contingencies and can provide opportunities for candidates to clarify or expand on evidence presented in portfolios. Professional discussion must be included in candidates' assessment plans and thereby agreed in advance with candidates. The assessor should not use professional discussion merely to ask a set of prescribed knowledge questions.

A summary of the areas covered and the outcomes of the discussion must be recorded. If audio or visual recording is used it must be of a good enough quality to be clearly heard/seen. Tapes must be referenced and marked to allow verifiers quick access to the evidence they have planned to sample. The evidence must be trackable and accessible.

Evidencing Behaviours

Imported Management units may have, in addition to the usual performance criteria and knowledge requirements, behaviours identified that also need to be evidenced. Where this is the case evidence of the behaviours having been demonstrated by candidates should be referenced into the centre's assessment and evidence records by preceding the claims with a 'B' plus the numerical reference given (e.g. Unit E8 - B1 'You act within the limits of your authority).

Range of assessment methods or evidence sources

In addition to observation, assessors will negotiate the most effective and appropriate mix of methods/evidence sources from the list below to ensure all requirements are met.

- **Direct observation** by an assessor is required as the primary source of evidence for the qualification.
- **Expert witnesses** may observe candidate practice and provide testimony for the occupationally specific units which will have parity with assessor observation for the optional units. If an assessor is unable to observe their candidate she/he will identify an expert witness in the workplace, who will provide testimony of the candidates work based performance.
- **Simulations** are NOT permitted for any units in this qualification.
- **Work products** can be any relevant products of candidates' own work, or to which they have made a significant contribution, which demonstrate use and application within their practice.
- **Professional discussion** should be in the form of a planned and structured review of candidates' practice, based on evidence and with outcomes captured by means of audio/visual or written records. The recorded outcomes are particularly useful as evidence that candidates' can evaluate their knowledge and practice across the qualification.
- **Candidate/ reflective accounts** describe candidates' actions in particular situations and/or reflect on the reasons for practising in the ways selected. Reflective accounts also provide evidence that candidates' can evaluate their knowledge and practice across the activities embedded in this qualification.
- **Questions** asked by assessors and answered by candidates' to supplement evidence generated by observations and any other evidence type used. Assessors may be able to infer some knowledge and understanding from observing candidate practice. They may ask questions to confirm understanding and/or cover any outstanding areas. Questions may be asked orally or in writing but, in both cases, a record must be kept of the questions and responses.
- **Witness testimonies:** these should be from people who are in a position to provide evidence of candidate competence. Where testimony is sought from individuals who are service users, care should be taken to ensure the purpose of the testimony is understood and no pressure is felt to provide it.
- **Projects/Assignments/APEL:** candidates may have already completed a relevant project or assignment which can be mapped to the relevant standards and therefore provide evidence. Evidence from previous training courses and/or learning programmes which they have completed and which demonstrate their professional development may also be used
- **Case studies** must be based on real work practice and experiences and will need to be authenticated by an assessor if used as evidence of a competent performance. Theoretical or simulated exercises would only be admissible as evidence of knowledge and understanding.

NB Confidential records must not to be included in candidates' portfolios but must be referred to in the assessment records.

6 Roles and occupational expertise requirements

Assessors must:

- be occupationally competent. This means that each assessor must be capable of carrying out the functions covered by the units they are assessing to the standards described within them, according to current sector practice. This experience should be credible and maintained through clearly demonstrable continuing learning and development.
- have knowledge and experience of management within health and social care settings, the regulation, legislation and codes of practice for the service (where applicable), and the requirements of national standards at the time any assessment is taking place
- hold or be working towards the appropriate assessor qualification. Achievement of the qualification will need to be within the appropriate timescales in accordance with the requirements of the regulators and awarding bodies
- be able to assess holistically the values contained and embedded in the values section of the National Occupational Standards
- take the lead role in the assessment of observed candidate performance. Assessors are expected to take on this role in relation to at least the core units of the qualification.

Assessors who are working towards the A1 Unit and have the necessary occupational competence and experience, can be supported by an appropriately qualified assessor who does not necessarily have the occupational expertise or experience, but must have:

- occupational competence across some units
- a relevant occupational background
- an appropriate assessor qualification.

Independent assessment requirements

There is no independent assessment requirement for this qualification.

Co-ordinating assessors

The usual expectation is that individual candidates are supported by one assessor; however it is possible that a candidate may have more than one assessor (e.g. where the main assessor does not have occupational competence for a chosen unit). Where this is the case a co-ordinating assessor must be identified who can plan and draw together all assessment decisions across the qualification. This person may also undertake any number of individual unit assessments. If only one assessor is needed for all the units there will be no need for a co-ordinating assessor.

The co-ordinating assessor must:

- integrate and direct assessment planning with the candidate to ensure that optimum use is made of all evidence, judgements by assessors and expert witnesses
- make the overall judgement for units in which assessments rely extensively on expert witness testimony or where parts have been assessed by different assessors
- check and identify that unit assessors/expert witnesses comply with the requirements of their role.

The co-ordinating assessor must meet the requirements of assessors as detailed above.

Expert witnesses

The use of expert witnesses is encouraged as a contribution to the assessment of evidence of candidates' competence where there are no occupationally competent assessors for the occupationally specific units. The use of expert witnesses can also be invaluable in particular situations eg, where observation by the main assessor could be disruptive or infringe privacy. The role of the expert witness is to provide testimony to the competence of candidates in meeting the National Occupational Standards. This testimony must directly relate to candidate performance in the work place, which has been seen by the expert witness.

The expert witness must:

- have a working knowledge of National Occupational Standards for the units on which their testimony is based
- be occupationally competent in their area of expertise
- have either a qualification in assessment of workplace performance eg L20 Support Competence Achieved in the Workplace from the Learning and Development NVQ suite.

or

- have a professional work role which involves evaluating the everyday practice of staff.

All expert witnesses will need to provide evidence of how they meet the requirements of the Expert Witness role and must be inducted by the centre so that they are familiar with the standards for those units for which they are to provide expert witness testimony. They must also understand the centre's recording requirements and will need guidance on the skills required to provide testimony for the National Occupational Standards.

Witnesses

There are no specific occupational expertise requirements for witnesses. Witness testimony can provide evidence to establish consistency in candidates' practice or to evidence events which are difficult to plan to observe. In order that the assessor may make an informed judgement about the contribution of the witness's testimony to the overall evidence presented for a unit or qualification, a statement of the witness's status should be included in candidates' portfolios of evidence. This can be done by using the Witness Status list (form N/SVQ5) or including it as part of the witness testimony itself. The statement should indicate the relationship between the candidate and the witness and should enable the assessor, by defining the role that the witness has played in the gathering of evidence eg, as colleague, worker from another organisation, to judge the extent of the witness's knowledge of the National Occupational Standards and understanding of the work roles involved.

Please note: The use of witness testimony from relatives or those with whom the candidate has a significant personal relationship is not acceptable.

In some instances it may be appropriate for the individual using the service to provide witness testimony for candidates. Assessors need to give clear guidance to candidates about ensuring that no pressure is placed on individuals when they request witness testimony. In addition, assessors should check to establish testimony has been appropriately and freely provided.

Centres are responsible for ensuring that individuals fully understand the uses to which the witness testimony will be put. Testimony from individuals using the service should not be used if they are in any way concerned about the inclusion of their signed witness testimony within a portfolio of evidence, that may be open to scrutiny by people other than those associated with the service they are receiving.

Internal verifier

Internal verifiers must:

- be occupationally competent in respect of the area they are verifying. Internal verifiers must understand the nature and context of assessors work and that of their candidates
- understand the content, structure and assessment requirements for the qualification they are verifying
- have working knowledge of management within health and social care settings, the regulation, legislation and codes of practice for the service (where applicable), and the requirements of national standards at the time any assessment is taking place
- occupy a position that gives them authority and resources to co-ordinate the work of assessors and carry out all other internal verification activities as defined by the relevant national occupational standard (i.e. V1)
- hold, or be working towards, the appropriate internal verifier qualification as specified by the regulatory authorities within the timescales laid down.

NB Internal verifiers who do not yet hold the appropriate assessor or verifier awards but have the necessary occupational competence and experience, can be supported by a qualified internal verifier who does not necessarily have the particular occupational expertise or experience. However, the supporting internal verifier must have relevant occupational expertise as a manager or trainer. This can also be used as a method of supporting the accreditation of trainee internal verifiers.

Continuous professional development requirement (CPD)

City & Guilds expects all those with formal roles in the assessment or verification process to participate in a minimum of two CPD activities per annum. This can be to update either vocational skills/knowledge or assessment/verification skills/knowledge. This may be achieved in a variety of ways such as attendance at; conferences, City & Guilds Community & Society Quality Improvement Workshops, centre updating and standardisation events, reading etc. The centre should maintain records of CPD activity on an individual assessor/internal verifier basis, thereby providing evidence for the external verifier.

7 Recording assessment and evidence

Confidentiality and privacy

At all times individuals rights to confidentiality, dignity and privacy must be maintained. This means that observations carried out by those who are not part of the service being used must only be undertaken with informed consent from service users or their advocates. Equally, any individual records cited as candidate evidence, must remain in their usual location in the workplace. Under no circumstances should confidential service user records or photographs, whether anonymous or not, be put into candidates' portfolios of evidence. Further guidance on related issues can be found in the Guidance Update for Community and Society.

Recording forms to use

City & Guilds has developed a set of *Recording forms* including examples of completed forms, for new and existing centres to use as appropriate (see NVQ Guide for Centres and Candidates - Recording forms, available on the City & Guilds website). Although it is expected that new centres will use these forms, centres may devise or customise alternative forms, which must be approved for use by the external verifier, before they are used by NVQ candidates and assessors at the centre. These forms are available in English and Welsh and are also available in a Word version on the City & Guilds website www.cityandguilds.com A link to these forms is also provided on the NVQ in Leadership & Management for Care Services qualification page.

Form N/SVQ 7 – Performance evidence record

The column on the right-hand side 'scope/range ref' is redundant for all the Leadership and Management for Care Services units but should be used for any imported units which have evidence requirements regarding scope or range.

Form N/SVQ 8 – Questioning record

The column on the left-hand side 'scope/range ref' is redundant for all the Leadership and Management for Care Services units but should be used for any imported units which have evidence requirements regarding scope or range.

Form N/SVQ 9 – Professional discussion record

If audio-visual recording is used, this form may be used to summarise the content of the discussion and outcomes so as to provide sufficient information to allow access to precise parts of the recording by the external verifier. If the form is not supported by an audio-visual recording it will have to provide more written detail of candidates' contributions to the discussion.

Form N/SVQ 10 – Evidence location and summary sheet

Version 1 is the most appropriate to use for units where there is no scope or range identified. Version 1 or 2 can be used for units where the scope/range is identified as a requirement. A customised version is available for the core units only and is located alongside the unit standards.

N/SVQ 12 – Summary of achievement

Column 3 refers to the date on which the unit was internally verified. A customised version of this document is provided on the next page.

Additional guidance on the use of the recording forms for this qualification

For this qualification the recording forms have been customised for the core units only. i.e. Form N/SVQ 10 and Form N/SVQ 12.

The generic forms are provided for use in the optional units. These have not been customised but are available in a word version so that alterations can be made. The NOS for Leadership & Management for Care Services use letters to reference the performance criteria. The City & Guilds generic recording forms use numbering. Centres will therefore find it helpful to re-reference the generic forms so that they mirror the lettering references used in the NOS.

Within the generic recording forms document an exemplar is available to provide centres with a model as to how the forms should be used. Although the qualification on which the exemplar is based is not for the Leadership and Management for Care Services NVQ, the principles of recording still apply. Centres may therefore find it helpful to make reference to these when inducting new assessors.

Form N/SVQ12 - Summary of achievement



N/SVQLevel 4 in Leadership and Management for Care Services.....

Candidate name

City & Guilds enrolment no

--	--	--	--	--	--	--	--

Centre number

--	--	--	--	--	--	--	--	--	--

Centre name

.....

Unit	Title	Date internally verified	Most used types of evidence (use key below)	Assessor signature (if there is a second line assessor – both must sign)	Candidate signature	IV signature (If there is a second line IV - both must sign)	EV signature (if sampled)

Competence has been demonstrated in all of the units/award recorded above using the required assessment procedures and the specified conditions/contexts. The evidence meets the requirements for validity, authenticity, currency, reliability and sufficiency.

Internal verifier signature Date

Key for most used evidence type:

- 1. observation 2. expert witness testimony 3. witness testimony 4. work products 5. questioning 6. professional discussion 7. accreditation of prior experience/learning 8. assignments, projects 9.candidates/reflective accounts 10.case studies (photocopy as required)

8 Sources of essential information

City & Guilds documents which contain the latest relevant information include the following NVQ guides:

- *Centre guide* – information specifically for centres. (EN-12-0001)
- *Candidate guide* – information specifically for candidates. (TS-12-0001)
- *Recording forms* – a set of recording forms for centres and candidates' use. (TS-33-0001)

The latest version of these documents is available in English and Welsh on the City and Guilds website (www.cityandguilds.com).

Details of general regulations, registration and certification procedures, including fees, are included in the City & Guilds *Catalogue of Qualifications*. This information appears on the online qualification administration service for City & Guilds approved centres, the Walled Garden, at www.walled-garden.com.

Other essential information

- *The NVQ Code of Practice* (QCA).
- *SVQ Criteria and Guidance for Awarding Bodies*.
- *Assessing NVQs* (QCA).
- *Internal verification of NVQs* (QCA).

If there are any differences between the *N/SVQ Centre Guide* or the *N/SVQ Candidate Guide* and this *Standards and Assessment Requirements* documentation, then this document has the more up-to-date information.

The following list is not exhaustive, but indicates the documents which are considered essential for centres when delivering NVQs:

- News and Product Updates.
- *Providing City & Guilds Qualifications – a guide to centre and qualification (scheme) approval*
- *Ensuring Quality* - containing updates on assessment and policy issues.
- *The Guidance Update to City & Guilds Community and Society Centres - N/SVQ and VRQ Standards Assessment and Process Issues*.
- *Access to assessment* – a guide to the criteria used for special assessment requirements.
- *City & Guilds Guidance on Internal Verification of N/SVQs*.

9 The qualification structure and standards

This level 4 qualification contains four core units. All candidates must undertake the four core units plus four optional units, but please note that Unit 424 (E5) and Unit 426 (E7) may not be taken in combination.

The qualification structure is likely to vary in each of the four UK countries according to specific regulatory or service needs.

A guidance document giving this information is available from Skills for Care and Development. This document will also be made available on the City & Guilds website within the FAQs for this qualification.

Qualification structure

Candidates should complete the following 4 mandatory units

QCA unit reference	City & Guilds Unit no	Skills for Care and Development ref number	Unit title	Excluded combination of units	SSC original ref for imported units
K/104/0809	401	LMC A1	Manage and develop yourself and your workforce within care services	N/A	N/A
K/104/0812	402	LMC B1	Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people	N/A	N/A
J/104/0820	403	LMC C1	Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements	N/A	N/A
D/104/0824	404	LMC E1	Lead and manage effective communication that promotes positive outcomes for people within care services	N/A	N/A

And any 4 optional units from the following, except units 424 and 426 which cannot be taken in combination

R/103/1604	405	LMC E12	Manage a programme of complementary projects	N/A	MSC F2
D/104/0810	406	LMC A2	Facilitate and manage change within care services through reflective, motivating and flexible leadership	N/A	N/A
H/104/0811	407	LMC A3	Actively engage in the safe selection and recruitment of workers and their retention in care services	N/A	N/A
F/102/8861	408	LMC A4	Manage a dispersed workforce to meet the needs and preferences of individuals at home	N/A	HSC446
F/103/9729	409	LMC A5	Allocate and monitor the progress and quality of work in your area of responsibility	N/A	MSC D6
M/104/0813	410	LMC B2	Lead and manage provision of care services that promotes the well being of people	N/A	N/A
T/104/0814	411	LMC B3	Manage provision of care services that deals effectively with transitions and significant life events	N/A	N/A
A/104/0815	412	LMC B4	Manage provision of care services that supports parents, families, carers and significant others to achieve positive outcomes	N/A	N/A
F/104/0816	413	LMC B5	Manage and evaluate systems, procedures and practices for assessments, plans and reviews within care services	N/A	N/A

J/104/0817	414	LMC B6	Lead and manage provision of care services that promotes the development of children and young people	N/A	N/A
L/104/0818	415	LMC B7	Lead and manage group living provision within care services	N/A	N/A
R/104/0819	416	LMC B8	Lead and manage provision of care services that promotes positive behaviour	N/A	N/A
J/102/8862	417	LMC C2	Develop risk management plans to support individual's independence and daily living within their home	N/A	HSC450
L/104/0821	418	LMC D1	Lead and manage work for care services with networks, communities, other professionals and organisations	N/A	N/A
R/104/0822	419	LMC D2	Manage workers within care services who are based in external multi-disciplinary teams	N/A	N/A
Y/104/0823	420	LMC D3	Lead and manage inter-professional teams within care services	N/A	N/A
H/104/0825	421	LMC E2	Identify, implement and evaluate systems, procedures and practice within care services that measure performance	N/A	N/A
K/104/0826	422	LMC E3	Monitor and manage the quality of the provision of care services	N/A	N/A

M/104/0827	423	LMC E4	Lead and manage provision of care services that promotes opportunities, identifies constraints and manages risks	N/A	N/A
T/104/0828	424	LMC E5	Plan operations and manage resources to meet current and future demands on the provision of care services	Excluded combination with E7	N/A
A/104/0829	425	LMC E6	Contribute to the strategic policies of care services	N/A	N/A
M/104/0830	426	LMC E7	Develop, implement and review business plans and planning for the provision of care services	Excluded combination with E5	N/A
L/103/1603	427	LMC E8	Manage finance for your area of responsibility		MSC E2
T/104/0831	428	LMC E9	Manage procedures within care services for making, responding to and learning from comments and complaints		N/A
A/104/0832	429	LMC E10	Ensure policies, procedures and practice for the conduct of workers within care services are adhered to		N/A
J/103/1597	430	LMC E11	Manage a project		MSC F1
F/104/0833	431	LMC E13	Market, cost and contract to ensure the viability of the provision of care services		N/A

10 About the standards

Availability of standards

The Standards and Assessment Requirements (SAR) document which contains the **core units** for this qualification is issued in hard copy to candidates on registration with a CD-Rom containing the **full set** of the units for this qualification and the City & Guilds forms for recording.

The Standards and Assessment Requirement (SAR) document and full set of the units for this qualification will be available in PDF format on the City and Guilds website, **www.cityandguilds.com**.

The Standards and Assessment Requirements (SAR) document which contains the **core units** only and a CD-ROM containing the **full set** of the units for this qualification will be available to purchase from Publication Sales for a charge of **£15.00**

Mapping of previous standards to current

This qualification replaces the 3058 Level 4 NVQ in Registered Managers (Adults) and the 3066 NVQ Level 4 in Managers in Residential Child Care.

There are no opportunities for direct transfer of units from the previous to the current qualification. Centres must use APEL assessment methods to confirm transferability of any existing evidence to units in this new NVQ qualification. However, candidates who achieved the imported units via another qualification may directly transfer such units.

11 The Core Units

Unit LMC A1 Manage and develop yourself and your workforce within care services

Elements of competence

Element LMC A1.1	Manage and develop self in management and leadership roles
Element LMC A1.2	Manage and develop workers through supervision and performance reviews
Element LMC A1.3	Lead and manage continuous improvement in the provision
Element LMC A1.4	Enhance the quality and safety of your provision through workforce development

About this unit

This unit is for leaders and managers of care services. It is about managing and developing yourself and your workers. It involves the need to supervise and conduct performance reviews/appraisals of workers and to lead and manage in ways that continuously improve the provision. Finally, it covers the enhancement of the provision through workforce development.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. You need to provide evidence for the areas that are relevant to the care service that you lead and manage, and a sound rationale for not providing evidence for the remaining items:

- **Continual change** could include: change that is rapid and has an immediate impact on the provision; change that is expected and can be planned for; change to the needs and circumstances of people; change to the services within the provision; change to employment patterns and practices; change in workers
- **People** include:
 - adults using care services, their families, carers, groups and communities
 - children and young people using care services, their parents/carers, families, carers, groups and communities
- **Performance reviews** could include: appraisals, evaluation of people's performance in relation to workplans and targets; they can be formal and informal.
- **Preferred communication methods and language** including: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children
- **Relevant others** could include: other professionals who should contribute to the activity, people from within the provision who should contribute to the activity, people from outside the provision who should contribute to the activity
- **Specialist supervision** could include: supervision by peers; therapeutic supervision; clinical supervision
- **Workers** could include: those supporting the people within your provision who are paid, unpaid, contractual or non-contractual

- Your **knowledge and understanding** for this unit relates to: legal and organisational requirements for care services; employer and employee codes of practice and conduct within care services; the depth and breadth of understanding that will enable you to lead and manage care services effectively, support workers to perform competently, ensure the well being of all within your provision, critically evaluate, assess and intervene appropriately to resolve issues and conflicts; and the need to understand and work in collaboration with people, workers and relevant others within and outside your provision to ensure its viability into the short, medium and longer term future.

Unit LMC A1 **Manage and develop yourself and your workforce within care services**

Values underpinning the whole of the unit

The values underpinning this unit have been derived from the key purpose statement, relevant service standards and codes of practice for health and social care in the four UK countries. To achieve this unit you must demonstrate that you have applied the principles required for the management of care services outlined in Unit B1

Key words and concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way.

Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.

Abuse

Abuse is causing physical, emotional, sexual and/or financial harm to an individual and/or failing/neglecting to protect them from harm. This could be at a personal or institutional level.

Delegate

The appropriate allocation of specific areas of work and responsibility to others where it is appropriate to the needs of the provision. It includes the allocation of work: from your own workload where you retain overall responsibility; to enable the development of individual workers and teams and where workers have specialist expertise and skills.

Duty of care

A duty owed by one to another to take reasonable care not to cause physical, emotional or economic damage.

Duty of Care in Employment: both employer and employee have a common law duty of care to each other, to other employees and to those who may be affected by their activities. This includes exercising reasonable care in order to protect others from the risks of injury, death or health problems, or economic loss or harm

Evidence-based practice

Practice that is based on evidence drawn from people, workers, research, organisational and policy expertise.

Feedback

Information given in response to an enquiry or request; it can be in a variety of communication formats.

Governance

The way in which the provision is governed and directed as required by legislation, regulation, standards and guidance.

Group learning

Formal and informal learning with others within or outside the provision, e.g. workers development programmes, training courses or special interest groups

Independent representation and advocacy

Where the views, wishes and concerns of the adult/child/young person are communicated by another person, either through someone independently representing their wishes, or someone acting as their advocate.

Leadership

The ability to provide a model of best practice that is creative, innovative, motivating and flexible that supports people to follow by example and through respect

Management

The ability to lead and organise the effective running of the provision and to meet the overall service needs and those required by legislation, regulation, registration and inspection. Effective managers are able to solve problems, balance the needs of all within the provision, to manage competing demands and to cope under stress.

Organisational requirements

Aspects of policy, procedure and practice that are required by the service and the provision.

Partnership

Working effectively together with people, professionals, agencies and organisations to enhance the well being of people and support positive and improved outcomes.

People

For adults, people includes adults using care services, their advocates, their families, carers, significant others, groups and communities.

For children and young people, people includes the children and young people using care services, their advocates, their parents/carers, their families, teachers, college lecturers, significant others, groups and communities.

Performance reviews

Formal meetings where workers' performance is discussed reviewed and appraised. They are carried out in accordance with legal, regulation, inspection, service and provision requirements. The purpose is to appraise how the worker has demonstrated competence in their job role and against agreed work objectives and to identify personal learning and development needs and career progression.

Positive outcomes

Beneficial outcomes for adults as specified in regulation and guidance for each of the countries of the UK and agreed as appropriate with and for each person within the provision. They include:

- improved health, emotional well being and quality of life
- staying safe and being free from discrimination and harassment
- enjoying, achieving and making a positive contribution
- exercising choice and control
- achieving economic well being, dignity and respect

Beneficial outcomes for children and young people as specified in the regulation of each of the countries of the UK and as agreed with children and young people. They include:

- being healthy
- staying safe
- enjoying and achieving
- making a positive contribution
- achieving economic well being

Positive supervision and review environment

A positive environment for supervision and review promotes effective communication, exchange of information and feedback that supports the supervision and review process. They will be welcoming, spacious, private, confidential and free of interruptions.

Provision

The specific unit or part of the service for which you have leadership and management responsibilities.

Relevant others

Key people within and outside the provision with whom it is beneficial to work and who can influence the provision and the outcomes for the provision and people within it.

Resources

The assets of the provision: financial, human, physical and environmental.

Rights The rights of:

- adults are those embodied in the United Nations Universal Declaration of Human Rights
- children and young people are those embodied in the United Nations Convention on the Rights of the Child

These include rights under the social care codes of practice that everyone should be: respected (in terms of their beliefs, culture and values); treated and valued equally, not be discriminated against; treated as an individual; treated in a dignified way; socially included; included in activities; protected from danger and harm; cared for in a way they choose; have privacy and access to information about themselves and be able to communicate using their preferred methods of communication and language.

Role model

When you demonstrate best practice through your own behaviour, attitudes, actions and practice. It allows workers, people and others to emulate your model.

Service

The overall organisation, agency or service within which your specific provision resides and for which you are the manager.

Supervision

A process that involves a manager meeting regularly and interacting with worker(s) to review their work. It is carried out as required by legislation, regulation, guidance, standards, inspection requirements and requirements of the provision and the service. The purpose is to monitor tasks and workload, solve problems, support workers in dealing with complex situations and moral and ethical dilemmas and to promote staff development.

Specialist supervision

Can include peer, therapeutic or clinical supervision.

Take informed action against discrimination

Actions taken about discrimination on the basis of your knowledge of good practice, legal requirements and professional codes and in relation to information received and investigated.

Workers

Those supporting people within the provision who are paid or unpaid, contractual or non-contractual.

Unit LMC A1

Manage and develop yourself and your workforce within care services

Element LMC A1.1

Manage and develop self in management and leadership roles

Performance Criteria

You need to show that:

- a you critically evaluate and reflect on your:
 - 1 **management** and **leadership** style and practices to identify strengths and areas for development
 - 2 actions when things go wrong, review whether you could have acted differently and use the experience to inform how you should act in the future
- b you seek and include **feedback** from **people, workers** and **relevant others** when reviewing how effectively you manage your priorities, time, workload and workflow
- c you identify how your management of priorities, time, workload and workflow could be improved
- d you update your knowledge and practice to support the efficient, effective and safe management and leadership of your **provision**
- e you use your experiences with, and your observations of, other leaders and managers to improve your practice
- f you actively seek and access **supervision**, mentoring, peer **group learning**, support, advice and **resources** to develop your leadership and management practice
- g you use information communication technology effectively to enhance your own performance
- h you review how effectively you **delegate** work.

Unit LMC A1

Manage and develop yourself and your workforce within care services

Element LMC A1.2

Manage and develop workers through supervision and performance reviews

Performance Criteria

You need to show that:

- a you implement systems, procedures and practices for supervision and **performance reviews** in the context of legislation, regulation, inspection and **organisational requirements**, performance management, workforce development policies and **duty of care**
- b you develop, implement and review written agreements for supervision and performance reviews
- c you ensure workers are clear about their roles, responsibilities and accountabilities generally and specifically for achieving **positive outcomes**
- d you ensure records and agreed decisions and actions from supervision and performance reviews are accurate, completed within agreed timescales and communicated appropriately
- e you support workers to:
 - 1 reflect on issues and processes raised in supervision and performance reviews
 - 2 act on supervision and review outcomes
 - 3 identify areas of learning and integrate them into their development plans
 - 4 access **specialist supervision**, support, advice or consultation, where required
 - 5 review and manage workloads effectively
 - 6 review their performance to ensure compliance with standards and codes of practice
 - 7 identify and overcome barriers to performance
 - 8 understand the emotional impact of their work and seek specialist support, where required
 - 9 give and receive constructive feedback on the supervisory relationship, supervision and the review of practice
- f you create a positive supervision and review environment where:
 - 1 diversity and difference is valued
 - 2 confidentiality requirements are adhered to
 - 3 clear boundaries, accountabilities and expectations are set for workers
- g you audit and develop your knowledge and skills for supervising and reviewing the performance of your own and, where required, the performance of workers from other disciplines.

Unit LMC A1

Manage and develop yourself and your workforce within care services

Element LMC A1.3

Lead and manage continuous improvement in the provision

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures, practices and resources for improving performance and ensuring the competence of workers in the context of continual change
- b you review current literature, theory, research, enquiries and reports appropriate to the provision and communicate relevant information to workers
- c you use appropriate methods and media to seek, acquire and implement the views of people
- d you work with people, workers and relevant others to:
 - 1 collect information about performance, safe practice and the competence of workers
 - 2 identify and recognise success for the provision and in the achievement of outcomes for people
 - 3 identify changes and improvement that are required by individual workers, teams and the provision as a whole
- e you act as a **role model** to illustrate the need and benefits of using current research and **evidence-based practice** to improve performance
- f you ensure that workers' good practice is recognised and they understand how they have contributed to its achievement
- g you identify issues that can be addressed within the provision and those that require collaboration and agreement from other organisations
- h you provide positive solutions to ensure that the provision is sufficiently resourced to support workers' training, development and competence.
- i you delegate specific tasks to support the development of workers

Unit LMC A1

Manage and develop yourself and your workforce within care services

Element LMC A1.4

Enhance the quality and safety of your provision through workforce development

Performance Criteria

You need to show that:

- a you ensure that you prioritise, balance and allocate your time to enable you to, effectively:
 - 1 work with people, workers and relevant others
 - 2 run the provision
- b you plan, allocate, review and prioritise workloads and resources to meet present needs and plan for the future needs of the provision
- c you critically evaluate and take appropriate action in situations that might lead to conflicts, increased pressures or crises
- d you identify the skills and expertise of the current workforce, where these need to be developed, how gaps should be filled and resourced
- e you monitor and plan the development of the workforce to meet present and future needs for multi-disciplinary, integrated and collaborative working
- f you provide induction, training and development opportunities, including appropriate delegation, to:
 - 1 support the safe and effective practice of workers
 - 2 prepare them for new and changing roles and responsibilities
- g you listen and respond appropriately to workers who:
 - 1 do not feel able or adequately prepared to carry out their work
 - 2 have raised issues and highlighted tensions, dilemmas and concerns that need addressing or timely intervention to prevent escalation
- h you work with people, workers and relevant others to ensure that they:
 - 1 are aware of, understand, can take appropriate action to challenge and can record and report on poor, unsafe and malpractice
 - 2 understand and can demonstrate anti-discriminatory practice
- i you observe, assess and review performance, challenge poor, unsafe and malpractice and ensure improvements in standards
- j you evaluate, record and report on the effectiveness of policies, procedures and practices to eliminate poor, unsafe and malpractice.

Unit LMC A1 **Manage and develop yourself and your workforce within care services**

Knowledge specification for the whole of this unit

Competent leadership and management practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent leadership and management in the performance described in this unit.

When using this specification it is important to read the knowledge requirements in relation to expectations and requirements of your job role and the content of this unit

You need to show that you know, understand and can apply in your management practice:

Values

- 1 Legal and organisational requirements on equality, diversity, discrimination, **rights**, confidentiality and sharing of information in relation to managing and developing yourself and your workforce
- 2 Knowledge and practice that underpin the holistic person-centred approach which enable you to manage and develop yourself and your workforce in ways that:
 - a place the people's preferences at the centre of everything you do whilst considering their best interests
 - b ensure people have access to information about themselves in a format that they can understand
 - c provide opportunities for independent representation and advocacy
 - d use a person's preferred communication methods and language
 - e provide active support for people
 - f recognise the uniqueness of people and their circumstances
 - g empower people to take responsibility (within any restrictions placed upon them) and communicate their decisions about their own lives, as far as they are able
- 3 How to critically evaluate and **take informed action against discrimination** when managing and developing yourself and your workforce
- 4 How to support people, workers and relevant others to recognise and take informed action against discrimination when managing and developing yourself and your workforce

Legislation and policy

- 5 Regulation, inspection requirements, codes of practice and conduct, standards and guidance for employers and employees, relevant to:
 - a your provision
 - b your own roles, responsibilities and accountability
 - c the roles, responsibilities and accountability of others in relation to managing and developing yourself and your workforce

- 6 Current local, national, UK, European and international legislation, standards, guidance and organisational requirements for the management and development of yourself and your workforce including:
 - a the need to achieve positive outcomes for people
 - b the need to safeguard and protect people from all forms of danger, harm and abuse
 - c employment practices for the provision and service
 - d your provision's governance arrangements
 - e data protection, recording and reporting
 - f making and dealing with comments and complaints to improve services
 - g whistle-blowing
 - h partnership and other types of working
 - i promoting your provision's services and facilities
 - j supervision, practice and performance
 - h supervision in multi-disciplinary and integrated services
 - i performance reviews and appraisal
- 7 Organisational requirements for recording and reporting, in relation to your own and the development, supervision and appraisal of your workers including:
 - a how reports and records should be accessed, manually and through Information and Communication Technologies (ICT)
 - b how to ensure that records and reports do not contribute to labeling and stigmatisation
 - c the security requirements for different records and reports
 - d the requirements for producing, finalising and sharing different types of records and reports appropriately and within required timescales
 - e types of data, information and presentation methods appropriate to specific records and reports and the specific needs of people
 - f the importance of identifying whether the source is based on evidence, fact or knowledge-based opinion
 - g how and when to use evidence, fact and knowledge-based opinion to support professional judgment in records and reports
- 8 How to implement, evaluate and influence the future development of management policies, systems, processes and procedures for your own and the development of your workforce development and for supervision, appraisal and performance review
- 9 The legal, regulatory and service frameworks relating to the employer's duty of care
- 10 Systems, procedures and practices for managing workloads and their allocation
- 11 Impact of work pressures on the service, provision and individual and team performance
- 12 Factors that may lead managers and workers to take undue risks
- 13 The use of supervision to promote safe working practices and mutual support.

Leadership and management theory and practice

- 14 How to critically evaluate and implement best practice using up-to-date knowledge of:
 - a literature related to the personal, workforce and organisational development including continuous professional development, supervision, appraisal and performance review
 - b leadership and management methods, principles and approaches relevant to your own development and the development of your workforce and the provision
 - c government reports, inquiries and research relevant to your own development and the development of your workforce and the provision
 - d evidence and knowledge-based theories and models of good practice for your own development and the development of your workforce and the provision
 - e lessons learned for leadership and management of care services from successful interventions and serious failure of service and practice related to workforce development, the need for continuous professional development, supervision and appraisal
 - f the experiences of people in relation to your own development and the development of your workforce and the provision

- 15 Performance management and quality requirements, procedures, criteria, methods and indicators relevant to your own development and the development of your workforce and the provision
- 16 Methods of managing and developing yourself, your workers and the provision for your provision, including:
 - a how you consult with people, workers and relevant others
 - b how you promote the participation and involvement of people
 - c how you support, supervise and develop workers
 - d the impact on the provision of organisational behaviour
 - e group and individual processes
 - f how power relationships can be used and abused
- 17 How to plan and manage resources and the implications for the development of yourself and your workers in terms of:
 - a the delivery of services
 - b the achievement of targets
 - c the achievement of positive outcomes
- 18 Different types of change and their implications for the leadership and management of your provision and service
- 19 How psychological, socio-economic, cultural and environmental factors of those within the provision impact on your own and the development, supervision and appraisal of your workers
- 20 How and where technology should be used for your own development, the development, supervision and appraisal of your workers and the development of the provision
- 21 Theory, techniques and practice related to reflective practice
- 22 Different learning styles and how they can and do impact on your own and your workers' ability to learn
- 23 How to organise time and resources to maximise your efficiency and effectiveness as a manager of the provision and as part of the service
- 24 How and where to access information, resources and support for your learning and development
- 25 How best to collect and use qualitative and quantitative information to identify and evaluate your strengths and weaknesses as a leader and manager
- 26 Continuous professional development requirements for you as a manager, and for your workers
- 27 Theories and approaches for:
 - a individual, group and multi-disciplinary supervision
 - b developing and using supervision agreements
 - c mediation and negotiation
 - d assessing performance
 - e giving and receiving feedback
 - f developing reflective practice
 - g motivating workers
 - h managing and valuing diversity
 - i workload and time management
 - j contingency and crisis management
- 28 Approaches to supporting workforce development, continuing professional development and lifelong learning
- 29 Workforce planning, underpinned by an understanding of:
 - a setting and meeting training targets
 - b induction and continuous professional development
 - c regulation, inspection, service and requirements for the provision
- 30 Ways to create a learning culture within your provision.

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Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title A1.4 Enhance the quality and safety of your provision through workforce development.....

Item of evidence	Loc.	Ref	Link to performance criteria (✓)										Link to knowledge ref	
			a	b	c	d	e	f	g	h	i	j		

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Unit LMC B1 **Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people**

Elements of competence

Element LMC B1.1	Lead and manage provision that complies with legislation, registration, regulation and inspection requirements
Element LMC B1.2	Lead and manage provision that promotes rights and responsibilities
Element LMC B1.3	Lead and manage provision that protects people

About this unit

This unit is for leaders and managers of care services. It is about leading and managing provision that respects, protects and promotes the rights and responsibilities of people.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. You need to provide evidence for the areas that are relevant to the care service that you lead and manage and a sound rationale for not providing evidence for the remaining items:

- **People** include:
 - adults using care services, their families, carers, groups and communities
 - children and young people using care services, their parents/carers, families, carers, groups and communities.
- **Preferred communication methods and language** including: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children.
- **Relevant others** could include: other professionals who should contribute to the activity, people from within the provision who should contribute to the activity, people from outside the provision who should contribute to the activity.
- Your **knowledge and understanding** for this unit relates to: legal and organisational requirements for care services; employer and employee codes of practice and conduct within care services; the depth and breadth of understanding that will enable you to lead and manage care services effectively, support workers to perform competently, ensure the well being of all within your provision, critically evaluate, assess and intervene appropriately to resolve issues and conflicts; and the need to understand and work in collaboration with people, workers and relevant others within and outside your provision to ensure its viability into the short, medium and longer term future.

Unit LMC B1 Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people

Values underpinning the whole of the unit

The values underpinning this unit have been derived from the key purpose statement, relevant service standards and codes of practice for health and social care in the four UK countries. To achieve this unit you must demonstrate that you have applied the principles required for the management of care services outlined in this unit.

Key words and concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way.

Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.

Abuse

Abuse is causing physical, emotional, sexual and/or financial harm to an individual and/or failing/neglecting to protect them from harm. This could be at a personal or institutional level.

Evidence based practice

Practice that is based on evidence drawn from people, workers, research, organisational and policy expertise.

Governance

The way in which the provision is governed and directed as required by legislation, regulation, standards and guidance.

Harm

The short, medium and long term effects of a person being physically, emotionally, sexually and/or financially hurt or abused.

Independent representation and advocacy

Where the views, wishes and concerns of the adult/child/young person are communicated by another person, either through someone independently representing their wishes, or someone acting as their advocate.

Lead

To guide and inspire the work of the provision, through gaining the respect and trust of people and workers

Leadership

The ability to provide a model of best practice that is creative, innovative, motivating and flexible that supports people to follow by example and through respect

Management

The ability to lead and organise the effective running of the provision and to meet the overall service needs and those required by legislation, regulation, registration and inspection. Effective managers are able to solve problems, balance the needs of all within the provision, to manage competing demands and to cope under stress.

Organisational requirements

Aspects of policy, procedure and practice that are required by the service and the provision.

Partnership

Working effectively together with people, professionals, agencies and organisations to enhance the well being of people and support positive and improved outcomes.

People

For adults, people includes adults using care services, their advocates, their families, carers, significant others, groups and communities.

For children and young people, people includes the children and young people using care services, their advocates, their parents/carers, their families, teachers, college lecturers, significant others, groups and communities.

Positive outcomes

Beneficial outcomes for adults as specified in regulation and guidance for each of the countries of the UK and agreed as appropriate with and for each person within the provision. They include:

- improved health, emotional well being and quality of life
- staying safe and being free from discrimination and harassment
- enjoying, achieving and making a positive contribution
- exercising choice and control
- achieving economic well being, dignity and respect

Beneficial outcomes for children and young people as specified in the regulation of each of the countries of the UK and as agreed with children and young people. They include:

- being healthy
- staying safe
- enjoying and achieving
- making a positive contribution
- achieving economic well being

Protection

Where everyone is safeguarded from all forms of harm, abuse, discrimination and harassment.

Provision

The specific unit or part of the service for which you have leadership and management responsibilities.

Relevant others

Key people within and outside the provision with whom it is beneficial to work and who can influence the provision and the outcomes for the provision and people within it.

Resources

The assets of the provision: financial, human, physical and environmental.

Rights The rights of:

- adults are those embodied in the United Nations Universal Declaration of Human Rights
- children and young people are those embodied in the United Nations Convention on the Rights of the Child

These include rights under the social care codes of practice that everyone should be: respected (in terms of their beliefs, culture and values); treated and valued equally, not be discriminated against; treated as an individual; treated in a dignified way; socially included; included in activities; protected from danger and harm; cared for in a way they choose; have privacy and access to information about themselves and be able to communicate using their preferred methods of communication and language.

Role model

When you demonstrate best practice through your own behaviour, attitudes, actions and practice. It allows workers, people and others to emulate your model.

Service

The overall organisation, agency or service within which your specific provision resides and for which you are the manager.

Signs and symptoms

Physical, behavioural and emotional indicators which may signify possible danger, harm, abuse and/or neglect.

Take informed action against discrimination

Action taken about discrimination on the basis of your knowledge of good practice, legal requirements and professional codes and in relation to information received and investigated.

Workers

Those supporting people within the provision who are paid or unpaid, contractual or non-contractual.

Unit LMC B1

Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people

Element LMC B1.1

Lead and manage provision that complies with legislation, registration, regulation and inspection requirements

Performance Criteria

You need to show that:

- a you carry out regular assessments of your **provision** to identify strengths and areas for improvement to ensure that:
 - 1 it is achieving positive outcomes for people
 - 2 it is meeting legislation, regulation and inspection requirements
 - 3 you and your workers are complying with codes of practice
- b you provide written policies and procedures to enable your workers to comply with legislation, registration, regulation, inspection and **organisational requirements**
- c you manage the performance of **workers** and the provision to ensure high quality **service** and care that promotes public trust and confidence by:
 - 1 making sure workers are suitable to work in your provision and are aware of their roles and responsibilities
 - 2 providing effective induction
 - 3 facilitating access to training and development opportunities to enable workers to develop their skills, knowledge and improve their performance
 - 4 promoting the Care Councils' Codes of Practice to people, workers and **relevant others**
 - 5 ensuring that you and your workers honour work commitments and when this is not possible, explain why
- d you make available, monitor and support workers to understand and comply with policies and procedures:
 - 1 that meet legal requirements, registration, regulation, inspection requirements and codes of practice
 - 2 on confidentiality; equal opportunities; risk assessment; health and safety; record keeping and the acceptance of money or personal gifts from people
 - 3 for promoting positive outcomes and **protection** of people
 - 4 about safe and appropriate relationships with people
 - 5 on receiving and dealing with comments and complaints
 - 6 about identifying, being open about and learning from mistakes, ineffective practice and complaints
- e you provide assistance, guidance and support for workers whose work may be adversely affected by physical and psychological issues
- f you manage and supervise workers to support the success of the provision and achieve positive outcomes for people
- g you co-operate with inspections, any investigations and hearings and act on their recommendations and requirements.

Unit LMC B1

Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people

Element LMC B1.2

Lead and manage provision that promotes the rights and responsibilities

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practice to promote the **rights** and responsibilities of people in the context of legislation, regulation, inspection and organisational requirements
- b you ensure policies and procedures actively promote listening, participation and consultation, to promote the rights and responsibilities of people
- c you collect and act on management information to address stigma, discrimination and exclusion
- d you work with people, workers and relevant others to address conflicts and dilemmas when promoting people's rights and responsibilities
- e you act as a positive **role model** to demonstrate:
 - 1 how to actively promote the rights and responsibilities of people
 - 2 how to acknowledge and work with the dilemmas people and workers face when balancing their own rights, preferences and responsibilities with those of others
 - 3 that you are reliable, dependable and can be trusted
- f you work with people, workers and relevant others and ensure that they feel able and receive appropriate support to make comments and complaints
- g you secure independent advice, support and advocacy to enable people to make decisions about their lives and futures.
- h you respond to comments and complaints in ways that are open, fair and consistent with legal, regulatory, inspection and organisational requirements
- i you **lead** and manage your provision in ways that promote the rights of people, workers and relevant others
- j you seek advice, information and guidance to support your promotion of rights and responsibilities of all within your provision

Unit LMC B1

Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people

Element LMC B1.3

Lead and manage provision that protects people

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practice for the protection of people and the prevention of emotional, financial, physical, mental and sexual abuse, neglect, harassment and bullying in the context of legislation, regulation, inspection and organisational requirements
- b you evaluate and implement systems, procedures and practices to ensure that you, your workers and relevant others:
 - 1 provide the necessary protection for people whilst balancing their rights and needs with the rights of others
 - 2 respond promptly to suspicions and allegations of abuse in accordance with children's and/or vulnerable adults' protection procedures
 - 3 support people's positive behaviour
 - 4 are able to understand and explain the reasons for any restrictions being placed on people
 - 5 are able to support people to identify and understand aspects of their lives, actions and behaviour that may lead to abuse
- c you lead and manage an environment that enables people to feel safe, secure and free from **harm**, abuse and bullying
- d you ensure that your own practice, **leadership** and **management**:
 - 1 safeguards and provides the necessary protection for people
 - 2 recognises that people may be vulnerable to visual, written and electronic forms of communication and media
 - 3 takes appropriate action to address dangerous, abusive, discriminatory and exploitative behaviour
- e you take appropriate and immediate action where people, workers and relevant others observe **signs and symptoms** of danger, harm and abuse and where this has been disclosed
- f you give priority to the protection of the person, whilst ensuring that your actions and statements and those of workers and relevant others, do not adversely affect the use of evidence in future investigations and court proceedings
- g you review reports and records on protection and abuse and pass on relevant, accurate statements, reports and information about suspected abuse within confidentiality agreements and according to legal, regulatory, inter-agency, partnership and organisational, requirements
- h you seek advice, information, guidance and specialist expertise and support on protection and abuse where this is unavailable within the provision
- i you support workers to cope with their thoughts and feelings about suspected and actual incidents of harm and abuse

- j you ensure that records, reports and statements on protection and abuse are timed, dated and completed:
 - 1 within confidentiality agreements
 - 2 according to legal and organisational requirements
 - 3 in ways that do not adversely affect the use of evidence in future investigations and court proceedings

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Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title B1.2 Lead and manage provision that promotes the rights and responsibilities

Item of evidence	Loc.	Ref	Link to performance criteria (✓)										Link to knowledge ref	
			a	b	c	d	e	f	g	h	i	j		

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title B1.3 Lead and manage provision that protects people.....

Item of evidence	Loc.	Ref	Link to performance criteria (✓)										Link to knowledge ref	
			a	b	c	d	e	f	g	h	i	j		

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Unit LMC B1 **Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people**

Knowledge specification for the whole of this unit

Competent leadership and management practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent leadership and management in the performance described in this unit.

When using this specification it is important to read the knowledge requirements in relation to expectations and requirements of your job role and the content of this unit

You need to show that you know, understand and can apply in your management practice:

Values

- 1 Legal and organisational requirements on equality, diversity, discrimination, rights, confidentiality and sharing of information in relation to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
- 2 Knowledge and practice that underpin the holistic person-centred approach which enable you to lead and manage in ways that:
 - a place the people's preferences at the centre of everything you do whilst considering their best interests
 - b ensure people have access to information about themselves in a format that they can understand
 - c provide opportunities for **independent representation and advocacy**
 - d use a person's preferred communication methods and language
 - e provide active support for people
 - f recognise the uniqueness of people and their circumstances
 - g empower people to take responsibility (within any restrictions placed upon them) and communicate their decisions about their own lives, as far as they are able
- 3 How to critically evaluate and **take informed action against discrimination** when leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
- 4 How to support people, workers and relevant others to recognise and take informed action against discrimination
- 5 Theories and approaches to advocacy, empowerment and people's rights.

Legislation and policy

- 6 Regulation, inspection requirements, codes of practice and conduct, standards and guidance for employers and employees, relevant to:
 - a your provision
 - b your own roles, responsibilities and accountability
 - c the roles, responsibilities and accountability of others in relation to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people

- 7 Current local, national, UK, European and international legislation, standards, guidance and organisational requirements for leading and managing a provision that respects, protects and promotes the rights and responsibilities of people, including:
 - a the need to achieve positive outcomes for people
 - b the need to safeguard and protect people from all forms of danger, harm and abuse
 - c employment practices for the provision and service
 - d your provision's **governance** arrangements
 - e data protection, recording and reporting
 - f making and dealing with comments and complaints to improve services
 - g whistle blowing
 - h **partnership** and other types of working
 - i promoting your provision's services and facilities
- 8 Organisational requirements for recording and reporting, including:
 - a how reports and records should be accessed, manually and through Information and Communication Technologies (ICT)
 - b how to ensure that records and reports do not contribute to labeling and stigmatisation
 - c the security requirements for different records and reports
 - d the requirements for producing, finalising and sharing different types of records and reports appropriately and within required timescales
 - e types of data, information and presentation methods appropriate to specific records and reports and the specific needs of people
 - f the importance of identifying whether the source is based on evidence, fact or knowledge-based opinion
 - g how and when to use evidence, fact and knowledge-based opinion to support professional judgment in records and reports
- 9 How to implement, evaluate and influence the future development of management policies, systems, processes and procedures for the respect, protection and promotion of the rights and responsibilities of people within your provision

Leadership and management theory and practice

- 10 How to critically evaluate and implement best practice using up-to-date knowledge of:
 - a literature related to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
 - b leadership and management methods, principles and approaches relevant to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
 - c government reports, inquiries and research relevant to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
 - d evidence and knowledge-based theories and models of good practice in leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
 - e lessons learned for leading and managing a provision that respects, protects and promotes the rights and responsibilities of people from successful interventions and serious failure of service and practice
 - f the experiences of people within your provision and how they can contribute to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
- 11 Performance management and quality requirements, procedures, criteria, methods and indicators relevant to developing your provision

- 12 Methods of managing and developing practice in care services, about:
 - a how you consult with people, workers and relevant others
 - b how you promote the participation and involvement of people
 - c how you support, supervise and develop workers
 - d the impact of organisational behaviour on the provision
 - e group and individual processes
 - f how power relationships can be used and abused
- 13 How to plan and manage resources to enable you to lead a provision that respects, protects and promotes the rights and responsibilities of people and the implications for:
 - a the delivery of services
 - b the achievement of targets
 - c the achievement of positive outcomes
- 14 Different types of change and their implications to leading and managing a provision that respects, protects and promotes the rights and responsibilities of people
- 15 How psychological, socio-economic, cultural and environmental factors of those within the provision impact on how workers demonstrate respect and protect people's rights
- 16 How and where technology should be used when leading and managing a provision that respects, protects and promotes the rights and responsibilities
- 17 How to manage a provision in which:
 - a workers know the law, regulations, standards and guidance on the rights and responsibilities of people
 - b people are aware of their rights and responsibilities and are as actively involved in exercising them as possible
 - c the rights and responsibilities of people are protected and account is taken of any limitations on those rights
 - d there is access to key government initiatives that are appropriate for people
- 18 How to access and the appropriate use of specialist resources relevant to people and workers in your provision
- 19 How to access knowledge and evidenced-based practice to support the management of practice that promotes positive outcomes for people
- 20 Knowledge and evidence-based practice on:
 - a protection of children, young people and vulnerable adults
 - b effective communication and engagement with people, in the development of an open and safe environment
 - c safe environment
 - d approaches to risk assessment and risk management
 - e approaches to working with people who have been neglected, abused and bullied
 - f working with people who have been abused, neglected, persecuted, are at risk of significant harm or are at risk of becoming involved in offending behaviour
 - g working with discrimination, deprivation, bullying, self-harm, violence, mental health issues, and substance misuse
 - h managing ethical dilemmas and conflicts for people, workers and relevant others, within your provision and when working within and/or managing multi-disciplinary practice
- 21 How your provision's culture, your workers' morale and levels of violence and aggression impact on the quality of care and workers' performance
- 22 Management responsibilities for:
 - a the safety and protection of workers and others within your provision
 - b training and development of workers in the protection of people within the provision
 - c dealing with issues relating to protection and risk
 - d dealing with behaviour that might lead to the risk of harm (including self-harm) and abuse of people, workers and others ensuring that people are involved in and supported to make choices about their lives and experiences

- 23 The implications for management of working with people who have:
 - a insecure attachments, trauma, distress,
 - b experienced loss and change
 - c been abused, neglected, bullied, persecuted and experienced violence
 - d experienced systematic and organised abuse
- 24 The implications for management of promoting:
 - a factors that contribute to the protection of people
 - b cultures and environments that promote and safeguard and protect people's well being
25. Theories, methods and approaches on:
 - a effective communication and engagement with people and all other relevant agencies
 - b effective approaches to the assessment of need and the planning, implementation and review of care plans
 - c approaches to building on strengths as well as identifying difficulties
- 26 How to promote people's capacity to cope with change, problems and obstacles they may face in their lives.

Unit LMC C1 **Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements**

Elements of competence

Element LMC C1.1	Implement and monitor compliance with health and safety requirements
Element LMC C1.2	Promote a culture where needs and risks are balanced with healthy and safe practice
Element LMC C1.3	Monitor and review systems, procedures and practice for the management of risk

About this unit

This unit is for leaders and managers of care services. It is about developing and maintaining systems and procedures to manage risks and ensure a healthy and safe environment within your care service provision.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. You need to provide evidence for the areas that are relevant to the care service that you lead and manage and a sound rationale for not providing evidence for the remaining items:

- **People** include:
 - adults using care services, their families, carers, groups and communities
 - children and young people using care services, their parents/carers, families, carers, groups and communities
- **Preferred communication methods and language** including: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children
- **Relevant others** could include: other professionals who should contribute to the activity, people from within the provision who should contribute to the activity, people from outside the provision who should contribute to the activity
- **Workers** could include: those supporting the people within your provision who are paid, unpaid, contractual or non-contractual
- Your **knowledge and understanding** for this unit relates to: legal and organisational requirements for care services; employer and employee codes of practice and conduct within care services; the depth and breadth of understanding that will enable you to lead and manage care services effectively, support workers to perform competently, ensure the well being of all within your provision, critically evaluate, assess and intervene appropriately to resolve issues and conflicts; and the need to understand and work in collaboration with people, workers and relevant others within and outside your provision to ensure its viability into the short, medium and longer term future.

Unit LMC C1 Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements

Values underpinning the whole of the unit

The values underpinning this unit have been derived from the key purpose statement, relevant service standards and codes of practice for health and social care in the four UK countries. To achieve this unit you must demonstrate that you have applied the principles required for the management of care services outlined in Unit LMC B1

Key words and concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way.

Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.

Abuse

Abuse is causing physical, emotional, sexual and/or financial harm to an individual and/or failing/neglecting to protect them from harm. This could be at a personal or institutional level.

Culture

A shared set of ideas, beliefs, values and knowledge which underpins behaviour.

Danger

The possibility of harm and abuse happening.

Evidence-based practice

Practice that is based on evidence drawn from people, workers, research, organisational and policy expertise.

Governance

The way in which the provision is governed and directed as required by legislation, regulation, standards and guidance.

Harm

The short, medium and long term affects of a person being physically, emotionally, sexually and/or financially hurt or abused.

Independent representation and advocacy

Where the views, wishes and concerns of the adult/child/young person are communicated by another person, either through someone independently representing their wishes, or someone acting as their advocate.

Leadership

The ability to provide a model of best practice that is creative, innovative, motivating and flexible that supports people to follow by example and through respect

Management

The ability to lead and organise the effective running of the provision and to meet the overall service needs and those required by legislation, regulation, registration and inspection. Effective managers are able to solve problems, balance the needs of all within the provision, to manage competing demands and to cope under stress.

Organisational requirements

Aspects of policy, procedure and practice that are required by the service and the provision.

Partnership

Working effectively together with people, professionals, agencies and organisations to enhance the well being of people and support positive and improved outcomes.

People

For adults, people includes adults using care services, their advocates, their families, carers, significant others, groups and communities.

For children and young people, people includes the children and young people using care services, their advocates, their parents/carers, their families, teachers, college lecturers, significant others, groups and communities.

Positive outcomes

Beneficial outcomes for adults as specified in regulation and guidance for each of the countries of the UK and agreed as appropriate with and for each person within the provision. They include:

- improved health, emotional well being and quality of life
- staying safe and being free from discrimination and harassment
- enjoying, achieving and making a positive contribution
- exercising choice and control
- achieving economic well being, dignity and respect

Beneficial outcomes for children and young people as specified in the regulation of each of the countries of the UK and as agreed with children and young people. They include:

- being healthy
- staying safe
- enjoying and achieving
- making a positive contribution
- achieving economic well being

Provision

The specific unit or part of the service for which you have leadership and management responsibilities.

Relevant others

Key people within and outside the provision with whom it is beneficial to work and who can influence the provision and the outcomes for the provision and people within it.

Resources

The assets of the provision: financial, human, physical and environmental.

Rights The rights of:

- adults are those embodied in the United Nations Universal Declaration of Human Rights
- children and young people are those embodied in the United Nations Convention on the Rights of the Child

These include rights under the social care codes of practice that everyone should be: respected (in terms of their beliefs, culture and values); treated and valued equally, not be discriminated against; treated as an individual; treated in a dignified way; socially included; included in activities; protected from danger and harm; cared for in a way they choose; have privacy and access to information about themselves and be able to communicate using their preferred methods of communication and language.

Risks

The likelihood of potential danger, harm and/or abuse.

Service

The overall organisation, agency or service within which your specific provision resides and for which you are the manager.

Supervision

A process that involves a manager meeting regularly and interacting with worker(s) to review their work. It is carried out as required by legislation, regulation, guidance, standards, inspection requirements and requirements of the provision and the service. The purpose is to monitor tasks and workload, solve problems, support workers in dealing with complex situations and moral and ethical dilemmas and to promote staff development.

Take informed action against discrimination

Actions taken about discrimination on the basis of your knowledge of good practice, legal requirements and professional codes and in relation to information received and investigated.

Workers

Those supporting people within the provision who are paid or unpaid, contractual or non-contractual.

Unit LMC C1

Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements

Element LMC C1.1

Implement and monitor compliance with health and safety requirements

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practice for health and safety to ensure that they meet legal, registration, regulation, inspection and **organisational requirements**
- b you monitor and update health and safety policies, procedures and practice within the **provision** to ensure that they meet the needs of **people, workers** and **relevant others** and comply with legislation, registration, regulation, inspection and organisational requirements
- c you ensure that people, workers and relevant others are:
 - 1 aware of, understand and are kept up to date with changes in health and safety policies, systems, procedures and practices
 - 2 aware of their responsibilities in relation to the provision's health and safety policies, systems, procedures and practice
- d you ensure that workers are trained and competent to work within and understand the priority of health and safety policies, systems, procedures and practices
- e you monitor compliance with health and safety policies, systems, procedures and practices and deal with any non-compliance in an efficient and effective manner
- f you address unprofessional, harmful or dangerous practice through:
 - 1 **supervision**
 - 2 the training and development of workers
 - 3 individual coaching and mentoring
 - 4 team development and training
 - 5 disciplinary and grievance procedures
- g you ensure that systems, procedures and practice within the provision comply with fire, safety, food hygiene, medication and infection control regulations
- h you gather feedback from people, workers and relevant others on the provision's health and safety policies, systems, procedures and practices
- i you record and report on health and safety issues, practices and incidents according to legal, regulatory, inspection and organisational requirements

Unit LMC C1

Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements

Element LMC C1.2

Promote a culture where needs and risks are balanced with healthy and safe practice

Performance Criteria

You need to show that:

- a you promote a learning **culture** where people, workers and relevant others are:
 - 1 aware of the **risks** within the provision
 - 2 aware of the need to balance and manage risk to enable **positive outcomes** for people
 - 3 aware of the need to balance and manage risks associated with particular people whilst ensuring the health, safety and protection of all
 - 4 supported to improve their performance by learning from their own and the experiences of others
- b you implement and review the effectiveness of policies, systems, procedures and practice ensuring compliance with legislation, regulation, inspection and organisational requirements whilst managing risk and the need to:
 - 1 promote the welfare of and equal opportunities for people, workers and relevant others
 - 2 promote life opportunities, independent living and the achievement of positive outcomes
 - 3 promote social inclusion and people's **rights**
 - 4 protect people from **danger, harm and abuse**
 - 5 identify and prevent behaviour that is illegal, abusive and harmful
- c you support people, workers and relevant others to be:
 - 1 aware of, understand and are kept up to date with changes in health and safety policies, systems, procedures and practices
 - 2 aware of their responsibilities in relation to the provision's health and safety policies, systems, procedures and practice
- d you implement, monitor and review systems and procedures to ensure that:
 - 1 people are supported to assess, balance and make decisions about the risks associated with activities they wish to pursue
 - 2 concerns raised by people, workers and relevant others are balanced with each person's wishes
 - 3 the person's right to take risk is balanced against the likelihood of harm
 - 4 the situation and circumstances associated with the risk(s) are assessed, analysed and managed
- e you ensure that all workers are trained and competent to respond to violence and abuse and ensure their behaviour and actions do not escalate the situation
- f you develop a culture that identifies and recognises achievements and successes in the **management** and promotion of people's right to take risks

g you use evidence to:

- 1 record and report on the effectiveness of risk management and achievement of positive outcomes
- 2 recommend improvements and changes
- 3 identify lessons learned from successful practice and interventions and those which could be improved

Unit LMC C1

Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements

Element LMC C1.3

Monitor and review systems, procedures and practice for the management of risk

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of policies, procedures and practice for risk assessment, and the management and the minimisation of harm ensuring that they comply with legislation, registration, regulation and inspection and organisational requirements
- b you communicate the responsibilities for risk management to people, workers and relevant others
- c you ensure that you, workers and relevant others understand, can avoid, deal with and report on situations, conditions and behaviour which indicate:
 - 1 that people are at risk of danger, harm and abuse
 - 2 risk to a person's physical or mental health
- d you ensure that risk assessments are:
 - 1 carried out according to policies, procedures and regulation for the service and provision
 - 2 available and adhered to
 - 3 appropriately resourced
- e you ensure that:
 - 1 policies, systems, procedures, protocols and practice for the administration, storage, disposal and security of medicines are known and correctly followed
 - 2 workers administering medication are trained and competent to do so
 - 3 records regarding a person's medication are correct, up-to-date and regularly monitored to ensure that correct medication is given
 - 4 concerns regarding reaction to medication are reported immediately
- f you listen to and take prompt and appropriate action when issues regarding people's medication are raised
- g you monitor compliance with risk assessment and management systems and procedures taking prompt and appropriate action to deal with non-compliance
- h you ensure that workers are trained and supported to:
 - 1 identify and manage potential and actual aggression and abuse
 - 2 manage and minimise harm to people, themselves and others
 - 3 manage risks associated with the people within the provision
 - 4 highlight deficiencies in their knowledge, skills and competence to manage risk situations
 - 5 seek and access training for gaps in their knowledge, skills and competence through individual study and/or peer and group learning
- i you use evidence to:
 - 1 record and report on the effectiveness of risk management policies, systems, procedures and practice
 - 2 make recommendations for improvements and changes

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Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title C1.2 Promote a culture where needs and risks are balanced with healthy and safe practice.....

Item of evidence	Loc.	Ref	Link to performance criteria (✓)							Link to knowledge ref
			a	b	c	d	e	f	g	

Location key: p = portfolio, o = office (add further categories as appropriate)

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Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title C1.3 Monitor and review systems, procedures and practice for the management of risk.....

Item of evidence	Loc.	Ref	Link to performance criteria (✓)									Link to knowledge ref
			a	b	c	d	e	f	g	h	i	

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Unit LMC C1 **Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements**

Knowledge specification for the whole of this unit

Competent leadership and management practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent leadership and management in the performance described in this unit.

When using this specification it is important to read the knowledge requirements in relation to expectations and requirements of your job role and the content of this unit

You need to show that you know, understand and can apply in your management practice:

Values

- 1 Legal and organisational requirements on equality, diversity, discrimination, rights, confidentiality and sharing of information in relation to developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements
- 2 Knowledge and practice that underpin the holistic person centred approach which enable you to lead and manage the development and maintenance of systems, procedures and practice to manage risks and comply with health and safety requirements, in ways that:
 - a place the people's preferences at the centre of everything you do whilst considering their best interests
 - b ensure people have access to information about themselves in a format that they can understand
 - c provide opportunities for **independent representation and advocacy**
 - d use a person's preferred communication methods and language
 - e provide active support for people
 - f recognise the uniqueness of people and their circumstances
 - g empower people to take responsibility (within any restrictions placed upon them) and communicate their decisions about their own lives, as far as they are able
- 3 How to critically evaluate and **take informed action against discrimination** when developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements
- 4 How to support people, workers and relevant others to recognise and take informed action against discrimination
- 5 Theories and approaches to advocacy, empowerment and people's rights.

Legislation and policy

- 6 Regulation, inspection requirements, codes of practice and conduct, standards and guidance for employers and employees, relevant to:
 - a your provision
 - b your own roles, responsibilities and accountability
 - c the roles, responsibilities and accountability of others
 - d in relation to developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements
- 7 Current local, national, UK, European and international legislation, standards, guidance and organisational requirements for the **leadership** and management of systems, procedures and practice to manage risks and comply with health and safety requirements of your provision, including:
 - a the need to achieve positive outcomes for people
 - b the need to safeguard and protect people from all forms of danger, harm and **abuse**
 - c risk assessment and management
 - d employment practices for the provision and service
 - e your provision's **governance** arrangements
 - f data protection, recording and reporting
 - g making and dealing with comments and complaints to improve services
 - h whistle blowing
 - i **partnership** and other types of working
 - j promoting your provision's services and facilities
- 8 Organisational requirements for recording and reporting on systems, procedures and practice for the management of risks and compliance with health and safety requirements, including:
 - a how reports and records should be accessed, manually and through Information and Communication Technologies (ICT)
 - b how to ensure that records and reports do not contribute to labelling and stigmatisation
 - c the security requirements for different records and reports
 - d the requirements for producing, finalising and sharing different types of records and reports appropriately and within required timescales
 - e types of data, information and presentation methods appropriate to specific records and reports and the specific needs of people
 - f the importance of identifying whether the source is based on evidence, fact or knowledge-based opinion
 - g how and when to use evidence, fact and knowledge-based opinion to support professional judgement in records and reports
- 9 Organisational requirements, systems, procedures and practices for maintaining a healthy, safe and productive work environment and assessing and minimising risk to self, workers and relevant others
- 10 How to implement, evaluate and influence the future development of management policies, systems, processes and procedures relating to the management and maintenance of systems, procedures and practice to manage risks and comply with health and safety requirements within your provision
- 11 Employment legislation, policies, regulation and standards for maintaining a healthy and safe work environment
- 12 Fire safety, food hygiene and infection control regulations
- 13 Moving and handling regulations and requirements

Leadership and management theory and practice

- 14 How to critically evaluate and implement best practice using up-to-date knowledge of:
 - a literature related to leadership and management systems, procedures and practice to manage risks and comply with health and safety requirements
 - b leadership and management methods, principles and approaches relevant to developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements
 - c government reports, inquiries and research relevant to leadership and management of systems, procedures and practice to manage risks and comply with health and safety requirements
 - d evidence and knowledge-based theories and models of good practice in leadership and management of systems, procedures and practice to manage risks and comply with health and safety requirements
 - e lessons learned for leadership and management of systems, procedures and practice to manage risks and comply with health and safety requirements from successful interventions and serious failure of service and practice –
 - f the experiences of people within your provision of the systems, procedures and practice for managing risks and complying with health and safety requirements
- 15 Performance management and quality requirements, procedures, criteria, methods and indicators relevant to developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements -
- 16 Methods of managing and developing practice to manage risks and comply with health and safety requirements, about:
 - a how you consult with people, workers and relevant others
 - b how you promote the participation and involvement of people
 - c how you support, supervise and develop workers
 - d the impact on the provision of organisational behaviour
 - e group and individual processes
 - f how power relationships can be used and abused
- 17 How to plan and manage resources to enable you to develop and maintain systems, procedures and practice to manage risks and comply with health and safety requirements, and the implications for:
 - a the delivery of services
 - b the achievement of targets
 - c the achievement of positive outcomes
18. Different types of change and their implications for the leadership and management of systems, procedures and practice to manage risks and comply with health and safety requirements
- 19 How psychological, socio-economic, cultural and environmental factors of those within the provision may influence health, safety and risk management
- 20 How and where technology should be used when developing and maintaining systems, procedures and practice to manage risks and comply with health and safety requirements
- 21 Methods for monitoring work conditions to ensure they meet health and safety requirements
- 22 Methods of encouraging effective relationships and communications with and between workers, relevant others, people, their carers, families and significant others to develop trust and openness that enables issues related to health, safety and risk to be communicated
- 23 Factors that may lead workers to take undue risks including organisational cultures and the impact of stress on professional judgement
- 24 The use of supervision and team meetings to promote safe working practices and mutual support
25. Methods of working with external management and governance on health, safety and risk assessment procedures and issues

- 26 Knowledge and evidence-based practice on:
 - a effective communication and engagement with people, in the development of an open and safe environment
 - b risk assessment and risk management
 - c working with people who have been abused, neglected, persecuted, are at risk of significant harm or are at risk of becoming involved in offending behaviour
 - d working with discrimination, deprivation, bullying, self-harm, violence, mental health issues, and substance misuse
- 27 The impact that the organisation's culture, worker's morale, and levels of violence and aggression have on the quality of care and on worker's performance
- 28 Management responsibilities for:
 - a the safety and protection of workers and others within your provision
 - b training and development of workers for the protection of people
 - c dealing with issues relating to protection and risk
 - d dealing with behaviour that might lead to the risk of harm (including self-harm) and abuse of people, workers and others

Unit LMC E1 **Lead and manage effective communication that promotes positive outcomes for people within care services**

Elements of competence

Element LMC E1.1	Manage effective communication
Element LMC E1.2	Ensure that management information systems support the delivery of positive outcomes for people and your provision
Element LMC E1.3	Manage and maintain recording and reporting systems and procedures and use them effectively

About this unit

This unit is for leaders and managers of care services. It is about leading and managing a care services provision, where communication is effective and supports positive outcomes for people.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. You need to provide evidence for the areas that are relevant to the care service that you lead and manage, and a sound rationale for not providing evidence for the remaining items:

- **Additional support** could include: advocacy; independent representation; interpreters; individuals who are expert in specific communication methods
- **Communication** using: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children
- **Difficult, complex and sensitive communications** are likely to be: distressing; traumatic; frightening; threatening; pose a risk to and/or have serious implications for the individuals and/or key people; communications that might be difficult to understand and assimilate; communications on sensitive issues would include issues of a personal nature
- **People** include:
 - adults using care services, their families, carers, groups and communities
 - children and young people using care services, their parents/carers, families, carers, groups and communities
- **Preferred communication methods and language** including: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children
- **Workers** could include: those supporting the people within your provision who are paid, unpaid, contractual or non-contractual
- **Relevant others** could include: other professionals who should contribute to the activity, people from within the provision who should contribute to the activity, people from outside the provision who should contribute to the activity

- Your **knowledge and understanding** for this unit relates to: legal and organisational requirements for care services; employer and employee codes of practice and conduct within care services; the depth and breadth of understanding that will enable you to lead and manage care services effectively, support workers to perform competently, ensure the well being of all within your provision, critically evaluate, assess and intervene appropriately to resolve issues and conflicts; and the need to understand and work in collaboration with people, workers and relevant others within and outside your provision to ensure its viability into the short, medium and longer term future.

Unit LMC E1 Lead and manage effective communication that promotes positive outcomes for people within care services

Values underpinning the whole of the unit

The values underpinning this unit have been derived from the key purpose statement, relevant service standards and codes of practice for health and social care in the four UK countries. To achieve this unit you must demonstrate that you have applied the principles required for the management of care services outlined in Unit LMC B1

Key words and concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way.

Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.

Abuse

Abuse is causing physical, emotional, sexual and/or financial harm to an individual and/or failing/neglecting to protect them from harm. This could be at a personal or institutional level.

Culture

A shared set of ideas, beliefs, values and knowledge which underpins behaviour.

Danger

The possibility of harm and abuse happening.

Evidence-based practice

Practice that is based on evidence drawn from people, workers, research, organisational and policy expertise.

Governance

The way in which the provision is governed and directed as required by legislation, regulation, standards and guidance.

Harm

The short, medium and long term affects of a person being physically, emotionally, sexually and/or financially hurt or abused.

Independent representation and advocacy

Where the views, wishes and concerns of the adult/child/young person are communicated by another person, either through someone independently representing their wishes, or someone acting as their advocate.

Leadership

The ability to provide a model of best practice that is creative, innovative, motivating and flexible that supports people to follow by example and through respect

Management

The ability to lead and organise the effective running of the provision and to meet the overall service needs and those required by legislation, regulation, registration and inspection. Effective managers are able to solve problems, balance the needs of all within the provision, to manage competing demands and to cope under stress.

Organisational requirements

Aspects of policy, procedure and practice that are required by the service and the provision.

Partnership

Working effectively together with people, professionals, agencies and organisations to enhance the well being of people and support positive and improved outcomes.

People

For adults, people includes adults using care services, their advocates, their families, carers, significant others, groups and communities.

For children and young people, people includes the children and young people using care services, their advocates, their parents/carers, their families, teachers, college lecturers, significant others, groups and communities.

Positive outcomes

Beneficial outcomes for adults as specified in regulation and guidance for each of the countries of the UK and agreed as appropriate with and for each person within the provision. They include:

- improved health, emotional well being and quality of life
- staying safe and being free from discrimination and harassment
- enjoying, achieving and making a positive contribution
- exercising choice and control
- achieving economic well being, dignity and respect

Beneficial outcomes for children and young people as specified in the regulation of each of the countries of the UK and as agreed with children and young people. They include:

- being healthy
- staying safe
- enjoying and achieving
- making a positive contribution
- achieving economic well being

Provision

The specific unit or part of the service for which you have leadership and management responsibilities.

Relevant others

Key people within and outside the provision with whom it is beneficial to work and who can influence the provision and the outcomes for the provision and people within it.

Resources

The assets of the provision: financial, human, physical and environmental.

Rights The rights of:

- adults are those embodied in the United Nations Universal Declaration of Human Rights
- children and young people are those embodied in the United Nations Convention on the Rights of the Child

These include rights under the social care codes of practice that everyone should be: respected (in terms of their beliefs, culture and values); treated and valued equally, not be discriminated against; treated as an individual; treated in a dignified way; socially included; included in activities; protected from danger and harm; cared for in a way they choose; have privacy and access to information about themselves and be able to communicate using their preferred methods of communication and language.

Risks

The likelihood of potential danger, harm and/or abuse.

Service

The overall organisation, agency or service within which your specific provision resides and for which you are the manager.

Supervision

A process that involves a manager meeting regularly and interacting with worker(s) to review their work. It is carried out as required by legislation, regulation, guidance, standards, inspection requirements and requirements of the provision and the service. The purpose is to monitor tasks and workload, solve problems, support workers in dealing with complex situations and moral and ethical dilemmas and to promote staff development.

Take informed action against discrimination

Actions taken about discrimination on the basis of your knowledge of good practice, legal requirements and professional codes and in relation to information received and investigated.

Workers

Those supporting people within the provision who are paid or unpaid, contractual or non-contractual.

Unit LMC E1

Lead and manage effective communication that promotes positive outcomes for people within care services

Element LMC E1.1

Manage effective communication

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practices for communicating within and outside your **provision** in the context of legislation, registration, regulation, inspection and **organisational requirements**
- b you critically evaluate and identify the needs and resources required to support effective communication and engagement with people, workers and relevant others
- c you ensure that workers have the skills, ability and time to support people to identify their communication needs, skills and abilities and where additional support is required
- d you communicate, and ensure that workers communicate with people, other workers and relevant others in ways that:
 - 1 demonstrate active listening
 - 2 are appropriate to the confidentiality requirements of the communication, its message and its urgency
 - 3 can be understood and are accessible by all who have the right to receive the communication
 - 4 respect the **rights**, needs, skills and abilities of those receiving the communication
 - 5 use the people's preferred method of communication and language
- e you work with people, workers and relevant others to review existing communication systems and practice to identify those:
 - 1 that are beneficial, promote effective communication and support the achievement of positive outcomes
 - 2 that need improvement
- f you evaluate relevant information to revise communication systems, procedures and practice to:
 - 1 better meet the communication needs of people, workers and relevant others
 - 2 meet the continually changing communication needs (technical and manual) of the provision
 - 3 ensure the security and effective sharing of information
- g you identify positive solutions to support the communication needs of people, workers, relevant others and the provision.

Unit LMC E1

Lead and manage effective communication that promotes positive outcomes for people within care services

Element LMC E1.2

Ensure that management information systems support the delivery of positive outcomes for people and your provision

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practices for managing information in the context of legislation, regulation, inspection and organisational requirements
- b you implement and review the effectiveness of systems, procedures and practice to ensure that management information is secure, appropriately protected and only accessible to individuals and organisations that have a right to access it
- c you ensure that workers and relevant others have the correct security clearance and have signed any disclosure documents before access to information is given
- d you work with people, workers and relevant others to assess the effectiveness of existing management information systems and procedures in:
 - 1 meeting legislation, regulation, registration, inspection and organisational requirements for information
 - 2 meeting the information needs of the provision, people, workers and relevant others
 - 3 providing information that contributes to the delivery of positive outcomes for people
 - 4 providing information required for performance management indicators
 - 5 providing information from which future plans can be developed
 - 6 providing information about the need for resources currently and into the short, medium and longer-term future
 - 7 identifying risks, opportunities, weaknesses and strengths for the provision and the people within it
- e you evaluate the effectiveness of management information systems for yourself, people, workers, relevant others, identifying:
 - 1 areas where management information systems are effective
 - 2 making recommendations for changes and improvements.

Unit LMC E1

Lead and manage effective communication that promotes positive outcomes for people within care services

Element LMC E1.3

Manage and maintain recording and reporting systems and procedures and use them effectively

Performance Criteria

You need to show that:

- a you implement and review the effectiveness of systems, procedures and practices for recording and reporting:
 - 1 to ensure that workers and relevant others have the correct security clearance before they access records and reports
 - 2 to ensure records and reports are completed accurately and within appropriate timescales
 - 3 in the context of legislation, registration, regulation, inspection and organisational requirements
- b you ensure that you and your workers understand, meet and follow confidentiality requirements and procedures when accessing, reviewing and storing records and reports
- c you ensure that you and your workers are able to access and use systems to record and report accurate, up-to-date and clear information about people, including:
 - 1 actions and tasks undertaken to support the achievement of positive outcomes for people
 - 2 the achievement of positive outcomes and steps towards them
 - 3 changes that indicate improvement, deterioration and the need for action
 - 4 changes that indicate increased risk of harm
- d you analyse the training needs of workers and ensure that they are provided with appropriate training, support and supervision to enable them to record and report effectively
- e you ensure that people:
 - 1 have access to records and reports on themselves in an appropriate and accessible format
 - 2 are supported to understand and seek clarification about the content of the records and reports and any implications these may have for them
 - 3 have the right to challenge, complain about and have recorded their concerns about any records and reports they consider do not accurately reflect their perception of the situation, event or communication
- f you record and report, and ensure that workers record and report in ways that:
 - 1 clearly differentiate between fact and opinion
 - 2 are accurate, verified and completed within appropriate timescales
 - 3 can be understood by all who have the right to access the records and reports
 - 4 identify procedures and protocols followed
 - 5 use evidence to describe events and actions
 - 6 use evidence to explain judgements and decisions made by yourself and others
 - 7 identify any conflicts that occurred and how they were handled
- g you ensure that records and reports are passed on to and received back from people and organisations who need to take action and/or provide signatures and approvals

- h you receive, discuss and take action in response to feedback on records and reports
- i you monitor and review:
 - 1 the accuracy and appropriateness of records and reports
 - 2 the operation of systems, procedures and practice to ensure the security of data and information
 - 3 the effectiveness of systems, procedures and practice for the appropriate sharing of information

Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title E1.1 Manage effective communication

Item of evidence	Loc.	Ref	Link to performance criteria (✓)							Link to knowledge ref
			a	b	c	d	e	f	g	

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title E1.2 Ensure that management information systems support the delivery of positive outcomes for people and your provision...

Item of evidence	Loc.	Ref	Link to performance criteria (✓)					Link to knowledge ref
			a	b	c	d	e	

Location key: p = portfolio, o = office (add further categories as appropriate)(*photocopy as required*)

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Form N/SVQ10

Evidence location and summary sheet – version 1



Candidate name

Unit/element number/title E1.3 Manage and maintain recording and reporting systems and procedures and use them effectively...

Item of evidence	Loc.	Ref	Link to performance criteria (✓)									Link to knowledge ref
			a	b	c	d	e	f	g	h	i	

Location key: p = portfolio, o = office (add further categories as appropriate)

(photocopy as required)

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Unit LMC E1 **Lead and manage effective communication that promotes positive outcomes for people within care services**

Knowledge specification for the whole of this unit

Competent leadership and management practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent leadership and management in the performance described in this unit.

When using this specification it is important to read the knowledge requirements in relation to expectations and requirements of your job role and the content of this unit

You need to show that you know, understand and can apply in your management practice:

Values

- 1 Legal and organisational requirements on equality, diversity, discrimination, rights, confidentiality and sharing of information in relation to leading and managing effective communication that promotes positive outcomes for people
- 2 Knowledge and practice that underpin the holistic person centred approach which enable you to lead and manage the development and maintenance of systems, procedures and practice to manage risks and comply with health and safety requirements, in ways that:
 - a place the people's preferences at the centre of everything you do whilst considering their best interests
 - b ensure people have access to information about themselves in a format that they can understand
 - c provide opportunities for **independent representation and advocacy**
 - d use a person's preferred communication methods and language
 - e provide active support for people
 - f recognise the uniqueness of people and their circumstances
 - g empower people to take responsibility (within any restrictions placed upon them) and communicate their decisions about their own lives, as far as they are able
- 3 How to critically evaluate and take informed action against discrimination when leading and managing effective communication that promotes positive outcomes for people
- 4 How to support people, workers and relevant others to recognise and take informed action against discrimination
- 5 Methods and ways of communicating that:
 - a support equality and diversity
 - b support the rights of people to communicate in their preferred way, media and language
 - c are ethical and adhere to any codes of practice relevant to your work
 - d respect other people's ideas, values and principles
 - e ensure people's dignity and rights when identifying and overcoming barriers to communication
- 6 How to manage ethical dilemmas and conflicts for individuals, those who use services and workers/colleagues, about communication, recording and reporting

Legislation and policy

- 7 Regulation, inspection requirements, codes of practice and conduct, standards and guidance for employers and employees, relevant to:
 - a your provision
 - b your own roles, responsibilities and accountability
 - c the roles, responsibilities and accountability of others
 - d in relation to leading and managing effective communication that promotes positive outcomes for people
- 8 Current local, national, UK, European and international legislation, standards, guidance and organisational requirements for the leadership and management of communication within your provision, including:
 - a the need to achieve positive outcomes for people
 - b the need to safeguard and protect people from all forms of danger, harm and abuse
 - c employment practices for the provision and service
 - d your provision's governance arrangements
 - e data protection, recording and reporting
 - f making and dealing with comments and complaints to improve services
 - g whistle-blowing
 - h partnership and other types of working
 - i promoting your provision's services and facilities
- 9 Organisational requirements for recording and reporting on communication systems, procedures and practice, including:
 - a how reports and records should be accessed, manually and through Information and Communication Technologies (ICT)
 - b how to ensure that records and reports do not contribute to labelling and stigmatisation
 - c the security requirements for different records and reports
 - d the requirements for producing, finalising and sharing different types of records and reports appropriately and within required timescales
 - e types of data, information and presentation methods appropriate to specific records and reports and the specific needs of people
 - f the importance of identifying whether the source is based on evidence, fact or knowledge-based opinion
 - g how and when to use evidence, fact and knowledge-based opinion to support professional judgement in records and reports
- 10 How to implement, evaluate and influence the future development of management information systems, processes and procedures to enable effective communication that promotes positive outcomes for people

Leadership and management theory and practice

- 11 How to critically evaluate and implement best practice using up-to-date knowledge of:
 - a literature related to leadership and management of communications and information to support positive outcomes for people
 - b leadership and management methods, principles and approaches relevant to managing information and communications within your provision
 - c government reports, inquiries and research relevant to leadership and management of information and communication in your provision
 - d evidence and knowledge-based theories and models of good practice in leadership and management of information and communication to promote positive outcomes for people
 - e lessons learned for leadership and management of information and communications, from successful interventions and serious failure of service and practice
 - f the experiences of people with the management, sharing, recording and reporting of information about themselves

- 12 Performance management and quality requirements, procedures, criteria, methods and indicators relevant to developing communications systems, procedures and practices within the provision
- 13 Methods of managing and developing practice for communicating in ways that promote positive outcomes for people, about:
 - a how you consult with people, workers and relevant others
 - b how you promote the participation and involvement of people
 - c how you support, supervise and develop workers
 - d the impact on the provision of organisational behaviour
 - e group and individual processes
 - f how power relationships can be used and abused
- 14 How to plan and manage resources, in relation to communications systems, procedures and practices, and the implications for:
 - a the delivery of services
 - b the achievement of targets
 - c the achievement of positive outcomes
- 15 Different types of change and their implications for the leadership and management of communications to promote positive outcomes for people
- 16 How psychological, socio-economic, cultural and environmental factors of those within the provision impact on your leadership and management of communication and engagement within the provision
- 17 How and where technology can and should be used to support communications within your provision and when working with external individuals, professionals and organisations
- 18 Evidence and knowledge-based theories and models of good practice in:
 - a communication (including verbal and non-verbal communications)
 - b barriers to communication and how to overcome these
 - c active listening
- 19 Theories about:
 - a human growth and development and how this can influence and affect communication abilities
 - b communication abilities and skills and their impact on a person's identity, self-esteem and self-image
 - c power relationships and how these can be used and abused when communicating with children/young people and vulnerable adults
- 20 Multi-disciplinary, inter-professional and multi-organisational communication, systems and practice, including security clearance requirements
- 21 How different philosophies, principles, priorities and codes of practice can affect inter-agency and partnership communications and working
- 22 Methods of supporting people to express their wishes, needs and preferences about their preferred methods of communication and language
- 23 How to access, resource and use specific equipment to enable people to receive and respond to information and communications
- 24 Communication systems, structures and practice and how to evaluate and improve these
- 25 Methods of working which facilitate conflict resolution when communicating with people
- 26 The range of skills, styles and methods that promote good communication
- 27 How and where to access specialist help, advice and support for people with communication differences and difficulties
- 28 Knowledge about deteriorating and sudden loss of communication and how this can impact on a person's social, emotional, intellectual and physical well being
- 29 How to support workers and people to identify signs that communication skills are deteriorating and may need to be corrected or supported by technological and other media
- 30 How to support people to see the benefits of technological and other aids to communication
- 31 How to support people, families, carers and significant others to respect the needs of those who need technological and other aids to communicate

Appendix 1 Key Skills Signposting

This qualification provides opportunities to gather evidence for the accreditation of Key Skills as shown in the table below. However, to gain Key Skills certification, the Key Skills would need to be taken as additional qualifications.

Introduction

A X shows where substantial opportunities exist within the NVQ unit for development of the specified key skill.

A Y shows where opportunities for development of the specified key skill may exist depending on the context within which the NVQ unit is achieved.

✓	Key skill can be fully met with the evidence that is used for the standard
x	Key skill not met by the standard
#	Key skill could be met but might require additional evidence/work
✓ ₁	Not explicit that a written document is required which is a key skill specification

Level 4 Key Skills

Key Skills component	What you must do
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Application of number Level 4

N4.1	Develop a strategy for using application of number skills over an extended period of time
N4.2	Monitor progress and adapt your strategy, as necessary, to achieve the quality of outcomes required in work involving: <ul style="list-style-type: none">• algebraic manipulation• deductive and inferential reasoning
N4.3	Present outcomes and evaluate your overall strategy, using at least one presentation, including use of charts, diagrams and graphs

Communication Level 4

C4.1	Develop a strategy for using communication skills over an extended period of time
C4.2	Monitor progress and adapt your strategy, as necessary, to achieve the quality of outcomes required in work involving at least: <ul style="list-style-type: none">• one group discussion about a complex subject• one document of 1000 words or more about a complex subject
C4.3	Evaluate your overall strategy and present the outcomes from your work, using at least one formal oral presentation. Include a variety of verbal, visual and other techniques to illustrate your points

Improving Own Learning and Performance Level 4

IL4.1	Develop a strategy for improving your own learning and performance
IL4.2	Monitor progress and adapt your strategy to improve your performance
IL4.3	Evaluate your strategy and present the outcomes of your learning

Information and Communication Technology Level 4

IT4.1	Develop a strategy for using ICT skills over an extended period of time
IT4.2	Monitor progress and adapt your strategy, as necessary, to achieve the quality of outcomes required in work involving the use of ICT for two different purposes
IT4.3	Evaluate your overall strategy and present the outcomes from your work using at least one presentation, showing integration of text, images and number

Problem Solving Level 4

PS4.1	Develop a strategy for problem solving
PS4.2	Monitor progress and adapt your strategy for solving the problem
PS4.3	Evaluate your strategy and present the outcomes of your problem-solving skills

Working With Others

WO4.1	Develop a strategy for working with others
WO4.2	Monitor progress and adapt your strategy to achieve agreed objectives
WO4.3	Evaluate your strategy and present the outcomes from your work with others

NOS	KEY SKILLS					
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance
Leadership and Management for Care Services CORE UNITS						
Unit LMC A1 Manage and develop yourself and your workforce						
LMC A1.1 Manage and develop self in management and leadership roles	✓ ₁	✗	#	✓	✓	✓
LMC A1.2 Manage and develop workers through supervision and performance reviews	✓ ₁	✗	#	✓	✓	✓
LMC A1.3 Lead and manage continuous improvement in the provision	✓ ₁	✗	#	✓	✓	✓
LMC A1.4 Enhance the quality and safety of the provision through workforce development	✓	✗	✓	✓	✓	✓
Unit LMC B1 Lead and manage provision that respects, protects and promotes the rights and responsibilities of people						
LMC B1.1 Lead and manage provision that complies with legislation, registration, regulation and inspection requirements	✓	✗	✓	✓	✓	#
LMC B1.2 Lead and manage provision that promotes the rights and responsibilities	✓ ₁	✗	✓	✓	✓	#
LMC B1.3 Lead and manage provision that protects people	✓ ₁	✗	✓	✓	✓	#

NOS	KEY SKILLS					
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance
Leadership and Management for Care Services CORE UNITS						
Unit LMC C1 Develop and maintain systems, procedures and practice to manage risks and comply with health and safety requirements						
LMC C1.1 Implement and monitor compliance with health and safety requirements	✓	x	✓	✓	✓	#
LMC C1.2 Promote a culture where needs and risks are balanced with healthy and safe practice	✓	x	✓	✓	✓	#
LMC C1.3 Monitor and review systems, procedures and practice for the management of risk	✓	x	✓	✓	✓	#
Unit LMC E1 Lead and manage effective communication that promotes positive outcomes for people within care services						
LMC E1.1 Manage effective communication	✓	x	#	✓	✓	#
LMC E1.2 Ensure that management information systems support the delivery of positive outcomes for people and the provision	✓	x	✓	✓	✓	#
LMC E1.3 Manage and maintain recording and reporting systems and procedures and use them effectively	✓	x	✓	✓	✓	#

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC A2 Facilitate and manage change through reflective, motivating and flexible leadership							
LMC A2.1 Develop and lead the implementation of a shared vision for your provision	✓ ₁	✗	#	✓	✓	#	
LMC A2.2 Develop a culture that is open and facilitates participation	✓ ₁	✗	#	✓	✓	#	
LMC A2.3 Promote a positive image of your provision and its contribution to the lives of people	✓	✗	✓	✓	✓	#	
Unit LMC A3 Actively engage in the safe selection and recruitment of workers and their retention in care services							
LMC A3.1 Review the requirements for the safe selection and recruitment of workers and their retention	✓ ₁	✗	#	✓	✓	#	
LMC A3.2 Actively engage in the safe selection and recruitment of workers	✓ ₁	✗	#	✓	✓	#	
LMC A3.3 Implement systems, procedures and practice to support retention of workers	✓ ₁	✗	#	✓	✓	#	
Unit LMC A4 (HSC 446) Manage a dispersed workforce to meet the needs and preferences of individuals at home							
LMC A4.1 Manage the work of staff in an individual's home	C4.1	✗	IT4.1	WO4.1	PS4.1	✗	
LMC A4.2 Supervise and support staff to ensure that health and care services are meeting individual needs and preferences	C4.2			WO4.2	PS4.2		
LMC A4.3 Respond to day-to-day changes and emergencies	C4.3 ³			WO4.3 ³	PS4.3 ³		

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC A5 (MSC D6) Allocate and monitor the progress and quality of work in your area of responsibility (This unit has no elements)							
D5 Allocate and monitor the progress and quality of work in your area of responsibility	4	3	/	4	4	3	5
Unit LMC B2 Lead and manage provision that promotes the well being of people							
LMC B2.1 Lead and manage provision that involves people in decisions about the outcomes they wish to achieve	✓ ¹	✗	#	✓	✓	#	
LMC B2.2 Lead and manage provision that promotes people's social, emotional, cultural, spiritual and intellectual well being	✓ ¹	✗	#	✓	✓	#	
LMC B2.3 Lead and manage provision that promotes people's health	✓ ¹	✗	#	✓	✓	#	
Unit LMC B3 Manage provision that deals effectively with transitions and significant life events							
LMC B3.1 Implement systems, procedures and practice to support people through transitions and significant life events	✓ ¹	✗	#	✓	✓	#	
LMC B3.2 Lead and manage provision that supports people to deal effectively with transitions and significant life events	✓ ¹	✗	#	✓	✓	#	
LMC B3.3 Implement and review systems, procedures and practice for sharing information on transitions and significant life events	✓ ¹	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC B4 Manage provision that supports parents, families, carers and significant others to achieve positive outcomes							
LMC B4.1 Manage effective working partnerships with parents, carers, families and significant others	✓ ₁	✗	#	✓	✓	#	
LMC B4.2 Manage systems and procedures to involve parents, carers, families and significant others	✓ ₁	✗	#	✓	✓	#	
LMC B4.3 Support workers to manage situations where there is conflict	✓ ₁	✗	#	✓	✓	#	
Unit LMC B5 Manage and evaluate systems, procedures and practices for assessments, plans and reviews							
LMC B5.1 Ensure that workers are competent to carry out assessments, plans and reviews	✓ ₁	✗	#	✓	✓	#	
LMC B5.2 Manage the involvement of people in evaluating the effectiveness of assessments, plans and reviews	✓ ₁	✗	#	✓	✓	#	
LMC B5.3 Evaluate systems, procedures and practices for reviewing the effectiveness of assessments, plans and reviews	✓	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC B6 Lead and manage provision that promotes the development of children and young people							
LMC B6.1 Implement and monitor policies, systems, procedures and practice for the development of children and young people	✓ ₁	✗	#	✓	✓	✓	
LMC B6.2 Lead and manage provision that supports children and young people's development and achievements	✓ ₁	✗	#	✓	✓	#	
LMC B6.3 Lead and manage provision that promotes development through engagement, relationship-based, child centred practice	✓ ₁	✗	#	✓	✓	#	
Unit LMC B7 Lead and manage group living provision							
LMC B7.1 Develop the physical environment	✓ ₁	✗	#	✓	✓	#	
LMC B7.2 Plan, implement and review daily living programmes	✓	✗	#	✓	✓	#	
LMC B7.3 Use group procedures to promote positive outcomes for people	✓ ₁	✗	#	✓	✓	#	
LMC B7.4 Manage a provision that promotes group care as a positive experience	✓ ₁	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC B8 Lead and manage provision that promotes positive behaviour							
LMC B8.1 Implement and monitor behaviour policies, systems, procedures and practices	✓	✗	#	✓	✓	#	
LMC B8.2 Promote positive behaviour	✓ ¹	✗	#	✓	✓	#	
LMC B8.3 Support workers to promote positive behaviour	✓	✗	#	✓	✓	✓	
Unit LMC C2 (HSC 450) Develop risk management plans to support individual's independence and daily living within their home							
LMC C2.1 Prepare to carry out risk assessments	C4.1	✗	IT4.1	WO4.1	PS4.1	✗	
LMC C2.2 Carry out risk assessments	C4.2	✗	✗	WO4.2	PS4.2	✗	
LMC C2.3 Develop, agree and regularly review risk management plans for individuals	C4.3 ³	✗	✗	WO4.3 ³	PS4.3 ³	✗	
Unit LMC D1 Lead and manage work with networks, communities, other professionals and organisations							
LMC D1.1 Manage effective working relationships with networks and communities	✓ ¹	✗	#	✓	✓	#	
LMC D1.2 Create and maintain effective working relationships and partnerships with other professionals and organisations	✓	✗	#	✓	✓	#	
LMC D1.3 Contribute to the development of local strategies and services	✓ ¹	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC D2 Manage workers who are based in external multi-disciplinary teams							
LMC D2.1 Establish and manage relationships to support workers based in external multi-disciplinary teams	✓ ₁	✗	#	✓	✓	#	
LMC D2.2 Promote effective procedures, protocols and practices for workers based in external multi-disciplinary teams	✓	✗	#	✓	✓	#	
LMC D2.3 Ensure workers based in multi disciplinary teams have opportunities for continuing professional development	✓ ₁	✗	#	✓	✓	#	
Unit LMC D3 Lead and manage inter-professional teams							
LMC D3.1 Promote effective inter-professional team working	✓ ₁	✗	#	✓	✓	#	
LMC D3.2 Ensure effective relationships with supervisors from other professionals	✓ ₁	✗	#	✓	✓	#	
LMC D3.3 Promote effective team working	✓	✗	#	✓	✓	✓	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC E2 Identify, implement and evaluate systems, procedures and practice that measure performance							
LMC E2.1 Identify indicators and methods to measure the performance of the provision	✓ ₁	✗	#	✓	✓	#	
LMC E2.2 Implement and monitor systems, procedures and practice to measure performance	✓ ₁	✗	#	✓	✓	#	
LMC E2.3 Evaluate performance measurement systems, procedures and practice	✓	✗	#	✓	✓	#	
Unit LMC E3 Monitor and manage the quality of the provision							
LMC E3.1 Implement systems, procedures and practice to meet quality standards	✓	✗	#	✓	✓	#	
LMC E3.2 Develop a culture for promoting quality in which everyone participates	✓ ₁	✗	#	✓	✓	#	
LMC E3.3 Implement, monitor and review quality systems, policies and procedures	✓	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC E4 Lead and manage provision that promotes opportunities, identifies constraints and manages risk							
LMC E4.1 Identify and evaluate opportunities and constraints for the future development and viability of your provision	✓ ¹	✗	#	✓	✓	#	
LMC E4.2 Evaluate the nature and significance of any risks to your provision	✓	✗	#	✓	✓	#	
LMC E4.3 Assess and manage risk for the continuing development and viability of your provision	✓ ¹	✗	#	✓	✓	#	
Unit LMC E5 Plan operations and manage resources to meet current and future demands on the provision							
LMC E5.1 Develop and review operational plans for the provision	✓	✗	#	✓	✓	#	
LMC E5.2 Manage time and resources to deliver positive outcomes for people	✓	✗	#	✓	✓	#	
LMC E5.3 Evaluate whether and to what extent resources meet current and future demands	✓	✗	#	✓	✓	#	

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC E6 Contribute to the strategic policies of the service							
LMC E6.1 Evaluate the impact of strategic policies on the provision	✓	✗	#	✓	✓	#	
LMC E6.2 Evaluate and implement strategic plans for the development of your provision	✓ ₁	✗	#	✓	✓	#	
LMC E6.3 Provide feedback on strategic policies to influence the direction of the service	✓ ₁	✗	#	✓	✓	#	
Unit LMC E7 Develop, implement and review business plans and planning for your provision							
LMC E7.1 Develop a business plan for your provision	✓	✗	#	✓	✓	#	
LMC E7.2 Implement, monitor and review the business plan	✓	✗	#	✓	✓	#	
LMC E7.3 Evaluate policies, procedures and practices for the business planning	✓	✗	#	✓	✓	#	
Unit LMC E8 (MSC E2) Manage finances for your area of responsibility (This unit has no elements)							
LMC E8 Manage finances for your area of responsibility	4	4	/	4	4	2	5

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC E9 Manage procedures for making, responding to and learning from comments and complaints							
LMC E9.1 Implement and review systems, procedures and practice for the receipt of comments and complaints	✓ ₁	✗	#	✓	✓	#	
LMC E9.2 Ensure that lessons are learned from comments and complaints	✓ ₁	✗	#	✓	✓	#	
LMC E9.3 Evaluate the effectiveness of complaints systems, procedures and practice	✓	✗	#	✓	✓	#	
Unit LMC E10 Ensure policies, procedures and practice for the conduct of workers are adhered to							
LMC E10.1 Ensure conduct within the provision complies with legislation, regulation, inspection and organisational requirements	✓ ₁	✗	#	✓	✓	#	
LMC E10.2 Implement disciplinary and grievance procedures	✓ ₁	✗	#	✓	✓	#	
LMC E10.3 Arrange, conduct and report on disciplinary hearings	✓	✗	#	✓	✓	#	
Unit LMC E11 (MSC F1) Manage a project (This unit has no elements)							
LMC E11 Manage a project	4	4	/	4	4	3	5

NOS	KEY SKILLS						
	Communication	Application of Number	Information Technology	Working with Others	Problem Solving	Improving Own Learning and Performance	Personal Skills
Leadership and Management for Care Services OPTIONAL UNITS							
Unit LMC E12 (MSC F2) Manage a programme of complimentary projects (This unit has no elements)							
LMC E11 Manage a project	4	4	/	4	4	4	5
Unit LMC E13 Market, cost and contract to ensure the viability of the provision							
LMC E13.1 Identify potential markets and cost service	✓ ¹	✗	#	✓	✓	#	
LMC E13.2 Negotiate contracts to ensure the continuing development and functioning of the provision	✓	✗	#	✓	✓	#	
LMC E13.3 Monitor and evaluate marketing and contacting systems, procedures and practices for the provision	✓	✗	#	✓	✓	#	

Appendix 2

Accreditation, national frameworks and qualification level descriptors

Please visit the following websites to find information on accreditation, national frameworks and qualification level descriptors in each country.

Nation	Who to contact	Website
England	The Qualifications and Curriculum Authority	www.qca.org.uk
Scotland	The Scottish Qualifications Authority	www.sqa.org.uk
Wales	The Department for Education, Lifelong Learning and Skills Wales	www.new.wales.gov.uk
Northern Ireland	The Council for Curriculum, Examinations and Assessment	www.ccea.org.uk

Appendix 3 Obtaining centre and qualification approval

Only approved organisations can offer City & Guilds qualifications. Organisations approved by City & Guilds are referred to as **centres**.

Centres must meet a set of quality criteria including:

- provision of adequate physical and human resources
- clear management information systems
- effective assessment and quality assurance procedures including candidate support and reliable recording systems.

An organisation that has not previously offered City & Guilds qualifications must apply for approval to become a centre. This is known as the **centre approval process (CAP)**. Centres also need approval to offer a specific qualification. This is known as the **qualification approval process (QAP)**, (previously known as scheme approval). In order to offer this qualification, organisations which are not already City & Guilds centres must apply for centre and qualification approval at the same time. Existing City & Guilds centres will only need to apply for qualification approval for the particular qualification.

Full details of the procedures and forms for applying for centre and qualification approval are given in *Providing City & Guilds qualifications - a guide to centre and qualification approval*, which is also available on the City & Guilds centre toolkit, or downloadable from the City & Guilds website.

Regional / national offices will support new centres and appoint a Quality Systems Consultant to guide the centre through the approval process. They will also provide details of the fees applicable for approvals.

Assessments must not be undertaken until qualification approval has been obtained.

City & Guilds reserves the right to withdraw qualification or centre approval for reasons of debt, malpractice or non-compliance with City & Guilds' policies, regulations, requirements, procedures and guidelines, or for any reason that may be detrimental to the maintenance of authentic, reliable and valid qualifications or that may prejudice the name of City & Guilds. Further details of the reasons for suspension and withdrawal of approval, procedures and timescales, are contained in *Providing City & Guilds qualifications*.

Approval for global online assessment (GOLA)

In addition to obtaining centre and qualification approval, centres are also required to set up a GOLA profile in order to offer online examinations to candidates. Setting up a GOLA profile is a simple process that need only be completed once by the centre.

Details of how to set up the profile and GOLA technical requirements are available on the City & Guilds website (www.cityandguilds.com/e-assessment). The GOLA section of the website also has details of the GOLA helpline for technical queries and downloads for centres and candidates about GOLA examinations.

Centres should also refer to *Providing City & Guilds qualifications - a guide to centre and qualification approval* for further information on GOLA.

Appendix 4 Summary of City & Guilds assessment policies

Health and safety

The requirement to follow safe working practices is an integral part of all City & Guilds qualifications and assessments, and it is the responsibility of centres to ensure that all relevant health and safety requirements are in place before candidates start practical assessments.

Should a candidate fail to follow health and safety practice and procedures during an assessment, the assessment must be stopped. The candidate should be informed that they have not reached the standard required to successfully pass the assessment and told the reason why. Candidates may retake the assessment at a later date, at the discretion of the centre. In case of any doubt, guidance should be sought from the external verifier.

Equal opportunities

It is a requirement of centre approval that centres have an equal opportunities policy (see *Providing City & Guilds qualifications*).

The regulatory authorities require City & Guilds to monitor centres to ensure that equal opportunity policies are being followed.

The City & Guilds equal opportunities policy is set out on the City & Guilds website, in *Providing City & Guilds qualifications*, in the *Online Catalogue*, and is also available from the City & Guilds Customer Relations department.

Access to assessment

Qualifications on the National Qualifications Framework are open to all, irrespective of gender, race, faith, age or special needs. The centre co-ordinator should ensure that no candidate is subject to unfair discrimination on any ground in relation to access to assessment and the fairness of the assessment.

City & Guilds' *Access to assessment and qualifications guidance and regulations* document is available on the City & Guilds website. It provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

Access arrangements are pre-assessment adjustments primarily based on history of need and provision, for instance the provision of a reader for a visually impaired candidate.

Special consideration refers to post-examination adjustments to reflect temporary illness, injury or indisposition at the time of the assessment.

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Appeals

Centres must have their own, auditable, appeals procedure that must be explained to candidates during their induction. Appeals must be fully documented by the quality assurance co-ordinator and made available to the external verifier or City & Guilds.

Further information on appeals is given in *Providing City & Guilds qualifications*. There is also information on appeals for centres and learners on the City & Guilds website or available from the Customer Relations department.

Appendix 5 Funding

City & Guilds does not provide details on funding as this may vary between regions.

Centres should contact the appropriate funding body to check eligibility for funding and any regional/national arrangements which may apply to the centre or candidates.

Centres need to ensure that for funding purposes there are no restrictions on candidates completing another qualification of the same type, level and content as that of a qualification they already hold.

Centres need to ensure that for funding purpose of the same type, level and content as that of a qualification they already hold.

Please see the table below for where to find out more about the funding arrangements.

Nation	Who to contact	For higher level qualifications
England	<p>The Learning and Skills Council (LSC) is responsible for funding and planning education and training for over 16-year-olds. Each year the LSC publishes guidance on funding methodology and rates. There is separate guidance for further education and work-based learning.</p> <p>Further information on funding is available on the Learning and Skills Council website at www.lsc.gov.uk and, for funding for a specific qualification, on the Learning Aims Database http://providers.lsc.gov.uk/lad.</p>	<p>Contact the Higher Education Funding Council for England at www.hefce.ac.uk.</p>
Scotland	<p>Colleges should contact the Scottish Further Education Funding Council, at www.sfc.co.uk.</p> <p>Training providers should contact Scottish Enterprise at www.scottish-enterprise.com or one of the Local Enterprise Companies.</p>	<p>Contact the Scottish Higher Education Funding Council at www.shefc.ac.uk.</p>
Wales	<p>Centres should contact the Welsh Assembly Government www.learning.wales.gov.uk</p> <p>0845 010 3300 – bilingual greeting, or 0845 010 4400 – Welsh language greeting</p>	<p>Centres should contact the Welsh Assembly Government www.learning.wales.gov.uk</p> <p>0845 010 3300 – bilingual greeting, or 0845 010 4400 – Welsh language greeting</p>
Northern Ireland	<p>Please contact the Department for Employment and Learning at www.delni.gov.uk.</p>	<p>Please contact the Department for Employment and Learning at www.delni.gov.uk.</p>

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