

End-Point Assessment Guidance and Specification for Leader in Adult Care ST0008/AP02 Level 5



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Summary of Revisions to End-Point Assessment Guidance and Specification

Summary of Revisions	Assessment Plan Revised Version Number	Date of Revision
Update to New Style Gateway Declaration Record – Appendix 1	n/a	From 01/08/2022
Transfer of External Quality Assurance Provider (EQAP) from NSAR to Ofqual	n/a	From 31/12/2022

Overview

The end-point assessment in this specification relates to the Leader in Adult Care Apprenticeship ST0008 version AP02. The apprenticeship is at Level 5 and is for apprentices provide support, guide and inspire team members to make positive differences to the life of individuals who use the service when they are faced with physical, practical, social, emotional, psychological or intellectual challenges.

A Leader in Adult care will have achieved a level of self-development to be recognised in this role, contributing to, promoting and sustaining a values-based culture at an operational level. They may be responsible for:

- Business development.
- Financial control.
- Organisational resilience and continuity.
- Risk Management.
- Leading on organisational change.

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

A Leader in Adult Care may work in residential or nursing homes, domiciliary care, day centres, a person's own home or some clinical healthcare settings.

As well as covering Leaders in Adult Care this standard also covers Personal Assistants who operate in a management role but they may only work directly for one individual who needs support and/or care services.

The typical duration for this apprenticeship is 18 months but this will depend on apprentices' previous experience and their access to opportunities to gain the full range of competences. The minimum duration of training for any apprenticeship is 366 days, before entering end-point assessment.

To achieve the apprenticeship certificate, apprentices are required to successfully complete their on-programme period of learning and development and the end-point assessment. The purpose of the end-point assessment is to confirm that apprentices have met the required level of knowledge, skills and behavioural standards set by employers.

The overall apprenticeship is graded as pass/distinction.

To achieve the apprenticeship certificate, apprentices are required to successfully complete the:

- On-programme period of training and development, including achieving the required Level 2 mathematics and English qualifications.
- End-point assessment (EPA) - all components, within the assessment window.

The certificate for the apprenticeship is awarded by the Institute for Apprentices and Technical Education (IfATE) through a process administered by the Education and Skills Funding Agency (ESFA).

As the end-point assessment organisation, Professional Assessment Ltd will claim for the certificate on behalf of the apprentices. Certificates are sent to the nominated employer and it is the employer's responsibility to ensure the apprentice receives the certificate.

The standards and accompanying assessment plan can be accessed via [the Institute for Apprenticeships and Technical Education](#).

Standard Title	Leader in Adult Care
Level	5
Standard and Version Number	ST0008/AP02
LARS Number	537
Named EQA organisation	Ofqual
Duration of Apprenticeship	Typically 18 months but the actual length of the apprenticeship will be decided by the employer. Within this are contained the development of the knowledge, skills and behaviours required to do the role, any on-programme assessment that the employer chooses to do, the gateway and the end-point assessment.
Duration of End-Point Assessment	3 months
Date the Assessment Plan scheduled is for review	This standard should be reviewed within 3 years of its approval date
Mandatory Qualifications within the Standard	To meet the apprenticeship standards, apprentices must achieve: <ul style="list-style-type: none">• A minimum of Level 2 Maths and Level 2 English and• Level 5 Diploma in Leadership and Management for Adult Care
End-Point Assessment Methods	The end-point assessment is designed to test the apprentice throughout the entire standard, the assessment methods used to achieve this are as follows: <ul style="list-style-type: none">➤ Observation of Leadership➤ Professional Discussion

Introduction

This handbook contains the relevant information and guidance required of apprentices to achieve the end-point assessment for the Leader in Adult Care Apprenticeship and should be used in conjunction with the Leader in Adult Care ST0008/AP02 Padlet¹ – Assessment Information for Apprentices, Providers and Employers.

The overarching aim of the end-point assessment is to ensure that the apprentice meets the standard set out by employers of the relevant sector and that they are fully competent within their job roles. An apprentice must successfully complete all the end-point assessment components to receive the apprenticeship certificate.

¹ A Padlet is an on-line wiki-based resource, made available to all PAL clients. Resources are updated centrally, so the latest information can be accessed via the Padlet

References to third-party material made in this specification are made in good faith. Professional Assessment Ltd does not endorse, approve or accept responsibility for the content of materials, which may be subject to change, or any opinions expressed therein. (Material may include textbooks, journals, magazines and other publications and websites.)

All information in this specification is correct at time of publication.

Professional Assessment Ltd (PAL) has worked in close collaboration with employers, other assessment organisations and experts from professional bodies and providers in developing the assessment tools for this end-point assessment. We are grateful to all who have generously shared their time and expertise to help us in the development process.

The end-point assessment (EPA) is a synoptic assessment of the knowledge, skills and behaviours outlined in the apprenticeship standard, which have been learned throughout the apprenticeship programme. The purpose of the end-point assessment is to make sure that the apprentice meets the standard in its entirety.

All apprentices must undertake the independent end-point assessment at the end of the on-programme phase of training when their employer, and in some cases their provider, is satisfied that they have met the 'gateway' criteria to undertake the assessment. Apprentices will not be awarded the apprenticeship certificate until they have successfully completed the end-point assessment.

The end-point assessment can be delivered only by a registered assessment organisation, which must be independent of the employer or any party involved in the delivery of the on-programme phase of the apprenticeship. In this context, independence, means without influence or bias and the assessor assigned is not affiliated to the employer or any training partner involved, and notably the independent assessor has played no part in the training of the apprentice.

All assessment decisions for this standard's end-point assessment must be made by the independent assessment organisation.

PAL has been working closely with occupational experts, employers and providers in the development of end-point assessment tools to ensure that they are:

- Valid and appropriate to assess occupational competence in the relevant industry and will deliver reliable outcomes.
- Fair to all apprentices and help them to make progress in their lives.
- Manageable for apprentices and the industry, and can be delivered effectively and efficiently in the vocational setting.

Apprenticeship Standard Objective

The overall goal of the end-point assessment is to ensure that the apprentice has met the required level of knowledge, skills and behavioural standards set by employers and approved by the Institute and that they are confident and competent in their role to take on responsibilities to deliver clearly defined business outcomes.

Progression

On completion of the apprenticeship, the apprentice could progress into a more operational senior role within organisations providing Adult Social Care Services.

Who is Professional Assessment (PAL)?

Professional Assessment Ltd provides services for providers to include colleges and employers involved in the delivery of apprenticeships and adult learning. Our offer includes:

- End-point assessment for a wide range of apprenticeship standards. Our dedicated team offers national coverage and has built up extensive experience in administering the latest end-point assessments.
- Compliance and audit services. Our funding compliance team tailor their support to meet your specific needs; from ad-hoc advice and support to full ESFA-style audits.

The link to our website can be located by clicking [here](#).

What is needed prior to end-point assessment?

The employer and provider must confirm that the apprentice has met the on-programme requirements and the apprentice is ready to undertake the end-point assessment.

The employer and provider must hold a 'Gateway' review to agree that the apprentice has gained the required level of knowledge, skills and behaviours, along with an English and maths qualification at a level 2 as set by the apprenticeship standard. *For those with an education, health and care plan or a legacy statement the apprenticeship's English and maths minimum requirement is Entry Level 3 and British Sign Language qualifications are an alternative to English qualifications for those whom this is their primary language.*

The apprentice must also have evidence of achievement of the L5 Diploma in Leadership and Management for Adult Care.

Please check with the EPA team via info@professionalassessment.co.uk if you do not know which qualifications are accepted. Evidence of qualifications must be in the form of a certificate.

To confirm this review has taken place, the employer, provider and apprentice are required to complete a Gateway Declaration Record, an example of which is included in the Appendix of this handbook², alternatively, providers and employers can use their documentation, with the caveat, that the document must record the information as stipulated on the Professional Assessment Declaration Gateway record.

Professional Assessment will not confirm an end-point assessment booking until the required evidence is submitted. For auditing purposes, the Gateway Declaration Record should either be signed or dated by all parties, or email/DVR confirmation provided that all parties have agreed on readiness.

Ideally, we also ask for the PAL apprenticeship certificate consent form, apprentice ID form and authentication of evidence form (where applicable) to be completed at the Gateway review and submitted. If the three documents are not made available at the gateway review, the independent end-point assessor will collect these documents, as part of the assessment planning process.

If the planning meeting is completed on-line, these documents will need to be shared as part of the assessment planning process and emailed to epasupportservices@professionalassessment.co.uk.

² The gateway record may change in design and content based, on revisions to standards - for the latest document please refer to the relevant Padlet that PAL will have provided training providers or can provide directly to employers and apprentices.

The recommended approach during the on-programme assessment (month 1-12) to ensure that the apprentice is on track is based on the employer's performance management process with the following key elements:

- Line manager uses the formal performance management process and regular 1:1s to discuss progress in the apprenticeship, provide feedback and guide development.
- The provider can support this (if required) by ensuring that the requirements of the apprenticeship are reflected in the performance management process and filling any gaps through their work with the apprentice.
- The provider can also support the apprentice on understanding the learning journey, providing advice and guidance on learning strategies and tools that will support the apprentice's preferred learning style and improve their learning agility.
- Regular check points between the line manager and provider (aligned with the performance management process) to ensure that the apprentice is on track and agree how any issues will be addressed.
- Apprentices should be strongly encouraged to create a learning record that contains examples of their learning and areas for development/action points as they go through the apprenticeship.
- The provider can carry out mock end-point assessments with the apprentice.

The Gateway decision regarding readiness will be taken by the line manager (or appropriate employer) representative and apprentice with input from the provider.

Language of assessment

All components of the end-point assessment will be conducted in English.

Apprentices may be assessed in British Sign Language where it is permitted for the purpose of reasonable adjustment.

Further information on special considerations and reasonable adjustments can be found in our Special Considerations and Reasonable Adjustments policy.

How is end-point assessment delivered?

The apprentice will be assessed to the apprenticeship standard using two discrete assessment methods. Each assessment method should directly assess the required knowledge, skills and behaviours of the standard.

The assessment activities will be completed by the end-point assessor as follows:

- Observation of Leadership.
- Professional Discussion.

There is no mandated assessment sequence. Assessments can be combined, so it is permissible to undertake more than one assessment on one day. Assessments must be completed over a maximum total time of two days within the three month end-point assessment period.

The content and structure of the assessment methods is provided by PAL to ensure consistency across all apprentices. The employer, with the support of the provider where appropriate, will work with the apprentice to agree how the apprentice goes about completing the components of the end-point assessment and will provide guidance along the way as required. The provider will ensure that the evidence presented for end-point assessment meets the assessment plan requirements, but does not have a role in the formal end-point assessment or grade decision.





In order to pass apprentices must achieve a pass in all assessment methods; apprentices who fail one or more method will fail the end-point assessment.





In order to achieve a distinction apprentices must achieve a distinction in the professional discussion.

If any assessment activity is failed it must be retaken. Apprentices cannot achieve the apprenticeship without gaining at least a pass in every assessment activity.

The following chart sets out the sequences of the Gateway review and end-point assessment.

Note – the assessments can be taken in any order.

Apprentice/Employer/Training Provider		PAL
Apprentice registered with PAL prior to the Gateway review.		<ul style="list-style-type: none"> ▪ ESFA advised of EPAO. ▪ EPAPro log-in credentials provided. ▪ Access to a range of assessment guidance materials available.
Gateway review held between training provider, employer and apprentice to confirm assessment readiness. <ul style="list-style-type: none"> • Evidence provided that English and maths requirements have been achieved. • Evidence of achievement of the L5 Diploma in Leadership and Management for Adult Care. 		<ul style="list-style-type: none"> ▪ Declaration received that the apprentice is ready for assessment. ▪ Gateway evidence received. ▪ PAL approves or rejects the Gateway evidence. If rejected, the provider to resubmit as required.
PAL contacts employer and apprentice. PAL undertakes assessment planning meeting and agrees assessment schedule.		<ul style="list-style-type: none"> ▪ Assessment plan completed. Dates will be agreed for all methods of assessment to meet with the Leader in Adult Care assessment plan and to allow for reasonable resit or retake activities within the assessment window, wherever possible. ▪ ID and certificate request confirmation confirmed. ▪ As part of the planning meeting, PAL will agree a suitable workplace activity for the observation of leadership assessment with the employer and apprentice. The apprentice has a minimum of 2 weeks and a maximum of 4 weeks to prepare for the assessment.
Apprentice submits any preparatory documents for the observation of practice to PAL no less than 7 days prior to assessment. The documents must be mapped to the required knowledge, skills and behaviours by the apprentice.		<ul style="list-style-type: none"> ▪ PAL receives the preparatory documents.

Apprentice/Employer/Training Provider		PAL
Apprentice undertakes the observation of leadership and verbal questioning.		<ul style="list-style-type: none"> ▪ Observation of leadership and questioning assessment completed. ▪ The observation activity must last for 60 minutes. ▪ The post-observation verbal questioning will take 30 minutes. ▪ The total assessment time of 90 minutes can be increased by 10% at the assessor's discretion to allow the apprentice to complete their last point. ▪ Practical demonstration and response to questions assessed. Assessment graded.
Apprentice undertakes the professional discussion.		<ul style="list-style-type: none"> ➤ Professional discussion assessment duration no more than 90 minutes (with a variance of 10% at the assessor's discretion to allow the apprentice to finish their last point). ▪ Professional discussion completed, responses to questions assessed. Assessment graded.
		<ul style="list-style-type: none"> ➤ Overall grading undertaken - assessor confirms to PAL grades for all assessment elements and overall grade using grade descriptors and weighting as detailed in the assessment plan. ▪ IQA undertaken. ▪ Assessment outcome provided within the assessment window timeframe.
<p>Employer informed of the outcome of end-point assessment via email from epasupportservices@professionalassessment.co.uk.</p> <p>Apprentice and provider are copied in to the communication.</p>		<ul style="list-style-type: none"> ▪ Assessment reports will record decisions and grades. If a resit or retake is required, it is important the relevant parties refer to the summary record. ▪ Assessment decision data collated and used to inform standardisations processes and quality assurance. ▪ Assessment outcome provided to the provider and Apprenticeship service. ▪ Certificate requested where a pass or higher grade for all aspects of end-point assessment are achieved. ▪ Data provided to the regulator as necessary.

Who can carry out end-point assessment?

Assessors/the end-point assessment organisation for this standard are required to:

- Have at least three years' work experience in the sector. This means they are capable of carrying out the full requirements within the competence they are assessing; possessing knowledge, understanding and experience relevant to the Apprenticeship Standard being assessed. This should be maintained annually through clearly demonstrable continuing learning and professional development.
- Be qualified to at least the level of care they are assessing (level 5 or above).
- Hold a recognised current workplace assessment qualification at, or equivalent to, RQF level 3.
- Undertake a minimum of three-days CPD per year.
- Must attend two standardisation events annually.
- Have sufficient resources to carry out the role of independent end assessor i.e. time and budget.

All assessors that meet the above criteria are trained and approved by PAL to ensure that they are capable carrying out end-point assessments in a fair and consistent manner to make reliable judgments.

Professional Assessment Ltd will be responsible for all aspects of the end-point assessment for this standard and will review the evidence against the standard to ensure that the grading criteria have been met for each method of assessment.

Internal Quality Assurance Requirements

Professional Assessment Ltd requires all quality assurance staff to hold a recognised internal quality assurance qualification. IQA staff are subject to the requirements of an end-point assessor as outlined above and must show competence in subject specialist areas to be approved in internal quality assurance. Quality assurers are monitored to undertake Continuous Professional Development, to ensure the currency of their industry specific knowledge and practice.

PAL implements validation and quality assurance policies and processes to ensure that all assessments are robust, fully align with the independent end-point assessment requirements, and are assessed consistently, reliably and fairly by all assessors. Policies can be shared upon request, please contact info@professionalassessment.co.uk. Essential policies are also available via the Padlet and our website.

In accordance with these policies Professional Assessment Ltd will:

- Develop and maintain a set of assessment tools, to be used by all assessors when carrying out assessments.
- Ensure assessors for this standard, meet with the assessment plan competency requirements.
- Train and develop all assessors to ensure reliable and consistent assessment of the standard.
- Apply robust quality assurance and verification processes to assessments, e.g. the use of standard formats, moderation and standardisation of marking and assessment decisions
- Apply and follow the appeals and disputes policy and procedure in response to any legitimate appeal or dispute.
- Produce exemplar materials, which can be used to add further clarity and establish guidelines for assessment against the stated criteria of the standard.
- Hold standardisation and moderation activities of assessment process.
- Communicate with third parties any concerns or issues that may impact on assessment activities or outcomes.

External Quality Assurance Requirements

External quality assurance for the Leader in Adult Care Apprenticeship is undertaken by Ofqual.

Standardisation and Moderation

All assessors are required to attend standardisation and moderation activities, to ensure the consistency of the assessment approach and to ensure assessment grading is aligned to the relevant assessment plan requirements. Standardisation activities are carried out on an on-going basis such meetings can be in the format of traditional meetings or via hangouts.

IQAs may accompany or 'remote in' with assessors carrying out EPA to ensure that the EPA is being administered safely, securely and in line with Professional Assessment Ltd guidance.

For further information on quality assurance, standardisation and moderation please see our policies, or contact our quality team via info@professionalassessment.co.uk

Grading

This apprenticeship includes pass and distinction grades with the final grade based on the apprentice's combined performance in each assessment activity.

To achieve a pass overall, the apprentice must achieve a pass in all assessment methods by meeting all of the pass descriptors.

To achieve a distinction overall, the apprentice must achieve all the pass criteria for both assessment methods and meet at least 19 of the 24 distinction criteria within the professional discussion.

Grades from each method of assessment will be combined as follows.

Observation of Leadership	Professional Discussion	Overall Grading
Fail	Fail	Fail
Pass	Fail	Fail
Fail	Pass	Fail
Fail	Distinction	Fail
Pass	Pass	Pass
Pass	Distinction	Distinction

Preparing apprentices for end-point assessment

To ensure that apprentices develop the knowledge, skills and behaviours that underpin occupational competence, it is recommended that they follow a structured programme of training and development. The period of training and development must include a minimum of 20 per cent off-the-job training, away from the day-to-day job. Please refer to ESFA guidance and funding rules regarding the definition of what training interventions are permissible under the ruling and responsibilities for recording and evidencing off-job training activities.

To prepare apprentices effectively, it is recommended that employers and/or providers should:

- Have a good understanding of the apprenticeship standard and the structure and format of the end-point assessment.
- Plan and implement a learning and development programme based on the apprenticeship standard, with regular reviews of progress and readiness, to ensure apprentices develop the required knowledge, skills and behaviours.
- Use formative assessments and mock assessments to help prepare apprentices for the end-point assessment.

It is recommended, but not required, that the on-programme assessment includes:

- Registration with a relevant professional body to provide access to management resources, wider networks, and CPD activities.
- Regular performance reviews between the apprentice and a senior manager.
- Opportunities given and evidence generated to cover all assessment criteria.
- Feedback from line manager, peers and direct reports (including 180/360-degree feedback or equivalent).

End-point assessment planning and scheduling

Employers and/or providers³ must have an agreement in place to conduct end-point assessments with PAL, we regularly check the ESFA portal to review pipeline business and ensure that providers who wish to work with us, are attached to us, as EPAO for the relevant standard(s).

Apprentices must be registered and booked on to their end-point assessment in sufficient time to allow adequate planning and scheduling of the assessments. PAL encourages communication with all parties, in respect of apprenticeship progress and status and our accounts team will periodically communicate directly with other stakeholders, to seek clarification and updates regarding apprentices' assessment readiness. Once the employer or provider has confirmed a gateway date, PAL will arrange a planning meeting on receipt and validation of the gateway evidence.

The planning meeting is attended by the employer, apprentice and PAL. The purpose of the planning meeting is to share information with PAL, in order to support the assessment process and to agree a plan for the upcoming assessment activities for the apprentices. The assessor/PAL representative will agree a plan and schedule for each assessment activity to ensure that all assessment components can be completed within the end-point assessment time. The meeting can be conducted remotely using appropriate technology.

³ Note PAL endeavours to have agreements with both employers and training providers, to ensure all parties are aware of our service offer and role in the apprenticeship journey.

The end-point assessment will be conducted over a period of 3 months at the end of the apprenticeship. Assessments cannot take place if the apprentice has not served the minimum time in training and we require employers and providers to check this requirement has been met, before submitting gateway evidence.

Reassessment

PAL's resit and retake policy will apply in the event of reassessments and we will discuss arrangements for such activities with all concerned parties.

Reassessments do incur a charge. All fees are detailed in PAL's pricing policy and outlined in the contracting process.

Reassessments wherever possible will be carried out by the original assessor, but if this is not possible PAL reserves the right to assign a different assessor.

Resits and Retakes

Apprentices who fail one or more assessment methods will be offered the opportunity to take a resit or a retake. A resit does not require further learning, whereas a retake does. Apprentices should have a supportive action plan to prepare for a resit or a retake. The apprentice's employer will need to agree with PAL that either a resit or retake is an appropriate course of action.

An apprentice who fails an assessment method, and therefore end-point assessment in the first instance, will be required to resit or retake any failed assessment method only. There should **only be one further attempt** at an assessment permitted, after the initial failed attempt.

Any assessment method resit should be taken within 3 months of the fail notification, otherwise the entire end-point assessment must be taken again, unless in the opinion of PAL exceptional circumstances apply outside the control of the apprentice or their employer. The timescale for a retake is dependent on how much re-training is required and is typically taken within 6 months of the fail outcome notification.

Resits and retakes are not offered to apprentices wishing to move from pass to distinction.

Reassessment requirements for each component

For component 1 – observation of leadership: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the observation of leadership in their first assessment attempt, a further, different observation activity assessment will be carried out.

For component 2 – professional discussion: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the professional discussion in their first assessment attempt, a further, different full professional discussion assessment of the apprentice will be carried out.

Capping

Where any assessment method has to be resat or retaken, the apprentice will be awarded a maximum end-point assessment grade of pass, unless the EPAO determines there are exceptional circumstances requiring a resit or retake.

Booking Reassessments

The timescale for any reassessment will be agreed on a case-by-case basis, with PAL. As part of that agreement, any reassessments must not provide an apprentice with an unfair advantage over others.

Assessment Methods

All end-point assessments should take place within the apprentice's usual working hours and will be planned by the PAL representative with the apprentice and line manager at the planning meeting to comply with the assessment plan and business requirements.

Assessment decisions will not be communicated by the assessor straight away, they will document and record their assessment decisions. These decisions are then shared for internal quality assurance checks prior to being communicated to the apprentice, employer and provider. Employers can access a record of assessment by accessing EPAPro. User guides are available for providers and employers that detail how reports can be viewed.

Observation of Leadership

Key Facts about the observation of leadership

The observation will enable the apprentice to demonstrate their knowledge, behaviours and leadership skills to an organisational audience. The apprentice must lead the observed activity.

There is an expectation that there may be staff interaction during the activity, such as asking questions or creating open discussion. This would be controlled, directed and managed by the apprentice to meet the needs of the activity. Organisational staff will most likely be internal staff and, in line with the nature of the standard and the requirements therein, this intervention (and the organisational staff attending) would be primarily about the running of the care unit/establishment.

The employer, apprentice and PAL will need to plan for what an appropriate activity might be to ensure these requirements are met.

The post-observation questioning allows the end-point assessor to ask a minimum of 4 set, open questions which will be detailed later on in this section.

The observation and the post-observation questioning must take place on the same day and is designed to assess the following areas of the Leader in Adult Care standard:

- Professional behaviours.
- Task and responsibilities.
- Health and well-being.
- Professional development.
- Leadership.

The observation and post-observation questioning will last for a total of 90 minutes (with a 10% at the discretion of the assessor). **The observation must last for 60 minutes, followed by the questioning, which will take 30 minutes.** A short break may be taken to move to a suitable environment in which questions can be asked.

What is the format of the observation of leadership?

The observation may be based on one of the following real-life improvements to the apprentice's employer and the users of their services:

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

The choice is decided by the apprentice, and employer and agreed by the PAL assessor at the planning meeting.

What is the format of the post-observation questioning?

The post-observation questioning will typically last for 30 minutes taking the total assessment time including the observation to 90 minutes with a 10% variance.

The questioning has two purposes

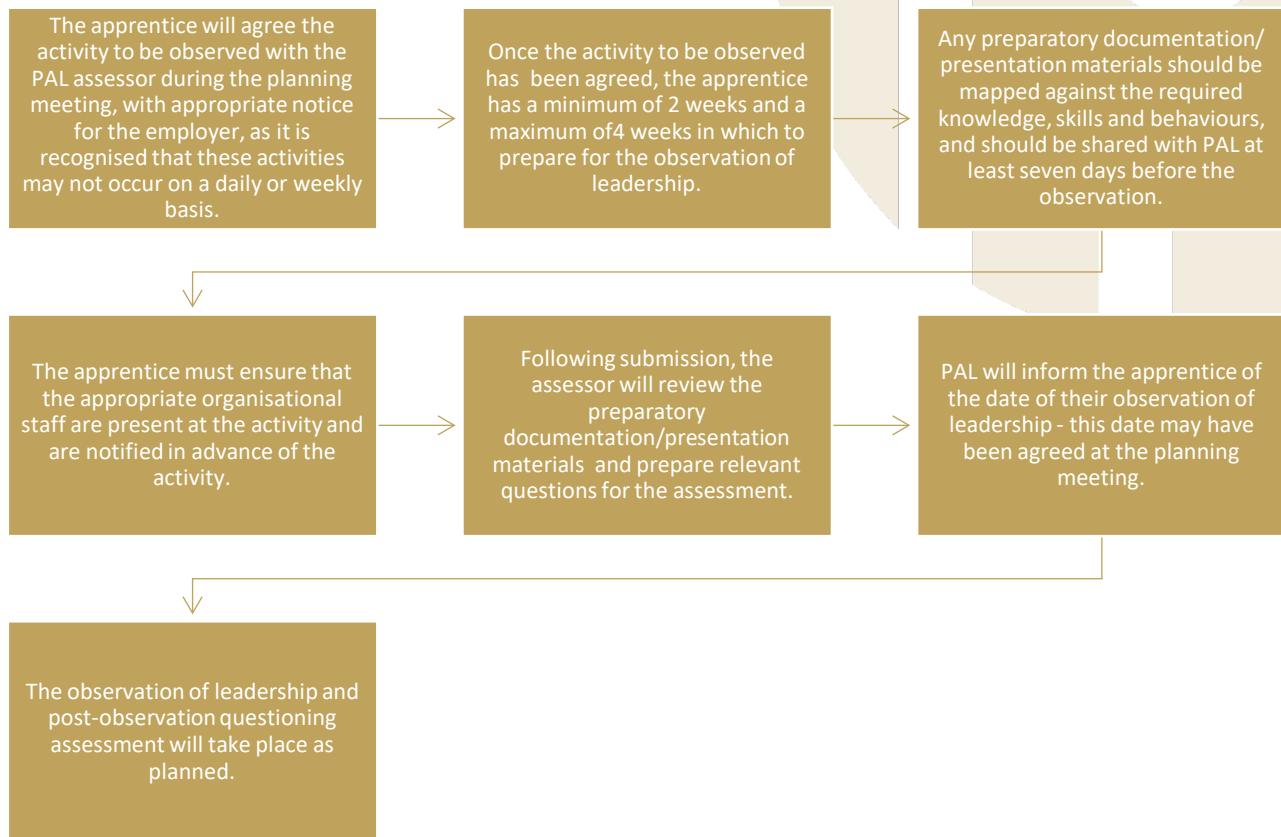
1. It allows the assessor to address the 4 set, open questions that are directed at criteria K12, which is knowledge related. The assessment plan states that there must be a minimum of 4 questions for this criteria which directly address the knowledge requirement assigned to the observation:

K12: Models of monitoring, reporting and responding to changes in health and wellbeing.

The four questions will be 'set' in advance and directly relate to the observation activity. The focus for these questions is as follows:

- The principles of adult safeguarding - Empowerment, Prevention, Proportionality, Protection, Partnership and Accountability.
 - Relevant legislation.
 - CQC regulatory requirements.
 - CQC Key lines of enquiry (KLOE) - Safe, Effective, Caring, Responsive and Well-led.
2. It enables follow up questions from the observation that will allow the assessor to ensure that the appropriate assessment criteria have been fully addressed, to clarify any points which were not clear and that performance demonstrated is at the grade that they intend to award (e.g., pass/fail).

What are the timescales for the observation and questioning?



How can the observation of leadership and post-observation questioning be undertaken?

The observation can take place either via online video conferencing or face to face, however, the assessment must take place in a suitable controlled and private environment, free from distraction and influence.

There is no requirement to record the observation within the assessment plan (whether face-to-face or using video conferencing) but using video conferencing as a method of observation offers the ability to do so. If this is to be recorded in this way, the relevant permissions will need to be secured.

The apprentice can use presentation aids for the observation of practice activity using whichever medium they wish to use, for example, slides, handouts, or a poster.

PAL will ensure that there are appropriate arrangements in place to move between the face to face/on-line observation (group participation) and the subsequent face to face/on-line questioning interventions which are one-to-one engagements. It is likely that the post-observation questioning will be audio recorded if face to face, or recorded using video conferencing.

Apprentices will be allowed to take a break if necessary between the two stages. PAL will manage invigilation of apprentices during breaks in order to maintain security of the assessment in line with their malpractice policy.

It is the responsibility of the apprentice, employer, training provider and PAL to ensure accessibility where required.

All parties must comply with the requirements of the GDPR and all other safeguarding duties.

What happens if the direct observed activity is interrupted by others?

Many of the activities observed will involve a level of participation by others. Where this is the case, the apprentice is expected to be able to manage the interventions in a way that meets the needs of the activity.

How can a leader in adult care prepare for the observation of practice?

- Preparing to undertake a practice observation presents the apprentice with a key opportunity to talk to their supervisees/manager about the planned assessment and is a forum to discuss practice skills and any areas of development.
- Structure and map the preparatory documentation/presentation materials for the observation of the required skills and behaviours to be achieved - think about how exactly they will be achieved and what needs to be considered.
- Have a clear understanding of the pass criteria and expectations.
- Practice in front of an audience.
- Complete a mock observation assessment with feedback from their training provider.
- Proofread any preparatory documentation/presentation materials for the observation to check for errors and mistakes, as well as for a 'sense check'. Is the appropriate language used? Is the correct terminology used?
- Ensure that, if the technology is being used to present, that it is available and they are competent in its use.

How will the observation of leadership be graded?

To achieve a pass, the apprentice must achieve ALL of the pass descriptors for this method of assessment through their demonstration and responses to the questions asked.

There is no distinction grade for the observation of practice.

Please see Table 1 for the pass descriptors for this method of assessment.

TABLE 1

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass descriptors below:
Behaviours	B1: Care – is caring consistently and enough about individuals to make a positive difference to their lives.	Evaluates enrichment of quality of life for the users of their services
	B2: Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect.	Promotes and improve the delivery of compassionate care within the setting
	B3: Courage – is doing the right thing for people and speaking up if the individual they support is at risk.	Evaluates the effectiveness of staff practice and their application of knowledge and policy compliance.
Tasks and Responsibilities	S1: Develop and apply systems and processes needed to ensure compliance with regulations and organisational policies and procedures.	Formulates fit for purpose systems and processed, efficiently ensuring that compliance with regulations and organisational policies and procedures are met.
	S2: Implement strategies to support others to manage the risks presented when	Correctly applies strategies to support others management of risks whilst balancing individual rights and professional duty of care.

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass descriptors below:
	balancing individual rights and professional duty of care.	
	S3: Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery.	Formulates fit for purpose systems and processes efficiently ensuring that a personalised, strength based approach is utilised across the service.
	S4: Lead and support others to work in a person centred way and to ensure active participation which enhances the wellbeing and quality of life of individuals.	Correctly applies strategies to lead and support others e work in a person centred way, whilst encouraging active participation which enhances the well-being and quality of life of individuals.
	S5: Encourage and enable both staff and people who access care and support to be involved in the co-production of how the service operates.	Demonstrates that leadership models have been referenced in their approach to co-production when encouraging and enabling the team and people who access services.
	S6: Manage all resources in delivering complex care and support efficiently and effectively.	Demonstrates all resources are delivered and managed in an efficient and effective manner.
Dignity and Human Rights	S7: Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace.	Leads practices, clearly aligned to diversity, equality and inclusion legislation and policy.
	S8: Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems.	Promotes a culture of dignity and respect, and where others are able to work in ways that may challenge their own beliefs.
Communication	S10: Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues.	Develops communications that break down policy and guidance to communicate key messages with a range of audiences for example: people who access care and support, carer and families and other colleagues.
Health and Wellbeing	K12: Models of monitoring, reporting and responding to changes in health and wellbeing.	Identifies and applies relevant models of monitoring, reporting and responding to changes in health and wellbeing.
Professional Development	S16 Apply evaluated research and evidence-based practice in own setting.	Applies the evidence-based practice around current drivers in the Adult Care landscape to their own setting.
Leadership	S19: Show a well-developed sense of their own behaviour and impact on others modelling a values-based culture.	Exhibits values-based behaviours and identifies how they impact upon others within the work settings.

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass descriptors below:
	S20: Create a supportive culture that values initiative and innovation and recognises the variety of skills of all within the service, both workers and individuals supported.	Establishes a culture that values initiatives and innovation through identification and recognition of the variety of skills within the service.

Professional Discussion

Key facts about the professional discussion

The professional discussion is a meaningful, in-depth, and two-way dialogue designed to draw out the best of the apprentice's competence for the knowledge, skills and behaviours assigned to this method of assessment. The agenda points will act as a base for the apprentice to explore their practice and experiences to demonstrate occupational competence.

The professional discussion is designed to assess the following areas of the Leader in Adult Care standard:

- Professional behaviours.
- Task and responsibilities.
- Dignity and human rights.
- Communication.
- Safeguarding.
- Health and well-being.
- Leadership.

The professional discussion will last for no more than 90 minutes (plus 10% at the discretion of the assessor to allow the apprentice to finish their answer).

What is the format of the professional discussion?

The assessor will ask open-ended, competency-based questions to draw out the best of the apprentice's competence and excellence; these will be based on a minimum of one question for each of the knowledge, skills and behaviours groups in Table 2 (tasks and responsibilities, dignity and human rights, communication, safeguarding, health and wellbeing and leadership) and follow up questions may be asked for clarification purposes and to allow the apprentice the opportunity to cover the knowledge, skills and behaviours mapped to this method of assessment.

The apprentice is permitted to bring in and refer to supporting evidence, such as notes, during the assessment.

The discussion will be recorded, either through video conferencing software or for a face to face professional discussion by a voice or video recording. The assessment must be undertaken in a controlled environment (a quiet area, free from distractions and influence) and the apprentice will be assessed on a one-to-one basis with the assessor.

How can the professional discussion be undertaken?

The professional discussion can be conducted using a range of media, as appropriate for the apprentice, either via online video conferencing or face to face.

It is the responsibility of the apprentice, employer, provider and PAL to ensure accessibility where required.

The professional discussion must be undertaken in a controlled environment (a quiet area, free from distractions and influence) and the apprentice will be assessed on a one-to-one basis with the assessor. An employer representative is not required to be present.

Where the assessment is conducted using technology, fair assessment conditions must be maintained. Acceptable means of remote assessment include video conferencing/video calling and must include a two way visual and audio link. The video call will be recorded and submitted by the assessor for internal quality assurance.

How can a leader in adult care prepare for the professional discussion?

- Practice undertaking professional discussions with their training provider, employer, and line manager. Practice discussions which cover a range of topics and areas of the standard, ensuring that they can provide specific examples of tasks/situations they have been involved in.
- Practice reflecting and analysing performance to determine successes and areas for development.
- Review terminology in the assessment plan and consider how this links to their role.
- Understand the level of detail they are being asked to provide during discussions – ensure they are familiar with the assessment verbs and can differ detail between providing explanations and analysis.
- Practice professional discussions mock agendas with their training provider for 90 minutes to support completing them within the given timescale.

What types of questions might be asked to facilitate the professional discussion?

The professional discussion agenda is not shared with the apprentice in advance of the assessment. The following are examples of questions an apprentice may be asked during the professional discussion and should be used for guidance only:

- Explain key features, principles and values of risk management and outcome based practice and how this relates to the well-being of the users of your service.
- Cite the current legislative framework, local solutions and policies that underpins the safeguarding of vulnerable adults and children in the context of your setting.
- What are the key elements of effective team performance and how does each individual play their part?
- How do your health, safety and risk management policies, procedures and practice, support a culture that values health and well-being within your organisation?

How will the professional discussion be graded?

To achieve a pass, the apprentice must achieve ALL of the pass criteria for this method of assessment through their professional discussion responses.

To achieve a distinction, the apprentice must achieve ALL of the pass criteria and at least 19 of the 24 distinction criteria.

Please see Table 2 for the pass and distinction grading criteria for this method of assessment.

TABLE 2

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass criteria below:	Distinction Criteria – in addition to the pass criteria, the apprentice must achieve at least 19 of the following:
Behaviours	B4: Communication – good communication is central to successful caring relationships and effective team working.	Demonstrates how they manage communications between staff and between staff and users of services.	Analyses communications systems on a regular basis to demonstrate improvements.
	B5: Competence – is applying knowledge and skills to provide high quality care and support.	Applies the relevant knowledge and skills for the benefit of the users of their services.	Evaluates the impact of their knowledge and skills in relation to quality assurance exercise (e.g. health and safety risk assessment, safeguarding).
	B6: Commitment – to improving the experience of people who need care and support ensuring it is person centred.	Demonstrates how they apply person-centred care principles.	Reviews their person-centred care plans regularly to clearly reflect the desired outcomes of the user of services.
Tasks and Responsibilities	K1: Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services.	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to the safe delivery of services.	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to the safe delivery of services.
	K2: Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management.	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to health, safety and risk management.	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to health, safety and risk management.
	K3: Principles of risk management, assessment and outcome based practice.	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to risk management and outcome based practice.	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to outcome based practice.
	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to outcome based practice.	Describe the change management theories, processes and tools used.	Evaluates the outcome of the change management approaches used and the effectiveness of the techniques implemented.
	K5: Legislative and regulatory frameworks which inform quality standards.	Explains how they use and prioritise statutory standards, guidance and codes of practice which underpin practice in relation to quality standards.	Critically evaluates statutory standards guidance and codes of practice which underpin practice in relation to quality standards.
	K6: Theories and models that underpin performance and appraisal including disciplinary procedures.	Explain theories and models that underpin performance and appraisal including disciplinary procedures.	Evaluates relevant underpinning theories and models around performance management and how these have been applied

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass criteria below:	Distinction Criteria – in addition to the pass criteria, the apprentice must achieve at least 19 of the following:
			(application may include disciplinary procedures).
Dignity and Human Rights	K7: Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead.	Describes legislative requirements and policy initiatives on diversity, equality and inclusion illustrating their relevance to their workplace.	Analyses legislative requirements and policy initiatives about diversity, equality and inclusion, evaluating their practices against such legislation and policy to ensure dignity and human rights are promoted in their workplace.
Communication	S9: Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and to keep information safe and preserve confidentiality.	Explain organisational processes have been developed and implemented in relation to recording, reporting and confidentiality.	Analyse how processes to record and communicate have been applied. Further evaluates their effectiveness in communicating concisely, keeping information safe and preserving confidentiality.
	K8: Legal and ethical frameworks in relation to confidentiality and sharing information.	Explain legal and ethical frameworks relating to confidentiality and information sharing to devise. Implement processes to record information effectively and safely.	Analyse how legal and ethical frameworks have been applied and further evaluate their effectiveness.
	K9: Range of tools and strategies to enhance communication including technology.	Explains a range of communication enhancing tools and strategies, including technologies.	Appraises how effective communication strategies are throughout the organisation.
Safeguarding	S11: Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures.	Explains safeguarding principles across all organisational policies and procedures.	Evaluates safeguarding planning processes which incorporates effective staff training. Modelling recognising and responding to potential signs of abuse and/or unsafe practices, including the culture of whistleblowing. This should include reporting requirements relating to both adults and children.
	K10: Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements.	Explains safeguarding principles across all legislative and local and national requirements.	

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass criteria below:	Distinction Criteria – in addition to the pass criteria, the apprentice must achieve at least 19 of the following:
	K11: The elements needed to create a culture that supports whistleblowing in the organisation.	Explains how they ensure that staff are trained and supported on how to recognise and respond to potential signs of abuse and or unsafe practices including the culture of whistleblowing. This should include reporting requirements relating to both adults and children.	** (This distinction criterion for S11, K10 and K11 need only to be demonstrated once).
	S12: Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding.	Evaluates the effectiveness of safeguarding which is firmly embedded across all organisational policies, systems and processes.	
Health and Wellbeing	S13: Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance.	Explains how to remain compliant with legislation, standards and guidance in relation to health, safety and risk management.	Analyses evidence from the evaluation of health and wellbeing to make improvements to ensure policies, procedures and practices have a significant, positive impact on compliance, standards and guidance.
	S14: Implement health and safety and risk management policies, procedures and practices to create a culture that values health and well-being in the organisation.	Explains how they monitor, evaluate and improve health and well-being policies and practices.	Analyses evidence from the evaluation of health and wellbeing to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being.
	S15: Monitor, evaluate and improve health, safety and risk management policies and practices in the service.	Explains how they monitor, evaluate and improve health, safety and risk management practices.	Analyses evidence from the evaluation of health, safety and risk management practices to make improvements to ensure policies, procedures and practices have a significant, positive impact on culture that values health and well-being.
	S18: Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities.	Explains the systems used to demonstrate improvement of performance of self and colleagues.	Explains how they maximise systems and utilises learning and development opportunities to improve performance of self and others.
	K13: Principles of professional development.	Explains principles of professional development.	Evaluates the impact of the principles of professional development.

Area of Standard	Behaviours (B) Skills (S) Knowledge (K)	Pass – the apprentice must meet all of the pass criteria below:	Distinction Criteria – in addition to the pass criteria, the apprentice must achieve at least 19 of the following:
	K14: Goals and aspirations that support own professional development and how to access available opportunities.	Explains their professional goals and aspirations and outlines the available opportunities to support their development.	Assesses appropriate professional development opportunities to meet professional goals and clearly articulates the rationale behind their decisions.
	K15: Elements needed to create a culture that values learning, professional development, reflective practice and evidence based practice.	Explains what is required to create a culture that values professional development and reflective practice.	Appraises a culture that nurtures continuous professional development.
	K16: Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers.	Describes the systems and processes that are in place support professional development opportunities.	Evaluates current systems implemented to support professional development.
Leadership	K17: Theories of management and leadership and their application to adult care.	Identifies and explains theories of management and leadership and their application to adult care.	Critiques theories of management and leadership and their application to adult care.
	K18: Features of effective team performance.	Identifies the knowledge of key elements of effective team performance.	Analyses and evaluates individual team member performance and uses this to implement improvements in effectiveness.

Fails/resits and retakes

PAL's resit and retake policy and pricing policy are available on request. The request can be made by contacting the account management team via email on info@professionalassessment.co.uk.

The apprentice, employer and provider will be advised of the outcomes, and our policy works on the specific standard assessment plan's requirements regarding resits and retakes.

Plagiarism

Plagiarism is a specific form of cheating which applies to assignments or other types of written or recorded work completed by apprentices, where the work is meant to have been produced independently and be of their design. Plagiarism is the substantial, unacknowledged incorporation into an apprentice's work of materials derived from published or unpublished work by another person.

PAL takes all incidents of plagiarism seriously, especially those incidents which are a determined and deliberate attempt by the apprentice to gain marks for an assignment/project/report without having done a substantial portion of the work themselves. Copying of work can include work from external published sources, as well as that of other apprentices and work colleagues.

PAL's plagiarism and cheating policy can be accessed on the PAL website or by request to info@professionalassessment.co.uk

Appeals, complaints, maladministration and malpractice policies - centre/candidate

Where apprentices are unhappy with the results of their end-point assessment, the customer (either the employer or provider) can enquire about the results. An enquiry means that PAL will invoke its Appeals and Disputes policy and procedure. Please refer to our latest emails.

To make an appeal, please contact: epaappeals@professionalassessment.co.uk

To declare a conflict of interest, please contact: declaration@professionalassessment.co.uk

To report a case of malpractice or maladministration please use one of the following addresses:

- If it relates to the EPAO, please contact: epamalpractice@professionalassessment.co.uk
- If it relates to the apprentice, please contact: apprenticemalpractice@professionalassessment.co.uk
- If it relates to the employer or provider, please contact: eitpmalpractice@professionalassessment.co.uk

Note - access to these emails received under these addresses is restricted to personnel involved in compliance checks.

In the event of an appeal against the grade awarded PAL will carry out a further review of the evidence to confirm or modify the grade in line with their standard procedures.

Maladministration generally refers to a system or administrative mistake or failure, which has the potential or does not affect the assessment process and as such is reportable.

Malpractice is a grave offence and where proven will result in immediate sanctions, disciplinary action and possible dismissal and notification to the regulator, notifying them of the malpractice and action taken. Malpractice is the

term applied to any intentional and planned act to alter an assessment or quality assurance decision by changing/removing/not recording accurately or augmenting information.

PAL's Maladministration and Malpractice policy can be accessed on the PAL website or by request to info@professionalassessment.co.uk

Reasonable adjustments/considerations/adaptations

Where reasonable adjustments have been requested, the assessor at the assessment planning meeting will finalise any such arrangements. Discussions regarding a special consideration request should be made at registration and discussed with the EPA team.

It is the responsibility of the provider or employer, acting on behalf of the apprentice, to make such requests.

Special considerations in respect of the assessment process will be applied, where it does not provide any fair or unfair advantage to the individual apprentice and subsequent assessment outcome and in line with PAL's policy.

PAL's Special Considerations and Reasonable Adjustment policy is in place to ensure fair access to assessment and can be accessed on the PAL website or by request to info@professionalassessment.co.uk

Certification

PAL will request the apprenticeship certificate for successful end-point assessments using the Apprenticeship service portal. PAL does not certificate the apprenticeship standard, its role is to request the certificate.

PAL will provide information and reports to the relevant regulator and funding body, in line with their conditions, and as and when requested. Notification to these bodies includes successful achievements and completions. Incomplete assessments are recorded.

Certification requests are made by the EPAO and the current process is the certificate is sent to the named employer. Employers must advise the EPAO of any specific location or person the certificate should be sent to, if this information differs from the apprentice's workplace location and employer contact details provider on the EPAO's booking system.

Cancelling or rescinding results - PAL reserves the right to cancel results if malpractice is identified.

Validity, Authenticity, Relevancy, Currency and Sufficiency

The evidence presented must be meet VARCS requirements.

- **Valid** - is the evidence appropriate to demonstrate the particular knowledge, skills and/or behaviours that it is intended to cover?
- **Authentic** - is the evidence proven to be the apprentice's own work; have any work products or witness testimonies been appropriately authenticated?
- **Relevant** - Is the evidence relevant to the particular knowledge, skills and/or behaviours that it is intended to cover and has a clear judgement?
- **Current** - does the evidence relate to the on programme element of the apprenticeship and does it demonstrate current competency?
- **Sufficient** - does the evidence match the level of the apprenticeship standard and is the relevant standard covered in full?

PAL will require all apprentices to sign statements of authenticity etc.

Glossary of Terms

EPA – end-point assessment.

IA- independent end-point assessor.

Employer – A representative from the employer, this is usually a direct line manager, head chef or appropriate nominate representative who has supported the apprentice during their apprenticeship.

Gateway review – A meeting involving the apprentice, employer and on programme trainer where the readiness for end-point assessment is determined.

Planning meeting – A meeting involving the apprentice, employer and end-point assessor where the end-point assessments are clarified and planned.

PAL – Professional Assessment Limited.

IQA - Internal quality assurance/assurer, the department and/or personnel who are responsible for the quality of end-point assessment internally to Professional Assessment.

EQA – External quality assurance/assurer, the independent external body who are responsible to regulate the quality of end-point assessment plans, standards and administration of assessment.

Standardisation/moderation – Activity completed by end-point assessors to support validity and fairness in end-point assessment decisions.

Special considerations – Any permanent or temporary disability, specific learning needs or medical condition which may require support during end-point assessment.

Reasonable adjustments – Adjustments made to the assessment process in relation to special considerations, which do not provide an unfair advantage to the apprentice, but are designed to reduce any disadvantages within assessment.

Assessment plan – The document produced by the employer group which documents the requirements of the standard and assessment methods.

Appendix One – Gateway Review Record for Leader in Adult Care ST0008/AP02

Guidance Notes

Determining the readiness of an apprentice for the independent end-point assessment phase of their programme is a very important milestone. A formal review must be held and must include all the relevant people that have responsibility and accountability for the completion of the apprenticeship: the line manager (or a senior manager, as appropriate to the business), the training provider and the apprentice.

The Gateway Declaration Record must be completed once the line manager and training provider have discussed their views on the progress the apprentice has made. The record has been designed to ensure all essential information is captured in a standardised format. If there is additional information which the line manager and/or training provider wish to add supplementary space has been provided.

Completion of this Gateway Declaration Record confirms that the employer and training provider is satisfied the apprentice has fulfilled all requirements to apply for end-point assessment.⁴

All evidence requested must be provided. If the Gateway requirements below are not met, the Gateway request will be rejected.

All information received will be processed as per GDPR requirements and as detailed in Professional Assessment Ltd.'s (PAL) Data Protection Policy and Data Privacy Notice.

Please ensure the apprentice's name is spelled accurately as this is how it will appear on the results statement/certificate.

Apprentice Name	Click or tap here to enter text.	Apprentice Contact Number	Click or tap here to enter text.
Apprentice ULIN	Click or tap here to enter text.	Apprentice Email Address	Click or tap here to enter text.
Line Manager Name	Click or tap here to enter text.	Line Manager Contact Number	Click or tap here to enter text.
Employer Organisation	Click or tap here to enter text.	Line Manager Email Address	Click or tap here to enter text.
Training Provider Name	Click or tap here to enter text.	Gateway Review Date	Click or tap to enter a date.
Start Date of Apprenticeship	Click or tap to enter a date.	End Date of Apprenticeship	Click or tap to enter a date.
Has the minimum apprenticeship duration of 12 months been met, as defined in the ESFA funding rules?			Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 1: Confirmation of Evidence

All requirements listed below must be uploaded to EPAPro at point of submitting the apprentice to gateway. Apprentices will not be permitted to proceed to their end-point assessment until all evidence is uploaded and approved by PAL.

⁴ Please refer to the latest ESFA funding rules guidance.

Requirement	Achieved by the apprentice	Evidence provided (e.g., PLR, certificate, statement of results)
Maths Level 2	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.
English Level 2	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.
Level 5 Diploma in Leadership and Management for Adult Care	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.
Apprentice Disclosure and Barring Service (DBS) Undertaken	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.

Gateway Review Outcome

If the apprentice is ready for end-point assessment, the following declaration must be signed by all parties and the Gateway Declaration Record submitted to PAL via EPAPro.

Should the apprentice not be ready for end-point assessment a period of additional training and preparation must take place.

Section 2: Declaration

The end-point assessment period should only start once the employer is satisfied that the apprentice is consistently working at or above the level set out in the occupational standard, that is to say they are deemed to have achieved occupational competence. In making this decision, the employer may take advice from the apprentice's training provider, but the decision must ultimately be made solely by the employer.

Employer and Training Provider Declaration

I confirm the evidence has been reviewed and a Gateway meeting has taken place with the apprentice, employer, and training provider to confirm the apprentice's competence and readiness for end point assessment.

I confirm that the apprentice has developed, demonstrated, and achieved the required level of occupational knowledge, skills, and behaviours to satisfy the Gateway requirements in their workplace.

I confirm that the apprentice is eligible for end-point assessment by undertaking the required training in line with the specific Apprenticeship Standard's requirements, including on and off the job training and experience to meet the full breadth and depth of the Apprenticeship Standard.

Employer		Training Provider	
Name	Click or tap here to enter text.	Name	Click or tap here to enter text.
*Signature	Click or tap here to enter text.	*Signature	Click or tap here to enter text.
Date	Click or tap to enter a date.	Date	Click or tap to enter a date.

*Supporting evidence to be submitted for electronic signatures, e.g., email confirmation, voice recording.

Apprentice Declaration

I confirm my readiness for the end-point assessment has been discussed with my employer and training provider.

I confirm I am aware of the requirements of the end-point assessment.

I give PAL, as the end-point assessment organisation, my consent to claim the apprenticeship certificate on my behalf on successful completion of the end-point assessment.

Name	Click or tap here to enter text.
Signature	Click or tap here to enter text.
Date	Click or tap to enter a date.

Any reasonable adjustments required? Please detail below and include any supporting evidence

State N/A if not applicable

Click or tap here to enter text.

Please note any other pertinent information, as a result of the Gateway review, which has not been recorded elsewhere, but has a bearing on end-point assessment readiness or end-point assessment scheduling

Click or tap here to enter text.

Appendix Two – Mapping of Knowledge, Skills and Behaviours by Assessment Method

End-Point Assessment Activities		Observation of Leadership	Professional Discussion
Behaviours			
	B1: Care – is caring consistently and enough about individuals to make a positive difference to their lives	X	
	B2: Compassion – is delivering care and support with kindness, consideration, dignity, empathy and respect	X	
	B3: Courage – is doing the right thing for people and speaking up if their care and support is at risk	X	
	B4: Communication – good communication is central to successful caring relationships and effective team working		X
	B5: Competence – is applying knowledge and skills to provide high quality care and support		X
	B6: Commitment – to improving the experience of people who need care and support ensuring it is person centred		X
Tasks and responsibilities			
Skills - must be able to:	S1: Develop and apply systems and processes needed to ensure compliance with regulations and Organisational policies and procedures	X	
	S2: Implement strategies to support others to manage the risks presented when balancing individual rights and professional duty of care	X	
	S3: Develop and apply systems and processes that monitor and sustain quality of the service, including assessments, care plans and service delivery	X	
	S4: Lead and support others to work in a person centred way and to ensure active participation which enhances the wellbeing and quality of life of individuals	X	
	S5: Encourage and enable both staff and people who access care and support to be involved in the co-production of how the service operates	X	
	S6: Manage all resources in delivering complex care and support efficiently and effectively	X	
Knowledge - must know and understand:	K1: Statutory frameworks, standards, guidance and Codes of Practice which underpin practice in relation to the safe delivery of services		X
	K2: Systems and processes needed to ensure compliance with regulations and organisational policies and procedures including health and safety and risk management		X
	K3: Principles of risk management, assessment and outcome based practice		X
	K4: Principles and underpinning theories of change management including approaches, tools and techniques that support the change process		X

End-Point Assessment Activities		Observation of Leadership	Professional Discussion
	K5: Legislative and regulatory frameworks which inform quality standards		X
	K6: Theories and models that underpin performance and appraisal including disciplinary procedures		X
Dignity and human rights			
Skills - must be able to:	S7: Develop and lead implementation of organisational practices to create and sustain a culture that actively champions dignity and respects diversity, inclusion and fairness in the workplace	X	
	S8: Develop and lead a culture that values courage in working in ways that may challenge workers' own cultural and belief systems	X	
Knowledge - must know and understand:	Legislation and policy initiatives on the promotion of diversity, equality and inclusion in services they lead		X
Communication			
Skills - must be able to:	S9: Develop and implement organisational processes to ensure that records and reports are written clearly and concisely and to keep information safe and preserve confidentiality		X
	S10: Translate policy and guidance into understandable information for a range of audiences including people who access care and support, carers and families and other colleagues	X	
Knowledge - must know and understand:	K8: Legal and ethical frameworks in relation to confidentiality and sharing information		X
	K9: Range of tools and strategies to enhance communication including technology		X
Safeguarding			
Skills - must be able to:	S11: Implement systems to train and support work colleagues to enable them to recognise and respond to potential signs of abuse and or unsafe practices, following organisational policies and procedures		X
	S12: Monitor and evaluate the effectiveness of organisational policies, systems and processes for safeguarding		X
Knowledge - must know and understand:	K10: Legislation, national and local solutions for the safeguarding of adults and children including reporting requirements		X
	K11: The elements needed to create a culture that supports whistleblowing in the organisation		X
Health and wellbeing			
Skills - must be able to:	S13: Lead the implementation of policies, procedures and practices to manage health, safety and risk to individuals and others in health and social care to ensure compliance with legislation, standards and guidance		X
	S14: Implement health and safety and risk management policies, procedures and practices to create a culture that values health and well-being in the organisation		X
	S15: Monitor, evaluate and improve health, safety and risk management policies and practices in the service		X

End-Point Assessment Activities		Observation of Leadership	Professional Discussion
Knowledge - must know and understand:	K12: Models of monitoring, reporting and responding to changes in health and wellbeing	X	
Professional development			
Skills - must be able to:	S16: Apply evaluated research and evidence-based practice in own setting	X	
	S17: Take initiative to research and disseminate current drivers in the adult care landscape (assessed through leadership skills)*	*	*
	S18: Embed systems to improve performance of self and/or work colleagues through supervision, reflective practice and learning and development opportunities		X
Knowledge - must know and understand:	K13: Principles of professional development		X
	K14: Goals and aspirations that support own professional development and how to access available opportunities		X
	K15: Elements needed to create a culture that values learning, professional development, reflective practice and evidence based practice		X
	K16: Systems and processes necessary to ensure professional development opportunities are identified, planned, sourced, evaluated and recorded for workers		X
Leadership			
Skills - must be able to:	S19: Show a well-developed sense of their own behaviour and impact on others modelling a values-based culture	X	
	S20: Create a supportive culture that values initiative and innovation and recognises the variety of skills of all within the service, both workers and individuals supported	X	
	S21: Adopt a team approach, recognising contributions of team members and able to lead a team where required	X	
Knowledge - must know and understand:	K17: Theories of management and leadership and their application to adult care		X
	K17: Theories of management and leadership and their application to adult care		X

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