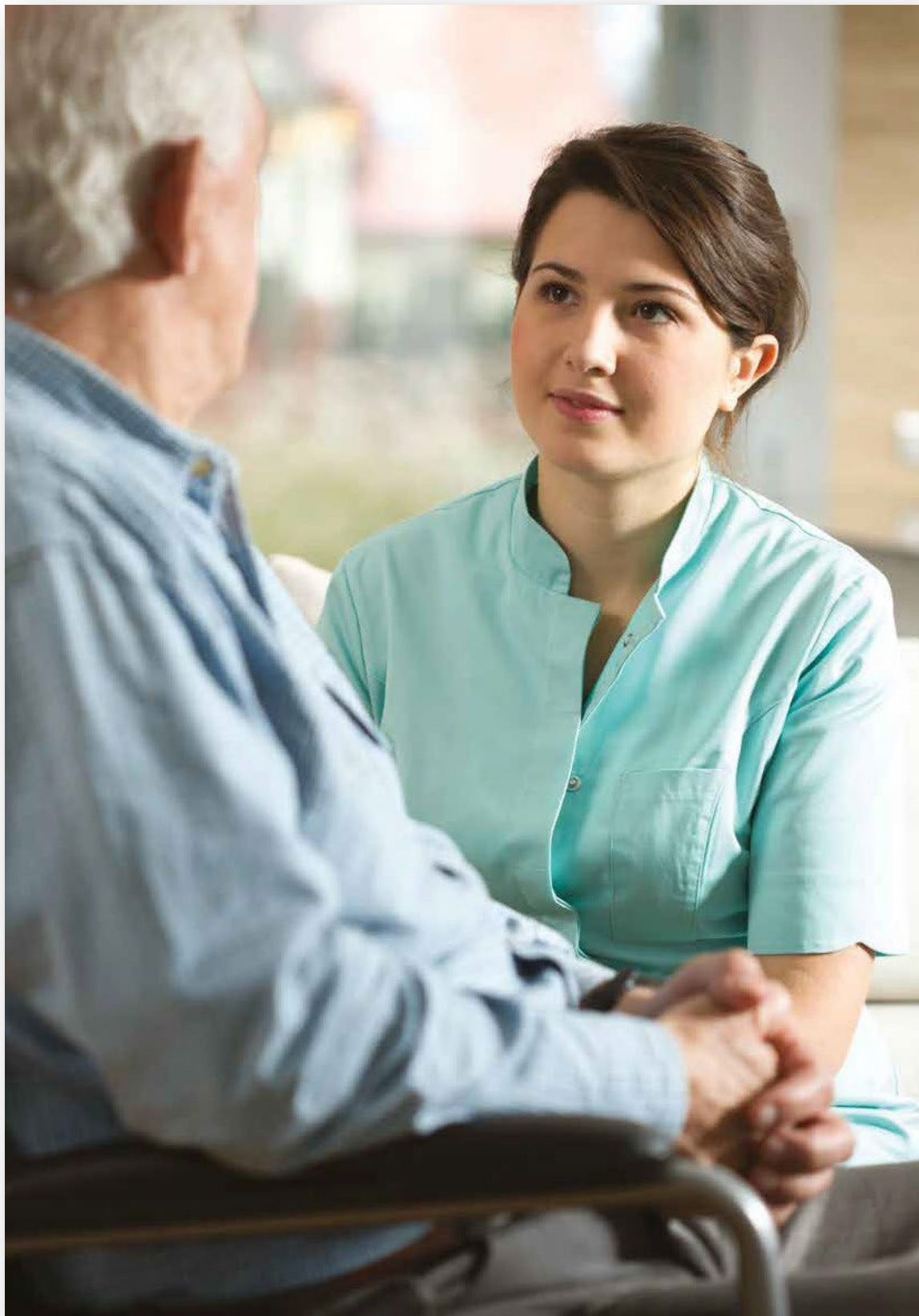
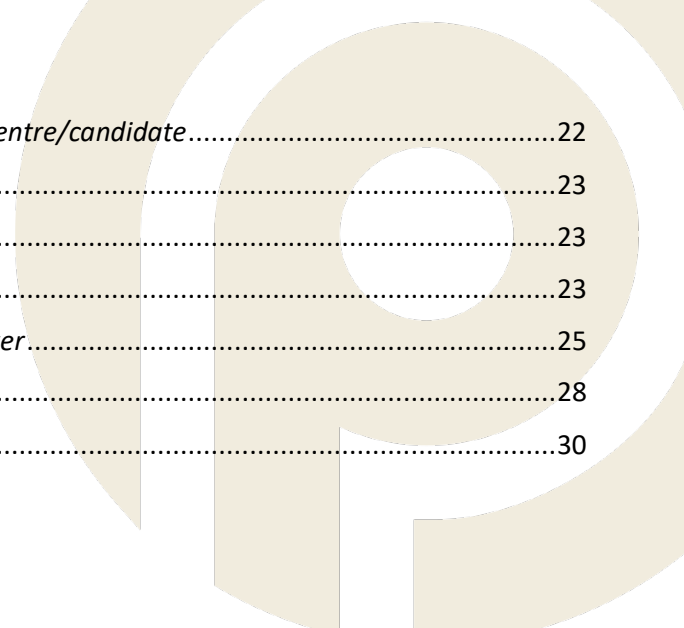


# Lead Adult Care Worker ST0006/AP02 Level 3 End-Point Assessment Specification & Guidance



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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 Lead Adult Care Worker ST0006 AP02 Apprenticeship. This apprenticeship is at level 3 and is for apprentices who work directly with adults in care and support services and in a position where they guide, lead and supervise others as well as being considered to be accountable to lead others to achieve and comply with the expected standards of quality of care that is being delivered. Apprentices will be supporting service users to achieve their goals and aspirations promoting independence, control and choices.

Lead Adult Care Workers are expected to display and role model the right values, behaviour, skills and knowledge to provide the best possible quality of care and experience for the individuals they are supporting.

Job roles and titles are carried across the sector and can depend on the service being provided as well as on the needs of the service user.

Typical job titles include Care Officer, Care Supervisor, Senior Care Worker, Supervising Care Worker, Senior Support Worker, Relief Team Leader, Social Work Assistant, Social Services Officer, Outreach Development Worker, Community Support Worker, Community Outreach Worker, Community Development Worker, Family Support Worker or Personal Assistant. These could all specialise in a variety of areas such as learning disability, mental health, drug and alcohol misuse, homecare, dementia and end-of-life care.

The following personal attributes and behaviours are expected of all Lead Adult Care Workers when carrying out their roles:

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

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 Fail/Pass/Merit/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, through a process administered by the Education and Skills Funding Agency (ESFA).

Professional Assessment Ltd (PAL) are an EPA Organisation approved by the ESFA and listed on the Register of End-point Assessment Organisations (RoEPAO). PAL provides an independent EPA service for the Level 3 Lead Adult Care Worker Standard, as specified in the relevant Assessment Plan.

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 Apprentices and Technical Education \(IfATE\)](#).

Standard Title	Lead Adult Care Worker
Level	3
Standard and Version Number	ST0006 AP02
LARS Number	118
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"> <li>➤ Level 2 Maths and Level 2 English</li> <li>➤ Level 3 Diploma in Care</li> </ul>
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"> <li>➤ Situational Judgement Test</li> <li>➤ Professional Discussion</li> </ul>

## Introduction

This handbook contains the relevant information and guidance required of apprentices to achieve the EPA for the Lead Adult Care Worker apprenticeship and should be used in conjunction with the Lead Adult Care Worker ST0006 AP02 Padlet<sup>1</sup> – Assessment Information for Training Providers, Employers.

<sup>1</sup> 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

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*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 EPA components to receive the apprenticeship certificate.*

*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 training 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 training 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 the end-point assessment must be made by the independent assessment organisation.

PAL has been working closely with occupational experts, employers and training 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 for Apprenticeships and Technical Education<sup>2</sup> and that they are confident and competent in their role to take on responsibilities to deliver clearly defined business outcomes.

The apprenticeship standard of Lead Adult Care Worker is designed to provide a route of development for a wide a range of individuals who manage teams and accountable and responsible for planning, delivering, and achieving common organisational goals within their departments. The standard includes those individuals that are at the beginnings of their management career and who wish to progress within professional management. Individuals undertaking this particular apprenticeship may have gained practical experience but wish to develop a better understanding of relevant theories that underpin their practices.

## *Progression*

Following the successful completion of this apprenticeship standard, apprentices may wish to progress their career to the Leader in Adult Care Apprenticeship to support personal development and progression.

## *Who are Professional Assessment (PAL)?*

Professional Assessment Ltd provides services for training organisations 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 full-time, 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 training 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 training provider must hold a 'Gateway' meeting to agree that the apprentice has gained the required level of knowledge, skills and behaviours required.

Prior to end-point assessment the apprentice **must** have:

- Evidence of having completed the 15 standards as set out in the Care Certificate.
- Achieved the Level 3 Diploma in Care.
- Achieved the required Level 2 mathematics and English qualifications.
- Undertaken a Self-Assessment exercise in the last month of their apprenticeship to enable them to see whether they are confident that they have taken on board all aspects of the occupation. This must be submitted to the end-point assessor at the planning meeting to support the professional discussion assessment.
- Ongoing assessment by the employer and provider – for example meetings with apprentice, employer and training provider, observations of workplace, gathering evidence.

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<sup>2</sup> The Institute is now known as the Institute for Apprenticeships and Technical Education, referred to as the institute



To confirm this meeting has taken place, the employer, training provider and apprentice are required to complete a Gateway Declaration Form, an example of which is included in the Appendix of this handbook<sup>3</sup>, alternatively, training providers and employers can use their documentation, with the caveat, that the document must record the information as stipulated on the Professional Assessment Gateway form.

Professional Assessment Ltd also needs evidence of English and maths attainment. Please check with the EPA team via [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk) to check which qualifications are accepted as suitable alternatives to functional. Evidence must be in the form of a certificate.

Professional Assessment will not take an EPA booking until the required evidence is submitted. For auditing purposes, the Gateway Declaration Form 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 Professional Assessment apprenticeship certificate consent form, apprentice ID form and authentication of evidence form to be completed at the Gateway meeting 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 will be completed on-line, these documents will need to be shared as part of the assessment planning process and emailed to [epasupportservices@professionalassessment.co.uk](mailto:epasupportservices@professionalassessment.co.uk).

**The recommended approach during the on-programme assessment (month 1-18) 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.
- Training 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.
- Training 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 training 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 - this can be used in reviews with the line manager and training provider as well as contributing to the professional discussion as part of the end-point assessment.

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

### *Language of assessment*

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

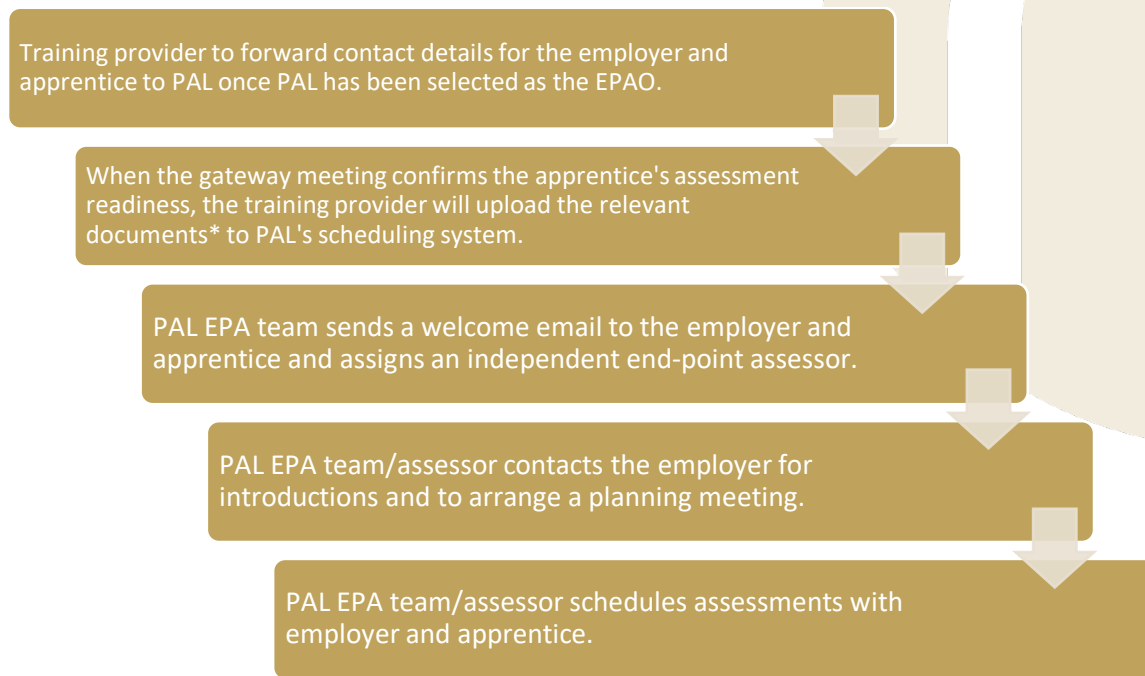
Apprentices may be assessed in British Sign Language where it is permitted for the purpose of reasonable adjustment.

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

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<sup>3</sup> The gateway form 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

## How is end-point assessment delivered?



### *\*Relevant documents:*

- *A completed Gateway record confirming readiness and/or subsequent updates.*
- *Certified evidence of L2 English and Maths achievement.*
- *L3 Diploma in Care.*
- *Evidence of having completed the 15 standards as set out in the Care Certificate.*
- *A self-assessment completed in the last month of the apprenticeship.*
- *Any relevant supporting documents or certificates that support the readiness case.*

The focus of the end-point assessment is on the apprentice being able to demonstrate competence in the role and meet the requirements of the standard, illustrating this through the work that they have done. It takes place once the apprentice has met the Gateway criteria, and consists of the following two complimentary assessment methods:

1. Assessment of knowledge and skills through a situational judgement test.
2. Assessment of knowledge, skills, and behaviours through a professional discussion.

**The assessment plan mandates that the situational judgement test must be achieved before the professional discussion can be undertaken.**

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 training 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 training provider will ensure that the content meets the assessment plan requirements, but does not have a role in the formal end-point assessment or grade decision.

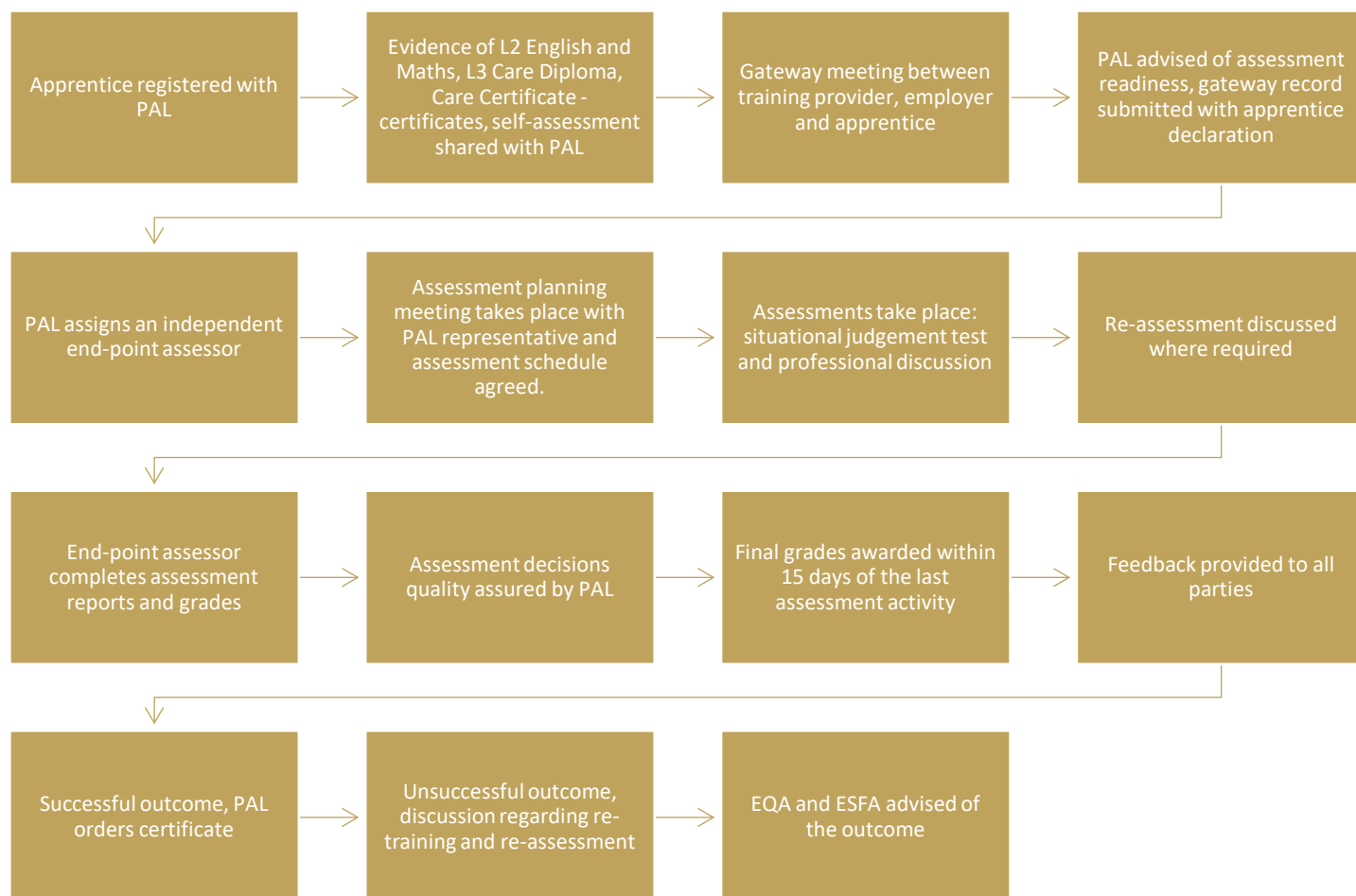
The methods of assessment will build up a cumulative picture of how well the apprentice has met the requirements of the standard. The apprenticeship includes fail, pass, merit, and distinction grades with the overall grade based on the apprentice's combined performance in each assessment method; the professional discussion will carry the grade determining outcome.

The table below summarises how the overall grade is determined. The professional discussion will carry the grade-determining outcome:

		Professional Discussion		
		Pass	Merit	Distinction
Situational Judgement Test	Pass	Pass	Merit	Merit
	Merit	Pass	Merit	Distinction
	Distinction	Merit	Merit	Distinction

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

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



## *Who can carry out end-point assessment?*

End-point assessors for this standard are required to:

- Have excellent knowledge and understanding of the apprenticeship standard.
- Hold a recognised current workplace assessment and internal quality assurance qualification.
- Have current, relevant occupational expertise and knowledge, at the relevant level of the occupational area(s) they are assessing, which has been gained through 'hands on' experience in the industry and across service user groups.
- Practice standardised assessment principles set out by the assessment organisation.
- Have sufficient resources to carry out the role of independent end assessor i.e. time and budget.
- Undertake relevant and effective CPD activity to meet PALs requirements.

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 full range of skills, knowledge and behaviours have been met; this includes the situational judgement test and professional discussion.

## *Internal quality assurance requirements*

Professional Assessment Ltd requires all quality assurance staff to hold a recognised internal quality assurance qualification. IQA staffs 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, and are assessed consistently, reliably and fairly by all EPAs. Policies can be shared upon request, please contact [info@professionalassessment.co.uk](mailto: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 Lead Adult Care Worker 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.
- Communicate with third parties any concerns or issues that may impact on assessment activities or outcomes.

## *External quality assurance requirements*

Quality Assurance – external quality assurance for the Lead Adult Care Worker apprenticeship will be 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 or our independent observation team may accompany assessors carrying out EPA to ensure that the EPA is being administered safely, securely and in line with Professional Assessment guidance.

For further information on quality assurance, standardisation and moderation please see PAL's policies.

## ***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, employers and/or training 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.

## ***End-point assessment planning and scheduling***

Employers and/or training providers<sup>4</sup> 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 training 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 training provider has confirmed a gateway date, we will allocate an independent end-point assessor, and either they or a PAL representative will arrange a planning meeting on receipt and validation of the gateway evidence.

The purpose of the planning meeting is to share information with the independent end-point assessor, in order to support the assessment process and to agree a plan for the upcoming assessment activities for the apprentices. The independent end-point assessor/PAL representative will agree a plan and schedule for each assessment activity to

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<sup>4</sup> 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.

ensure that all assessment components can be completed within the end-point assessment time. The meeting can be conducted remotely using appropriate technology.

The end-point assessment will be conducted over a period of **three 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 training 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. A resit occurs when the apprentice does not require further training prior to re-assessment. A retake denotes that retraining is required before re-assessment. The Lead Adult Care Worker Standard Assessment Plan is specific about resits and retakes as detailed in the next section.

### **Reassessment requirements for each component**

For **Component 1** – Situational judgement test: if the apprentice does not meet the requirements to achieve the minimum marks to pass the situational judgement test in their first assessment attempt and have achieved a score between 25 and 39, they have one further opportunity to **resit** another (different) test within the assessment window. Apprentices who score fewer than 25 correct answers will be required to undertake a professional review of performance and act on the findings before they **retake** the assessment. **A second fail will result in an overall fail and the assessment plan infers that no further assessments are permitted.**

For **Component 2** – Professional discussion: if the apprentice's evidence does not meet the requirements to pass the professional discussion in their first assessment attempt, a further full discussion assessment of the apprentice will be carried out. **If a resit or retake is necessary, the maximum grade achievable will be a Pass, unless exceptional circumstances determined by the EPAO apply. A second fail will result in an overall fail and the assessment plan infers that no further assessments are permitted.**

#### **What happens if an apprentice passes the test on their second attempt and then fails the professional discussion?**

If the apprentice passed the test on their second attempt, progressed to the professional discussion, and then failed that significantly on the first attempt, PAL would typically advise a period of retraining and treat the situation as a **retake**. In situations where the apprentice marginally failed the professional discussion PAL would typically treat it as a resit. For further information please refer to PALs resit and retake policy.

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.

## **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.

Any assessment method resit/retake must be taken during the maximum EPA period; otherwise, the entire EPA must be retaken, unless in the opinion of the EPAO exceptional circumstances apply outside the control of the apprentice or their employer. Resits/retakes are not offered to apprentices wishing to move from pass to distinction.

Where any assessment method has to be resat/retaken, the apprentice may not be awarded a distinction, unless the EPAO determines there are exceptional circumstances requiring a resit/retake. Under normal circumstances, only a pass is available to apprentices who have retaken or resat part of their EPA.

## Assessment Methods

This guide has been produced as a support document to help the apprentice to prepare for end-point assessment. It has been designed to be used alongside the Lead Adult Care Worker Assessment plan and marking criteria. As previously noted, the Lead Adult Care Worker Standard is made up of two assessments: a situational judgement test and a professional discussion.

All end-point assessments should take place within the apprentice's usual working hours and will be planned by the independent end-point assessor 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 independent end-point 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 training provider. The assessments are, in part, inter-dependent, so a final assessment decision cannot be made until all elements of assessment have been completed. Employers can access a detailed record of each method of assessment by accessing PAL's online system.

## Situational Judgement Test

### Key facts about the situational judgement test

The situational judgement test will comprise of a set of scenario-based questions which test the knowledge and skills areas of the standard. Some questions will require the apprentice to consider a course of action or solution to a situation/problem based on a 'real-life' workplace activity in line with the identified requirements of the standard. The questions will be scenario based requiring the apprentice to demonstrate reasoning and joined up thinking, demonstrating synoptic performance against the key elements of the standard.

The standard requires that the apprentice has a breadth of knowledge and skills relevant to the adult care sector so they are expected to know about the business environment, general terminology and the Lead Adult Care Worker role in general, outside of their own specific areas of operation, company processes and procedures.

The assessment will be comprised of 60 multiple-choice questions (MCQ) and the apprentice has 90 minutes in which to complete the test. The test is weighted as 50% of the overall end-point assessment grade.

### How will the situational judgement test be graded?

In order to pass the multiple-choice test, the apprentice must correctly answer questions across the breadth of the standard.

The test is externally marked and results are communicated to the independent end-point assessor. Typically, apprentices will be formally notified of fail grades only.

The assessment is available in both paper-based and online formats.

### Situational judgement test grade boundaries

Total Mark	Grade
55+/60	Distinction
50-54/60	Merit
40-49/60	Pass
39/60 and below	Fail



## Situational judgement test specifics

The test will contain questions in the following areas of the apprenticeship standard. In order to pass, apprentices will demonstrate knowledge and understanding of a representative proportion of the standard. The text in italics denote more specific guidance for assessment of a Lead Adult Care Worker.

Situational Judgement Test	
Areas Assessed	<ul style="list-style-type: none"><li>➤ Understanding the main tasks and responsibilities of a Lead Adult Care Worker <i>including taking the initiative when working outside normal duties and responsibilities and leading, supporting, guiding and mentoring colleagues in the execution of their own roles and responsibilities.</i></li><li>➤ The importance of having the right values and behaviours; treat people with respect and dignity and honoring their human rights <i>and supporting others to understand the importance of equality, diversity and inclusion in adult care.</i></li><li>➤ The importance of communication; communicate clearly and responsibly <i>including leading and supporting others to keep information safe, preserving confidentiality in accordance with agreed ways of working.</i></li><li>➤ How to support individuals to remain safe from harm (Safeguarding) <i>including working in partnership with external agencies to respond to concern of suspected abuse and leading and supporting others to address dilemmas and/or conflicts arising between an individual rights and their duty of care.</i></li><li>➤ How to promote and champion health and wellbeing for the individuals they support and work colleagues <i>including how to lead and support others to achieve the same by role modelling best practice relating to infection control and fire safety.</i></li><li>➤ How to work professionally, including seeking to develop their own professional development <i>and that of others, including the recruitment, induction, mentoring and supervision of others to strive for continues professional development through reflective practice, learning opportunities and partnership working.</i></li><li>➤ Undertake the main tasks and responsibilities according to their job role.</li><li>➤ The implementation on the 6 C's into every day practices.</li><li>➤ Self-assessment of how the learnt knowledge, behaviour and skills have impacted of the quality of care provided.</li></ul>

## What is meant by scenario-based questions?

A scenario-based question presents a scene, problem, challenge or situation that an apprentice may have reasonably expected to have experienced in their role and asks them select typically from four options, the most reasonable and accurate response. Some questions may require more than one response, the question will specify this, where that is the case. Alternatively, the test may require the apprentice to answer a series of questions with short responses. PAL will review both options of testing and will ascertain which is the most reliable and valid assessment process.

As part of the on-programme delivery model, the apprentice should be afforded regular opportunities to undertake practice questions and complete at least one mock test, in exam-like conditions, before the gateway review.

PAL will provide access to mock questions.

## Examination conditions

The assessment is a closed book test, and this means the apprentice is not permitted to access any external references or use any resources, materials or take in notes into the test environment. The test must be independently invigilated.

The assessment can be conducted either on or off the employer's premises, but must be undertaken under the correct examination conditions to comply with Professional Assessments Ltd Invigilation policy and, where assessments are commissioned via a third party, a secondary policy of requirements.

Some of the key conditions for the assessment are:

- A controlled environment (away from day-to-day work pressures).
- The environment must have suitable lighting, ventilation and privacy.
- The apprentice must be undisturbed.
- An exam in progress sign is displayed.
- The apprentice has access to a clock, plain paper and a pen.
- A dictionary be made available (in compliance with third party policies.)
- Where group testing is completed, apprentices must have sufficient space and will face in the same direction, the examination must begin at the same time for all apprentices, apprentices who complete their assessment sooner and others must not distract others from their assessments.

As the assessment is externally set and marked, the assessment can be invigilated by a number of persons including:

- The independent end-point assessor.
- The on-programme trainer.
- An employer representative (dependent on the test issuer, PAL will notify if employer invigilator is permissible).

The independent end-point assessor will ensure that an appropriate and reliable invigilator is organised to support a controlled and fair assessment. Where there is a conflict of interest, for example a relative working within the establishment, the conflict of interest policy will be implemented. The end-point assessor will document the conflict, and confirm that the invigilator used does not contradict the invigilation policy.

Where special considerations or reasonable adjustments have been deployed, an audit trail of request and response to that request and justification for any amendments must be cited in the assessment decisions, showing compliance with the reasonable adjustments policy.

If there is a breach in the assessment conditions, the invigilator will stop the testing process and the assessment will be voided. Breaches of assessment protocols include:

- The assessment environment becoming unfit for testing, for example: interruptions, if the apprentice is asked to complete a work task or asked questions by a colleague, fire alarm disruption.
- If the apprentice fails to comply with the testing requirements for example: disregards rules for no mobile phones or unauthorised materials, disrupts other apprentices within a group testing environment.
- Equipment malfunction for example: loss of internet to run testing, offline testing malfunction, computer malfunction.

## Professional Discussion

### Key facts about the professional discussion

The professional discussion assessment is a 45 minute maximum discussion between the apprentice and the end-point assessor. The employer is not required to be present.

All knowledge and behaviours will be assessed in this component using a wide range of evidence sources including the self-assessment and testimonies from people who use services. The professional discussion will include areas of the standard which have not yet been evidenced in the situational judgement test plus key additional areas as identified in the table below.

The professional discussion is an opportunity for the apprentice to showcase evidence of the additional learning or professional development they have undertaken during the apprenticeship.

### Professional discussion specifics

The professional discussion is an opportunity for the apprentice to showcase evidence of the additional learning or professional development they have undertaken during the apprenticeship. It is a planned, structured discussion between the apprentice and the independent end-point assessor. All knowledge and behaviours will be assessed in this component using a wide range of evidence sources including the self-assessment and testimonies from people who use services.

In order to pass the professional discussion apprentices will demonstrate ALL of the following, unless naturally occurring evidence in the situational judgement test has already demonstrated competence in which case it should not be reassessed. The text in italics denote more specific guidance for assessment of a Lead Adult Care Worker.

Professional Discussion	
Areas assessed	<ul style="list-style-type: none"><li>➤ Understand and undertake main tasks and responsibilities of a Lead Adult Care Worker <i>including taking the initiative when working outside normal duties and responsibilities and leading, supporting, guiding and mentoring colleagues in the execution of their own roles and responsibilities.</i></li><li>➤ The importance of having the right values and behaviours; treat people with respect and dignity and honoring their human rights <i>and supporting others to understand the importance of equality, diversity and inclusion in adult care.</i></li><li>➤ The importance of communication; communicate clearly and responsibly <i>including leading and supporting others to keep information safe, preserve confidentiality in accordance with agreed ways of working.</i></li><li>➤ How to support individuals to remain safe from harm (Safeguarding) <i>including working in partnership with external agencies to respond to concern of suspected abuse and leading and supporting others to address dilemmas and/or conflicts arising between an individual rights and their duty of care.</i></li><li>➤ How to promote and champion health and wellbeing for the individuals they support and work colleagues <i>including how to lead and support others to achieve the same by role modelling best practice relating to infection control and fire safety.</i></li><li>➤ How to work professionally, including seeking to develop their own professional development <i>and that of others, including the recruitment, induction, mentoring and supervision of others to strive for continues professional development through reflective practice, learning opportunities and partnership working.</i></li><li>➤ The implementation on the 6 C's into every day practices.</li><li>➤ Self-assessment of how the learnt knowledge, behaviour and skills have impacted of the quality of care provided.</li></ul>

The discussion will be planned in advance to allow the apprentice to prepare fully.

The apprentice will receive a written agenda a minimum of 5 working days prior to the assessment and may bring additional materials to assist them to demonstrate their competence. The discussion must be appropriately structured to draw out the best of the apprentice's energy, enthusiasm, competence and excellence.

In circumstances where all assessments are completed on the same day, the assessor will review the agenda, prior to the discussion, to prevent over-assessment of what has been evidenced, and to ensure full coverage of the standard. If there are amendments or additions to the agenda, the apprentice will be allowed a maximum of 30 minutes to review these changes and prepare before the discussion is commenced.

### ***Self-Assessment***

As part of the end-point assessment process the apprentice must complete a detailed self-assessment in the last month of their apprenticeship to demonstrate that they are confident that they have taken on board all aspects of the occupation. This self-assessment must be submitted to the independent end-point assessor at the planning meeting as a source of evidence to prepare for the professional discussion.

An example of a self-assessment activity can be found in Appendix 3.

### ***Preparing for the discussion***

It is recommended that apprentices produce a personal development log of their CPD plans, training and personal development activities and outcomes, identifying how their learning has been applied to their role to aid their self-assessment.

Apprentices may need to give examples of real work-based evidence to support their personal development log/discussion.

Evidence could include:

- Regular reviews of performance between the apprentice and line manager.
- Personal development plan.
- Details of any formal or informal learning undertaken.
- Evidence of self-reflection and outcomes of the application of learning from the activities above.

### ***What can the apprentice bring to the professional discussion?***

The apprentice can bring evidence such as a personal development plan, learning journal/notes, training records or performance reviews, self-assessment, or any other evidence they believe demonstrates their learning and progression throughout the apprenticeship programme. They can also bring supporting evidence for any of the agenda points, such as work products and documents they have produced during the course of their apprenticeship.

### ***How can the professional discussion be undertaken?***

The method in which the professional discussion is undertaken should be the method that best suits the apprentice.

The professional discussion can be completed via face to face or remote assessment. Where 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 end-point assessor for internal quality assurance.

Where the interview is completed face to face, the independent end-point assessor should complete a written summary of the professional discussion and submit this with the digital recording for quality assurance purposes.<sup>5</sup>

Any video or audio recordings will be saved securely within the apprentice's secure online folder for QA access and be named using the correct conventions: Apprentice name – Professional Discussion Recording.

The written marking report will be documented within the apprentice's secure online folder for QA access and be named using the correct conventions: Apprentice name - Professional Discussion Record.

The professional discussion will be conducted in a 'controlled environment' i.e. a quiet room, away from the normal place of work.

The professional discussion date and timings will be planned in advance to allow for quality assurance activity in line with sampling requirements and will cover the key elements of the standard identified in the assessment plan.

The discussion must be structured by the end-point assessor to draw out the best of the apprentice's energy, enthusiasm, competence and excellence. The amount of questions asked will vary according to the breadth and depth of the answers given (and how many follow on questions are required).

Where special considerations or reasonable adjustments have been deployed, an audit trail of request and response to that request and justification for any amendments must be cited in the assessment decisions, showing compliance with the reasonable adjustments policy.

### *How will the professional discussion be graded?*

The end-point assessor will use the following grade descriptors and the standard criteria to score the professional discussion.

Grade	Grade Descriptors
To gain a Pass	<ul style="list-style-type: none"><li>➤ The apprentice demonstrates a good level of subject enthusiasm and confidence.</li><li>➤ Expressions of language are competent and terminology is relevant demonstrating sufficient sector knowledge.</li><li>➤ Information is presented clearly; examples are relevant and presented in a logical order.</li><li>➤ The apprentice will make limited reference to relevant sources of information linked to the content, sources of information were correctly cited and supported content.</li><li>➤ Information, such as sources of information support points made and demonstrate a sufficient grasp of content and some relevant examples of practice.</li><li>➤ The discussion intermittingly demonstrated appropriate relevant critical thinking skills with one to two examples of this.</li></ul>
To gain a Merit	<ul style="list-style-type: none"><li>➤ The apprentice presents engaging and demonstrates a very good level of subject enthusiasm and confidence.</li><li>➤ Information is effectively organised and stated; examples are specific and relevant, follow a clear logical order.</li></ul>

<sup>5</sup> Note in exceptional cases, PAL may allow an apprentice to be exempt from a digitally professional discussion, a written record would still be required. Any exemption would need to be agreed at the assessment planning meeting and be subject to PAL's special considerations and reasonable adjustment policy

Grade	Grade Descriptors
	<ul style="list-style-type: none"> <li>➤ The apprentice makes frequent reference to relevant sources of information linked to the content, sources of information were correctly cited and supported content.</li> <li>➤ Information, such as sources of information support points made.</li> <li>➤ The discussion demonstrates a good grasp of content, can provide relevant examples of practice and consistently demonstrates critical thinking skills throughout.</li> </ul>
To gain a Distinction	<ul style="list-style-type: none"> <li>➤ The apprentice presents dynamic and demonstrate a high level of subject enthusiasm and confidence.</li> <li>➤ Expressions of language are insightful and terminology is relevant demonstrating impressive sector knowledge.</li> <li>➤ Information is very effectively organised and stated; examples are specific and relevant, follow a clear logical order; content flows smoothly; conclusions are clear and the discussion is apprentice led.</li> <li>➤ Confident and clear reference to relevant sources of information linked to the content, links are clearly explained sources of information were correctly cited.</li> <li>➤ The apprentice addresses question/subject in depth, complete and requires no prompts; information, such as sources of information support points made.</li> <li>➤ The apprentice demonstrates a very good grasp of content and provides amplification through detailed examples of practice.</li> <li>➤ The discussion consistently demonstrates critical thinking skills that aided amplification of the subjects discussed.</li> </ul>

## *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](mailto:info@professionalassessment.co.uk).

The apprentice, employer and training 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 Lead Adult Care Worker Padlet, the PAL website or by request to [info@professionalassessment.co.uk](mailto: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 training provider) can enquire about the results. An enquiry means that PAL will invoke its appeals and disputes policy and procedure.

PAL's appeals and disputes policy can be accessed on the Lead Adult Care Worker Padlet, the PAL website or by request to [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk)

Where an apprentice or customer does not wish to appeal the assessment result but does want to complain about the EPA service, PAL's complaints policy should be referred to and contact made with the business development team via email on [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk) or on free phone number 08001601899. The complaints policy can be accessed on the Lead Adult Care Worker Padlet, the PAL website or by request to [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk)

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 is where administrative mistakes have been made, this could be, not checking the correct spelling of an apprentice's name, and the subsequent re-issuing of a certificate. Maladministration refers to genuine mistakes and generally will not incur penalties, providing it is a one-off mistake or a system error where the company did not give the correct information

Malpractice is a grave offence and where proven will result in immediate sanctions, disciplinary action and possible dismissal and notification to the relevant EQA body, 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 Lead Adult Care Worker Padlet, the PAL website or by request to [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk)

### ***Reasonable adjustments/considerations/adaptations***

Where special considerations and/or reasonable adjustments have been requested, the end-point 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 training provider or employer, acting on behalf of the apprentice, to make such requests.

PAL's Special Considerations and Reasonable Adjustment policy is in place to ensure fair access to assessment and can be accessed on the Lead Adult Care Worker Padlet, the PAL website or by request to [info@professionalassessment.co.uk](mailto:info@professionalassessment.co.uk)

### ***Certification***

PAL will request the apprenticeship certificate for successful end-point assessments using the ESFA portal service and PAL will issue the apprentice with a Record of Achievement.

PAL will notify the relevant External Quality Assurance Provider and the ESFA of end-point assessment activities, from the time an apprentice is registered to the time they undertake assessment; notification to these bodies includes successful achievements, completion but a fail. 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 and/or payment has not been received.

### ***Validity, Authenticity, Relevancy, Currency and Sufficiency***

The evidence presented must be meet VARCS requirements.

- **Valid** - is the evidence appropriate to demonstrate the particular standard that it is intended to cover?
- **Authentic** - is the evidence proven to be the apprentice's own work, have any reflective accounts/statements being authenticated by a supervisor/manager?
- **Relevant** - Is the evidence relevant to the particular standard that it is intended to cover and has a clear judgement?
- **Current** - does the evidence relate to the on programme element of the apprenticeship?
- **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 endpoint 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 1 – Gateway Declaration Record for Lead Adult Care Worker

### 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.<sup>6</sup>

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.

<b>Apprentice Name</b>	Click or tap here to enter text.	<b>Apprentice Contact Number</b>	Click or tap here to enter text.
<b>Apprentice ULN</b>	Click or tap here to enter text.	<b>Apprentice Email Address</b>	Click or tap here to enter text.
<b>Line Manager Name</b>	Click or tap here to enter text.	<b>Line Manager Contact Number</b>	Click or tap here to enter text.
<b>Employer Organisation</b>	Click or tap here to enter text.	<b>Line Manager Email Address</b>	Click or tap here to enter text.
<b>Training Provider Name</b>	Click or tap here to enter text.	<b>Gateway Review Date</b>	Click or tap to enter a date.
<b>Start Date of Apprenticeship</b>	Click or tap to enter a date.	<b>End Date of Apprenticeship</b>	Click or tap to enter a date.
<b>Has the minimum apprenticeship duration of 12 months been met, as defined in the ESFA funding rules?</b>			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.

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<sup>6</sup> 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 3 Diploma in Care	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.
Care Certificate	Yes <input type="checkbox"/> No <input type="checkbox"/>	Click or tap here to enter text.
Self-Assessment by the Apprentice	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.

<b>Name</b>	Click or tap here to enter text.
<b>Signature</b>	Click or tap here to enter text.
<b>Date</b>	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 2 - Guidance regarding depth of knowledge

PAL does not specify how the apprenticeship programme should be delivered, however we can provide guidance regarding the depth of knowledge required.

The standard encourages and supports competence in the workplace, however the standard also requires the apprentice to demonstrate a breadth and depth of knowledge and understanding and recognise the wider role within the Adult Care sector and across service user groups.

The following is offered as a guide and apprentices and training providers can substitute or update theories and concepts as appropriate, with the caveat the apprentice is able to relate practice and theory.

Level 3 courses represent a range of knowledge and skills, including detailed knowledge of one or more areas. Level 3 corresponds to job roles where apprentices are required to work independently and lead and supervise others.

Personal attributes and behaviours expected of all Lead Adult Care Workers:

- Care - responses and behaviour must demonstrate how the apprentice cares consistently and enough about individuals to make a positive difference to their lives.
- Compassion - responses and behaviour must demonstrate how the apprentice is delivering care and support with kindness, consideration, dignity and respect of the service user and others.
- Courage - responses and behaviour must demonstrate that the apprentice is able to implement the right thing for people and speaking up if the individual they support is at risk.
- Communication - responses and behaviour must demonstrate good communication skills and the apprentice must understand how good communication is central to successful caring relationships and effective team working.
- Competence - responses and behaviour must demonstrate how the apprentice is applying knowledge and skills to provide high quality care and support.
- Commitment - responses and behaviour must demonstrate how the apprentice is committed to improving the experience of people who need care and support ensuring it is person centred.

The apprentice must be able to link these attributes and behaviour to relevant work examples to demonstrate how skills sets have developed over the course of the apprenticeship, how this has improved the quality of care given and how this has impacted on the service user's experience of care.

These concepts are further underpinned through the self-assessment exercise submitted for end-point assessment.

### Relevant statutory standards and codes of practice:

The Lead Adult Care Worker [Code of Conduct](#) sets the expected standard of all adult care and healthcare workers in England. It is often used in conjunction with the [Care Certificate standards](#). The Code of Conduct characterises how a Lead Adult Care Worker should behave and the Care Certificate outlines the minimum expectations of what a Lead Adult Care Worker needs know and must be able to do.

Responses, behaviour and practice examples given by apprentices must reflect both at a level that reflects their role and responsibilities within the setting they work in. The apprentice is expected to have achieved the care certificate prior to entering end-point assessment and the employer will need to validate this.

Apprentices should be able to relate their responses further to relevant policies and procedures as well some key legislation, such as:

- [The Health and Social Care Act 2012](#)
- [The Equality Act 2010](#)
- [The Mental Capacity Act 2005](#)
- [General Data Protection Act 2018](#)

- [The Data Protection Act 2018](#)
- [The Health and Safety at Work Act 1974](#)
- [Manual Handling Operations Regulations 1992 \(amended 2002\)](#)
- [Control of Substances Hazardous to Health 2002](#)
- [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995](#)

Furthermore, the apprentice should understand how to access policies and procedures and have a good understanding of the concept and content of:

- [Whistleblowing](#) – whistleblowing/raising a concern is the process of reporting a concern, wilful wrong doing or something that is against the law and this that may pose a risk to others having the courage to speak up, understanding what to do and what support is available is therefore crucial to anyone working within the sector.
- [Safeguarding](#) – apprentices must know and understand their role and responsibilities in protecting the health and emotional wellbeing of the people they are supporting including how to promote an individual's rights and to live safely.
- Complaints – by law all adult care services/setting must have a clear complaints procedure, it should outline how and who to complain to, who will respond, investigate and the timescale of when to expect a response. The [Quality Care Commission \(CQC\)](#) gives further guidance on how to complain if the complainant finds the response to the initial complaint unsatisfactory, click [here](#) to read more.
- Data Protection – Protecting service user's confidentiality and privacy are the foundations of maintaining an individual's dignity. All adult care services/settings are expected to have policies and procedures in place that aim to achieve this and how dignity is maintained is one of the Quality Care Commission's (CQC) [key lines of enquiry](#) during an inspection. The above link to the Data Protection Act 2018 outlines the role and responsibilities of all parties that have access to personal and private data.
- Health and Safety including:
  - Infection Control – Infection prevention and control is an important aspect in maintaining the wellbeing of service users and the consistent and effective application of policies and procedures contribute to providing safe, effective and quality care services. The [National Institute for Health Care Excellence \(NICE\)](#) provides guidance to managers and staff working in health and care settings, click [here](#) to read more.
  - Fire safety – apprentices need to be fully aware and understand how to prevent fires from starting and spreading and be able to describe the emergency procedures that must be followed during the event of a fire in the service/setting they work in. The [Regulatory Reform \(Fire Safety\) Order 2005](#) – sets out how every workplace must prevent/protect against fire.
  - Working with hazardous substances – The [Control of Substances Hazardous to Health Regulations \(COSHH\)](#) 2002 outlines how individuals should be protected from any substances that may cause harm or illness and an apprentice is expected to know and understand what these substances are defined as and how to ensure proper storage and usage, this includes how to deal with spillages and waste.
  - Reporting of Injuries, Diseases and Dangerous Occurrences for further information please click [here](#) and to read about how applies to health and social care specifically. It is expected that apprentices at this level have a good understanding what is reportable and how this is done correctly.



### Appendix 3 – Self-Assessment Example

The table below provides an example of self-assessment of one aspect of the standard. The apprentice will be expected to self-assess against the breadth of the standard.

Activity What was the focus of your reflection?	What happened? What was the situation? What did you try to achieve? What actions did you take? What was the response of others? What were the consequences – for yourself/for others?	So what? What did the situation teach you? What were you thinking and feeling? What other knowledge could you have brought to the situation? What is your new understanding of the situation?	Now what? What do you need to do to improve things? What broader issues need to be considered if this action is to be successful? What might you do differently in the future? What might be the consequences of this action?	Further development Based on your reflection are there any additional learning and development activities required?	Attributes and Behaviours Met Your self-assessment should demonstrate that you can confidently meet attributes and behaviours expected of a Lead Adult Care Worker. What apprenticeship standard and which of the 6C's have been met?
<i>How to support a service user through situations that cause distress.</i>	<i>I am working with a service user who presents with challenging behaviour on a daily basis, particularly when supported with personal hygiene and dressing. My aim is to find a routine that makes the experience of those daily tasks more positive and less distressing. I discussed this issue with the multi-disciplinary team that is involved in Mrs M's care at present, who were able to make suggestion and give insights in the support and help that maybe available. It was agreed to review the care routine. Tasks and routines were simplified to avoid Mrs M being overwhelmed as well as to review her medication to establish if this</i>	<i>The situation taught me that communication is key to ensure service users receive the very best care and support. I felt that I was not able to find a solution on my own and that the situation had become to distressing for Mrs M as well as becoming stressful for myself. Working with others in this case has helped to find a strategy that is working. Currently the new strategy is working, and Mrs M is less distressed, the team is working together to make sure everyone is aware of her plan of care, so the approaches are consistent.</i>	<i>In order to further improve the situation, I need to make sure that I report and record any changes to Mrs M's behaviour, especially if this worsens again to establish if there is a pattern or particular trigger. I feel I could have done this sooner. I am hoping this will support Mrs M's daily physical and mental well-being.</i>	<i>I like to learn more about how to positively manage challenging behaviour and what kind of strategies and support there is available. I have discussed this with my manager during my supervision and recorded this on my personal development plan.</i>	<i>Care – is caring consistently and enough about individuals to make a positive difference to their lives Compassion – is delivering care and support with kindness, consideration, dignity, empathy, and respect Commitment – to improving the experience of people who need care and support ensuring it is person centred  1. The tasks and responsibilities of the job role relevant to the context of the service in which they are working. This could include supporting with social activities, monitoring health, assisting with eating, mobility, and personal care 5. How to contribute towards the development and creation of a care plan underpinned by the individual's preferences in regard to the way they want to be supported 6. How to identify, respond to and escalate changes to physical, social, and emotional needs of individuals 32. How to work together with other people and</i>

<b>Activity</b> What was the focus of your reflection?	<b>What happened?</b> What was the situation? What did you try to achieve? What actions did you take? What was the response of others? What were the consequences – for yourself/for others?	<b>So what?</b> What did the situation teach you? What were you thinking and feeling? What other knowledge could you have brought to the situation? What is your new understanding of the situation?	<b>Now what?</b> What do you need to do to improve things? What broader issues need to be considered if this action is to be successful? What might you do differently in the future? What might be the consequences of this action?	<b>Further development</b> Based on your reflection are there any additional learning and development activities required?	<b>Attributes and Behaviours Met</b> Your self-assessment should demonstrate that you can confidently meet attributes and behaviours expected of a Lead Adult Care Worker. What apprenticeship standard and which of the 6C's have been met?
	<i>could provide further support.</i>				<i>organisations in the interest of the person being supported 33. How to be actively involved in their personal development plan 35. What to do to develop, sustain and exhibit a positive attitude and personal resilience 36. Where and how to access specialist knowledge when needed to support performance of the job role</i>