

Level 4 Preparing for Leadership and Management of Health and Social Care

March 2023 Version 1.3

Assessment pack

Version and date	Change detail	Section
1.1 March 2020	Task A mark scheme amendment	Pass criteria
1.2 June 2021	Component reference for Legislation, theories and models of person/child-centred practice unit updated to read 490 throughout document to align with Walled Garden	Throughout document.
1.3 March 2023	Result release timeframes clarified	Section 3 - Preparing and submitting evidence for external submission
	Minor amendment to wording	Declaration form

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1 Assessment overview

Assessment approach

The Level 4 Preparing for Leadership and Management in Health and Social Care qualification will be assessed through the following assessments.

Section 1 covers a series of tasks to cover unit (490).

These tasks will be marked internally, with the result submitted to City & Guilds.

Section 2 covers tasks that require the candidate to produce a report and conduct a presentation. These tasks cover unit (411).

These tasks will be externally marked by the awarding body.

Section 3 covers a series of tasks covering unit (412).

These tasks will be marked internally, with the result submitted to City & Guilds.

2 Candidate guidance

Overview

For the assessment of this qualification, you will be required to complete the following assessment activities,

Section 1

- Task A** – Written response
- Task B** – Written response
- Task C** – Oral assessment

The tasks in Section 1 will be internally assessed by your assessor.

Section 2

- Task D(i)** – Report on a change to practice
- Task D(ii)** – Presentation of report on a change to practice, and a discussion

The tasks in Section 2 will be externally assessed by the awarding body.

Section 3

- Task E** – Written response
- Task F** – Oral assessment
- Task G** – Written response

The tasks in Section 3 will be internally assessed by your assessor.

How the tasks link to your learning

The table provides an overview of how the tasks relate to the units of learning from your training programme.

Note that whilst the tasks target learning from specific units; you are encouraged to think about the entirety of your learning as you respond to the individual tasks.

Unit 490 Legislation, theories and models of person/child-centred practice	Tasks A – C
Unit 411 Theoretical frameworks for leadership and management in health and social care	Task D
Unit 412 Leadership and management of effective team performance in health and social care services	Tasks E – G

General information for candidates

Introduction to the tasks

The assessments for this qualification have been designed to present you with the opportunity to demonstrate the knowledge and understanding of leadership and management within the context of real-life work situations in health and social care. The tasks require you to consider how you would behave in a leadership and management role, and you should approach the tasks from this perspective, applying the knowledge and understanding you have gained from your learning programme to respond to the tasks.

Where possible, you are encouraged to use your own experience and reflections of previous experience in the health and social care sector to support your responses.

If you do refer to any current or past experiences that relates to work with individuals or others, you must ensure that any references to the identify of these individuals or organisations/settings are kept fully anonymised within all your assessment tasks. This should include taking care not to use specific references or information that may by default identify an organisation/setting, individual supported or other individual.

Presentation of evidence

Written responses are required for completion of a number of the tasks in this assessment. Written responses should be provided as electronic, typed responses. You should ensure that your work is presentable, i.e. use a standard font in a readable font size (such as Times New Roman, or equivalent, size 12), use double spacing and include adequate margins.

Use of external resources and references

Where relevant, you are permitted to use and make reference to external resources throughout the assessment tasks. However, you must clearly detail and reference any external sources that you have referred to or used as part of your responses. The '**What must be produced for assessment**' section of each task clearly states where a reference list must be provided if you have used any external resources as part of your task response.

Confidentiality

You are required to follow the confidentiality and consent requirements of your organisation/setting at all times whilst completing the assessment tasks. All of your evidence submitted for the tasks within this assessment must meet the confidentiality and consent requirements of your organisation/setting. You must also be aware of and ensure you work in ways that fully maintain all safeguarding considerations in your work environment at all times.

Section 1

Task A

As a leader and manager, describe how you can create a safe and secure setting that enables individuals to express their identity (e.g. sexual orientation, religious beliefs, language of choice) without fear of discrimination and harassment.

As part of your response, you must consider legislation, conventions and guidance related to:

- Equality and rights
- Person/child-centred practice
- Safeguarding
- Welsh language
- Advocacy

Conditions of assessment

Working independently under quiet uninterrupted conditions

What must be produced for assessment:

- Written response
- Reference list of any research, information sources or resources used or referred to

Task B

As part of your learning programme, you have explored a number of theories and models that are used to support person/child centred practice.

Describe how these theories and models can be applied within person/child centred practice to support the well-being, rights and liberties of individuals.

As part of your response, you should have applied understanding of and referenced theories/models that cover **each of** the following factors:

- biological
- sociological
- psychological.

Conditions of assessment

Working independently under quiet uninterrupted conditions

What must be produced for assessment:

- Written response
- Reference list of any research, information sources or resources used or referred to

Task C

Your assessor will provide you with a scenario that you will need to read and review. You will then need to draft your responses to the questions listed below and give your answers verbally to your assessor. You should consider how you promote voice and control of individuals and your learning of the following topic areas in your responses:

- Dignity and respect
- Citizenship and inclusion
- Advocacy and co-production.

Questions:

- How are the topic areas relevant to the scenario?
- What main conclusions have you come to from reviewing the scenario and considering the topic areas, and why?
- Considering the topic areas, can you describe some other values and communication skills that might have achieved a more positive outcome for the individuals in this scenario?

Following release of the task, you have up to **60 minutes** of preparation time to respond to the scenario and draft your responses to the questions.

You will then have up to **30 minutes** with your assessor to discuss your responses verbally.

Conditions of assessment

Working independently under quiet uninterrupted conditions to draft initial question responses

Oral assessment with an assessor, under uninterrupted conditions

What must be produced for assessment:

- Preparation notes
- Assessor's oral assessment record

Section 2

As part of a leadership and management role, it is important to understand the culture of the organisation/setting and the impact this may have on the service that is led/managed.

Task D

You are required to propose a change to practice within your organisation/setting to support positive outcomes and the well-being of individuals who use health and social care services.

For this task, you will need to:

- Produce a report that outlines a change to practice
- Deliver a formal presentation of your report to your assessor
- Have a discussion with your assessor (following delivery of your presentation)

Task D(i)

You will produce a report that outlines a change to practice.

As part of your report, you should

- Identify an area for improvement.
- Produce a proposal for the changes that would need to be made
- Identify the different change management theories that could support your change to practice, which reference given to how at least one of these theories would be applied to support your change to practice
- State where your change fits in relation to a legislative and regulatory framework for health and social care services
- Produce evidence to support the rationale for your proposed change to practice. This must include reference to concerns and complaints that have either been submitted to your organisation/setting or are part of a formal review, and recommendations from inspection reports or thematic reviews from service regulators
- Identify potential challenges to your intended change to practice, and ways to respond to these

Note that with reference to legislative and regulatory frameworks, this must relate to a relevant theme or regulation and guidance from either the:

- Health and Care Standards Framework 2015
- Regulation and Inspection of Social Care (Wales) Act 2016

As examples, for part of your response, you may want to consider

- co-production to ensure that you take an inclusive approach to change;
- coaching, mentoring and motivational interviewing as a potential response to worker conflict and resistance to change.

You must also consider the use of relevant statistics, research and organisational documentation as part of your response.

Conditions of assessment

Working independently under quiet uninterrupted conditions

What must be produced for assessment:

- Written report
- Reference list of any research, information sources or resources used or referred to

Task D(ii)

You are looking to gain support for your proposed change to practice from others in the organisation/setting.

You are required to deliver a formal presentation of your report to your assessor, outlining its content and the rationale for your proposed change to practice.

Your formal presentation should be structured either in a boardroom style format or delivered as a PowerPoint presentation. This is described as a situation where the assessor would be sat at a table with the candidate presenting from the front of the room, next to display equipment. The intention of the presentation is to gain the support needed to implement the proposed change.

Your delivered presentation should last approximately **15** minutes.

Following the delivery of your presentation, you should be prepared to have a discussion with the assessor on your report and presentation. This discussion will last for approximately **5-10** minutes.

Conditions of assessment

Presentation and discussion, under uninterrupted conditions

What must be produced for assessment:

- Presentation
- Assessor presentation notes
- Assessor discussion notes

Section 3

Task E

You are required to locate and review your organisation/setting's recruitment and induction process/processes.

You are required to review the process/processes and,

- Evaluate the extent to which the process/processes of the organisation/setting supports values-based recruitment and induction. You should provide reasons for your answer.
- Discuss one feature of recruitment that you would change, giving a reason for your response.
- Discuss one feature of induction that you would change, giving a reason for your response.

Conditions of assessment

- Reference list of any research, information sources or resources used or referred to

What must be produced for assessment:

- Written response
- Working independently under quiet uninterrupted conditions

Task F

Your assessor will provide you with a scenario that you will need to read and review. You will need to draft your responses to the questions listed below and give your answers verbally to your assessor. You should consider the role that leadership plays in supporting teams within a health and social care setting and your learning of the following topic areas in your responses:

- Equality, diversity and inclusion, and the impact of these on workers and teams
- The impact of leadership qualities on teams
- The role of effective delegation in a team environment.

Questions:

- What core values and leadership behaviours might support you to improve motivation and earn trust and respect within the team?
- How might your knowledge of appropriate theories (e.g. emotional intelligence, transactional analysis, the senses framework and social interdependence theory) help you to develop more positive relationships within this team?
- Why is an understanding of equality, diversity and the Welsh language important in this scenario?
- What process would you take to ensure that the delegation of tasks is transparent and clear within the team?

Following release of the task, you have up to **60 minutes** of preparation time to respond to the scenario and draft your responses to the questions.

You will then have up to **30 minutes** with your assessor to discuss your responses verbally.

Conditions of assessment

Working independently under quiet uninterrupted conditions to draft initial responses
Oral assessment with an assessor, under uninterrupted conditions

What must be produced for assessment:

- Preparation notes
- Assessor's oral assessment record

Task G

You are in a leadership and management role, with management responsibility for a team member who has failed to meet organisational expectations around performance.

Describe the tools that are available for you to deal with poor performance, as per this scenario.

As part of your response, you should consider:

- How you would look to provide support to a team member who has failed to meet performance expectations, including consideration of different learning styles and methods.
- The personal challenges that you may face as a manager or leader when dealing with poor performance, and how you would respond to these challenges.

Conditions of assessment

Working independently under quiet uninterrupted conditions

What must be produced for assessment:

- Written response

3 Assessment introduction for tutors/internal assessors

Introduction

This assessment is designed to require the candidate to make use of the 'tool kit' of knowledge, understanding and skills they have built up over their programme of learning for this qualification for them to show their knowledge and understanding of the underpinning principles of leadership and management within the health and social care sector.

Roles within the process

The internal assessor is responsible for assessing Tasks A – C and E - G using the pass criteria provided in this assessment pack.

The internal assessor will also be responsible for ensuring the authenticity of the assessments for Task D that requires submission to City & Guilds for external assessment.

Tutors may be involved in the release/assignment of tasks to learners. However, it is the role of the internal assessor to ensure that the assessments are undertaken as stipulated in this guidance, and to make the final assessment decision for tasks in Sections 1 and 3.

Delivery of the assessments

Introducing the assessment to candidates

The tasks have been developed in a sequence that reflects the expected delivery model of the content for this qualification. It is therefore recommended that tasks are completed in sequence.

The tutor/internal assessor should introduce each of the assessments to the candidate when they are deemed ready and prepared to undertake the assessment. This should occur following a period of learning and formative assessment.

Release of the assessment to the candidate confirms that the internal assessor has confidence that the candidate has undergone sufficient teaching and guidance to have developed a depth of understanding that will allow them to respond to each of the tasks.

Conditions of assessment

During the assessment process the candidate should be provided with an appropriate environment and sufficient time to ensure the authenticity of their assessment tasks.

The environment should be a quiet environment within the workplace/setting where the candidate has the opportunity to work undisturbed. Due to the nature of these tasks, candidates do not need full-time supervision, but the assessor should be able to confirm that the work completed is that of the candidates. Candidates are permitted to refer to relevant reference materials or sources (e.g. models or theories) but must clearly identify any sources they have used within their work.

The candidate is required to sign the declaration of authenticity form (Appendix 4) to confirm that the work that they are submitting is their own. The internal assessor is responsible for flagging on marking any concerns with the submitted work and must also sign the declaration form to confirm authenticity of the submitted work.

Completion and submission of assessment

The assessment model for this qualification reflects continuous assessment. The tutor/internal assessor must release individual tasks to the candidate at a suitable point following the delivery of the content, and at a time when the tutor/internal assessor is confident that the candidate is secure in their knowledge and understanding to complete the assessment task. **The tutor/internal assessor must not release all of the assessment tasks in one go.**

The tutor/internal assessor should discuss and agree a completion timetable for the tasks with the candidate, considering their delivery programme and their ability to successfully undertake each of the tasks within the assessment period. Submission dates for assessment tasks should be set so that they do **not** overlap, i.e. the candidate should have a defined period to respond to each task. Following this discussion and agreement, the tutor/internal assessor must provide candidates with a planned timetable of completion for each of the tasks, with clear submission dates. The candidate will submit the task as their final work and should be assessed by the assessor accordingly. For Task F, the internal assessor should book time for this activity directly with the candidate, and the task will be completed at this point.

The tutor/internal assessor should maintain a clear audit trail of the release date and expected submission date of each task for each candidate. It is suggested that the table below (or one like the one presented below) is kept for each candidate to record the release date of the task, anticipated submission date and actual receipt date. This table can also be used to record any resubmission required as applicable.

	Task release date	Submission due date	Submission received date	Resubmission due date (if applicable)	Resubmission received date (if applicable)
Section 1					
Task A					
Task B					
Task C					
Section 2					
Task D(i)					
Task D(ii)					
Section 3					
Task E					
Task F					
Task G					

Review of evidence and grading

The internal assessor should review the evidence provided for Tasks A – C, E - G and use the pass criteria to confirm whether the candidate has met the requirements for a pass to be awarded, for each task.

The assessment summary form (Appendix 2) should be completed by the assessor to capture evidence of their assessment decision and their overall decision for each task.

The candidate is required to achieve a pass in all tasks for an overall pass grade to be obtained. Achievement of a pass in all tasks per unit, will result in an overall pass grade at the unit level. Unit grades should be submitted to the City & Guilds Walled Garden.

Unit		What needs to be done for achievement	Submission of result
490	Legislation, theories and models of person/child-centred practice	Successful completion and pass achieved in Tasks A – C	Pass grade confirmed and submitted to the Walled Garden by the centre
411	Theoretical frameworks for leadership and management in health and social care	Successful completion and pass achieved in Tasks D	Pass grade confirmed and submitted by City & Guilds
412	Leadership and management of effective team performance in health and social care services	Successful completion and pass achieved in Tasks E - G	Pass grade confirmed and submitted to the Walled Garden by the centre

Resit arrangements

Candidates who fail to meet the criteria required to achieve a pass in any assessment task are permitted to retake the task.

Where a candidate is required to retake the task, a clear audit trail must be provided by the assessor that shows how feedback has been provided to the candidate, and what remedial activity has been taken to support the development of any deficits in the candidate's knowledge and understanding.

A feedback form has been provided for this (Appendix 3).

Where a candidate is required to retake a task, guidance should be given to the learner as per the table below, on how their re-attempt should differ from their original response. In most cases, the candidate is asked to look at the task from a different perspective, either referring to a different scenario or example, in order to show their developed knowledge and understanding. For tasks A and E, the candidate is permitted to retake the original tasks, without needing to provide a different focus within their response.

Task A	
Task B	The candidate's response should focus on either a different theory or model to their initial response or should focus on a different specific example from their experience.
Task C	An alternative scenario to the original scenario should be provided.
Task D(i)	The candidate's focus to these tasks should be on a different proposed change to practice.
Task D(ii)	
Task E	
Task F	An alternative scenario to the original scenario should be provided.
Task G	The candidate's response will be based on the revised scenario provided for Task G.

For both tasks C and F, multiple PowerPoint packs will be provided by City & Guilds, each with a different scenario. These packs will be available to download from the consortium website. The reason for providing multiple versions is to support comparable resit opportunities for these tasks. Centres are permitted to choose any of the available versions for initial delivery of the assessment but must use a new version for any resit.

If candidates have failed to achieve a pass grade in either task C or F and have attempted all available versions, the centre should seek guidance on next steps from the External Quality Assurer.

For externally assessed tasks, high-level feedback will be provided by the external assessor to the tutor/internal assessor that should be used to support any additional activity required to support the development of the candidate's learning prior to retaking the task(s).

External assessor touchpoints

The internal assessor/tutor will need to liaise with the City & Guilds external assessor at the following points in the assessment process:

- Submit the candidate's evidence for Task D(i)
- Following submission of the evidence of Task D(i), the internal assessor/tutor will agree a date for the presentation (Task D(ii)) with City & Guilds and the external assessor.

Preparing and submitting evidence for external submission

The assessment materials for Task D(i) will be submitted for external assessment by the internal assessor following their completion. These should be submitted a minimum of three weeks prior to the scheduled date for the presentation (Task D(ii)).

The internal assessor should ensure that the declaration of authenticity form (Appendix 4) is completed by both the candidate and the tutor and submitted with the assessment materials for Task D(i).

Evidence being submitted for assessment must be presented as follows:

- Evidence must have a header on each page containing the name and signature/e-signature of the candidate together with the date the evidence was produced.
- Each piece of evidence must be referenced to the task it is being submitted against either on an evidence reference form or within the header.

City & Guilds will confirm candidate results for Task D within 30 working days of completion of the presentation and discussion.

Task guidance

All tasks

The general information for candidates highlights that candidates are encouraged to use their own experience and reflections of previous experience to support their responses.

Task C

For this task, the internal assessor should access the PowerPoint document (Labelled Assessment Task C) on the Consortium website, <https://www.healthandcarelearning.wales/>.

The PowerPoint pack should be provided to candidates for completion at the commencement of this task. Multiple packs will be available to support resit opportunities. Assessors may select any of the available packs for candidates to undertake on first sitting the task.

Candidates will be required to be provided with a quiet space to review the scenario and draft their responses to the questions. The verbally assessed section of the task should be undertaken in an undisturbed environment between the candidate and the assessor.

Task D(i)

For this task, assessors may support candidates to access the task by providing access to recent and relevant inspection reports or complaints or feedback from within the organisation/setting that the candidate is working in. These reports may be useful in supporting the candidate to identify an area for a change to practice. Whilst it is important that the candidate identifies the area of provision independently, the tutor/internal assessor may provide coaching to the candidate to support them to identify an area and may discuss the candidate's chosen area with them in the context of the organisation/setting.

Task F

For this task, the internal assessor should access the PowerPoint document (Labelled Assessment Task F) on the Consortium website, <https://www.healthandcarelearning.wales/>.

The PowerPoint pack should be provided to candidates for completion at the commencement of this task. Multiple packs will be available to support resit opportunities. Assessors may select any of the available packs for candidates to undertake on first sitting the task.

Candidates will be required to be provided with a quiet space to review the scenario and draft their responses to the questions. The verbally assessed section of the task should be undertaken in an undisturbed environment between the candidate and the assessor.

Remote assessment delivery

City & Guilds supports and promotes the use of web conferencing to conduct assessment (remote assessment delivery) where appropriate. This means that the external assessor and the candidate do not have to be in the same physical location when assessment takes place. Remote assessment is a consideration for conducting the presentation and discussion.

The centre should discuss the option of remote assessment delivery when contacting City & Guilds to book a date for the presentation and discussion. If remote assessment is agreed, the centre is responsible for ensuring that a dedicated person within the centre has responsibility for ensuring that access, set-up and delivery of the remote assessment meets the following conditions set by City & Guilds. This individual should be briefed as to the purpose of the assessment, and the importance of meeting the conditions as outlined below.

Conditions for remote assessment delivery:

- City & Guilds will specify the remote technology to be used (as agreed at the point of confirming the date for the discussion). The dedicated person from within the centre must check and confirm that this is compatible with its in house systems and any firewalls before planning any remote assessment delivery.
- Assessment must be conducted using either desktop or laptop computers or tablets only, not mobile phones.
- The candidate must be in the learning setting when the assessment takes place. The learning setting would typically be within the centre's environment, although may occur in the workplace if all conditions stated here can be met.
- Assessment must take place in a room where the candidate is free from distraction and will not be interrupted during the assessment.
- The dedicated person is responsible for ensuring that:
 - the candidate brings photographic proof of their identity into the assessment. This must be verified by the external assessor before the assessment starts (i.e. the candidate will be asked to show this to the external assessor via the web conferencing facility)
 - the necessary technology needed for the assessment to occur has been set-up and is available to the candidate for the assessment to start
 - the candidate's work is independent and unaided.
- During the assessment itself, the candidate is not required to be under direct, on-site supervision. The external assessor will act as the supervisor during the assessment itself.

During the confirmation of the booking for the assessment, City & Guilds will obtain the name and contact details and agree with the dedicated person responsible for setting up and checking on site arrangements how the assessment conditions stated here will be met, in advance of the discussion taking place. The centre are responsible for checking, testing and confirming the remote technology in advance of the date/time of the assessment so that any technical issues do not impact on the assessment itself.

All assessment conducted remotely must be electronically recorded and stored by City & Guilds for quality assurance purposes.

General assessment administration requirements

Timings

Candidates should be required to plan their work and activities and their plans must be confirmed by a tutor/internal assessor for appropriateness. The tutor/internal assessor should agree a timetable of submission dates for each of the tasks upon their release.

Resources

For the assessment tasks that require written responses, the candidate is expected to have access to IT equipment, and the internet, as appropriate for completion of the tasks. Candidates are expected to produce typed responses for their written work.

For Task D(ii), the centre is responsible for providing an appropriate environment and facilities that will allow learners to deliver a boardroom style or PowerPoint presentation. (A boardroom style format is described as a situation where the assessor would be sat at a table with the candidate presenting from the front of the room, next to display equipment.)

Support and feedback

Tutors/internal assessors may guide the candidates on the evidence that needs to be produced by supporting access to the tasks. The tutor/assessor should be sure that the candidate understands what they need to do and by when, and that they need to add explanations showing understanding during their written work. They should however ensure that the candidate is not led or told what to do in a way that prevents them from being able to show their own independent decision making and application of their knowledge and understanding.

4 External assessor guidance

Note, the guidance for external assessors will be contained within its own pack – included here for completeness of information, but this guidance would not be provided to centre’s or internal assessors to avoid confusion in the roles.

Introduction

External assessors are responsible for providing a holistic grade for Tasks D(i) and D(ii) that cover Unit 411 of the qualification.

Assessment overview

The external assessor is required to complete the following activities as part of the assessment process:

- Review the submitted evidence for Task (D(i)) using the pass criteria provided
- Prepare and plan questions and discussion points around the candidate’s report (Task D(i)) for discussion following delivery of the candidate’s presentation (Task D(ii))
- Observe the presentation and undertake the discussion
- Use the pass criteria provided to determine a holistic judgement for the Tasks in Section 2 (Tasks Di-ii)
- Submit a grade for the external assessment to City & Guilds

Assessment instructions

Logistics

The centre will provide the candidate’s completed evidence for Task D(i) a minimum of three weeks prior to the scheduled observation of the presentation.

The centre will liaise with City & Guilds to confirm a date for the assessment of the presentation and discussion. The date must be a minimum of three weeks after submission of the candidate evidence for Task D(i). This assessment activity could be scheduled to occur in the setting, or may be feasible to schedule to occur remotely.

Reviewing evidence for Task D(i)

The external assessor should review the evidence provided for Task D(i) in advance of the candidate’s presentation (Task D(ii)) using the pass criteria and the learning outcome requirements for Unit 411.

Based on reviewing the candidate’s report, the assessor should identify how the candidate has met the requirements outlined in the pass criteria, particularly considering how the candidate has demonstrated their knowledge and understanding of,

- **The use of change management theories**

- How understanding of change fits alongside legislative/regulatory frameworks
- How the measurement of outcomes and feedback (to include complaints/concerns) have influenced their identification of a change to practice
- Potential challenges that may arise through adopting change.
- Approaches to respond to challenges that arise through adopting change

The assessor should identify how the evidence provided in the report meets the requirement of the pass criteria; identifying areas where further evidence is needed, or where further clarity or development of understanding is required. The assessor should capture details of their observations in Section 1 of the External assessment recording form (Appendix 1).

Note, a candidate would be unable to fulfil the requirements for the pass criteria solely from completing the report.

Preparing for the presentation and discussion (Task D(ii))

Introduction

The purpose of the presentation is to:

1. Allow the candidate to present their proposed change to the assessor
2. Provide a presentation that is geared towards achieving acceptance of their change; thus, supporting the candidate to present further evidence and reasoning for their change – and show their ability to gain support for change.

Following the candidate's delivery of the presentation, the assessor will conduct a short discussion with the candidate. The purpose of this discussion is to:

1. Question the candidate on any areas where further clarification or evidence is required to confirm their knowledge and understanding of specific areas of the unit content
2. Discuss in further detail aspects of the candidate's thinking related to their rationale; this may be needed to draw out elements that may not have been evident in their written report, or within their presentation (e.g. their thinking behind taking a certain approach; reasoning for adopting use of a certain model, as opposed to another, etc.).

Preparation and planning for the presentation and discussion

Materials:

- Candidate's completed assessment materials (Task D(i)).
- External assessment recording form (Appendix 1).
- Instructions to the candidate.

The external assessor will use their evidence from Task D(i) to plan the discussion. They will ensure that they prepare questions and structure the discussion into an appropriate order, deciding on appropriate focus for each discussion point. Section 3 of the external assessment recording form (Appendix 1) must be used to record this information.

Note, the discussion points that the assessor identifies following review of Task D(i) should be regarded as provisional for discussion, as the candidate may develop their responses in these areas

through their presentation. As the assessor observes the presentation, they will need to be aware of how well the candidate is responding to the gaps that have been identified and should update the form appropriately to ensure that the following discussion focuses on any outstanding areas.

Recording forms

In advance of the presentation and discussion the external assessor should prepare the external assessment recording form (Appendix 1) with the planned areas to be discussed with each candidate. The external assessor should save a version of the prepared form; this should then be used as they observe the presentation to record the responses given by the candidate and any further topics covered or questions asked.

The assessor can either complete the form electronically during the presentation and discussion or print a hard copy to write on. If printing a hard copy, it is suggested that the assessor might want to increase the size of the boxes to write in prior to printing the form.

Assessment environment

On the day of the assessment the centre is responsible for ensuring that any assessment takes place in appropriate surroundings which are free from distractions and interruptions. The external assessor may need to liaise with centre representatives to ensure that the assessment environment is maintained, this could include ensuring that appropriate signposting and other arrangements are in place that will maintain a suitable environment throughout the duration of the assessment activity.

If the presentation and discussion is to be undertaken remotely, then the centre must ensure that this is set-up and carried out in accordance with the requirements laid out under the '**Remote assessment delivery**' section. The external assessor will be required to confirm that these conditions have been met, prior to starting the assessment.

Introducing the presentation and discussion

It is important that the assessor ensures that actions are taken to help put the candidate at ease at the beginning of the assessment and before collection of evidence begins. This is to enable an accurate assessment of the candidate's application of the standards by minimising the extent to which their performance may be hindered by anxiety.

The external assessor should:

1. Introduce themselves and explain their role in the process and if applicable, ask permission to record the discussion.
2. Summarise the purpose and structure of the assessment.
3. Ask the candidate what reference material they have brought to the presentation and discussion (refer to the materials listed in the conditions section of the task as detailed in the instructions to the candidate).
4. Emphasise that the confidentiality of their assessment will be maintained.
5. Ask the candidate if they have any questions before beginning the assessment.

During the presentation and discussion

During the presentation the assessor should capture evidence notes in Section 2 of the external assessment recording form (Appendix 1) provided. It is recommended they also record the presentation and discussion and will need to gain permission from the candidates for this. If the presentation and discussion is undertaken remotely, then both elements must be recorded.

The presentation will last for approximately **15** minutes.

Following the presentation, the assessor will hold a **5-10** minute discussion with the candidate.

The discussion itself should feel as natural as possible, utilising open questions to allow the candidate to dominate the conversation. It is expected that the external assessor will use a number of techniques to ensure the assessment remains focused and effective.

These may include:

- Using follow up questions where necessary to probe for more information or to clarify points, questions such as
 - 'How did you know that?'
 - 'What method did you use to arrive at that conclusion?'
 - 'Why did you select that approach?'
- Providing summaries of points covered to ensure they have understood and recorded candidate evidence accurately

The external assessor must ensure that they do not inadvertently answer questions, provide hints or clues that may lead candidates to answers.

Upon completion of the discussion, the assessor should share the notes that they have taken from the assessment with the candidate; talking through what they have observed. Both assessor and candidate should sign the external assessment recording form to confirm the accuracy of the evidence collected. This may require the candidate to sign the form remotely, as well as verbally agree the accuracy of the evidence as part of the recording taken of the assessment.

Note, this step is not for providing formal feedback or a grading outcome.

Review of evidence and grading

Following the completion of the presentation and discussion (Task D(ii)), the external assessor should use the pass criteria provided to make a holistic judgement on the overall outcome of Tasks D(i) and D(ii). The final performance outcome of the judgement should be recorded within the External assessment recording form (Appendix 1).

Pass criteria

The following pass criteria should be used for assessing the individual tasks within this assessment.

Task	Pass criteria	Coverage	Purpose
Section 1			
A	<p>The candidate's response shows understanding of legislation, conventions and Codes of Conduct and Professional Practice related to valuing uniqueness and rights, and that promote equality, diversity and inclusion.</p> <p>The candidate has shown that they understand and have specifically considered legislation, conventions and guidance related to:</p> <ul style="list-style-type: none"> • Equality and rights • Person/child-centred practice • Safeguarding • Welsh language • Advocacy <p>as part of their response:</p> <p>The candidate makes clear linkages between how these specified legislations, conventions and Codes of Conduct and Professional Practice support rights, equality, diversity and inclusion within the health and social care sector. The candidate has shown an understanding of how they can use these specified legislations, conventions and codes of conduct and practice to create a safe and secure environment that supports individuals to express their identity and promotes person/child-centred practice.</p>	Unit 490 - LO1-LO3, LO5, LO9	<p>Valuing uniqueness and rights and promoting equality, diversity and human rights.</p> <ul style="list-style-type: none"> • Legislation and practice • The impact of hate crime and discrimination on individuals • Respect for uniqueness • Safeguarding
B	<p>The candidate has provided a response that:</p> <ul style="list-style-type: none"> • shows a secure understanding of theories/models that cover biological, sociological and psychological factors related to person/child-centred practice. The candidate's response may reference a single model/theory that covers all of these factors (e.g. the Biopsychosocial model) or may cover a range of models/theories reflecting the influence of each of these factors. • makes relevant linkages between aspects of the theory/model(s) referenced and how this/these can be applied in practice to support positive person/child centred practice. The candidate shows consideration of both the theoretical aspect of the theory/model(s) and the implications of application of the theory/model(s) in practice. 	Unit 490 LO6, LO7, LO8	<p>Purpose of the content:</p> <ul style="list-style-type: none"> • How it can influence own practice <ul style="list-style-type: none"> - Biopsychosocial – holistic - Sociological – position of power - Psychological – psychological well-being • How society influences identity • Learning from theory to influence practice • Why are you learning these theories?

	<ul style="list-style-type: none"> • shows how an understanding of the referenced theory/models(s) can be applied to support well-being and the rights and liberties of individuals. 		
C	<p>The candidate has responded to the questions and has shown</p> <ol style="list-style-type: none"> 1. A clear understanding of the overarching topic areas 2. That they are able to relate all three topic areas to the context of the scenario. The candidate shows secure linkages between their understanding of each topic area with how these are represented through the context of the scenario. 3. They are able to draw conclusions that relate the topic areas to the scenario context. The candidate is able to identify interconnections between the three topic areas and draws conclusions that relate to all of the individuals presented in the scenario. The candidate is able to clearly articulate the implications for individuals when there is not voice and control. 4. A clear understanding of values and communication skills that support inclusion and co-production. This understanding is securely linked to the scenario, demonstrating how these skills can support the development of positive outcomes for individuals. A minimum of one value and one communication skill must be detailed with clear links provided to providing positive outcomes. 	Unit 490 – LO4, LO5	<p>Purpose of the content: Promoting voice and control, to include:</p> <ul style="list-style-type: none"> • Dignity and respect • Citizenship and inclusion • Advocacy and co-production • The importance of values and communication skills

Section 2			
D	<p>The following criteria should be used to form a holistic judgement on candidate performance based on evidence presented from across Tasks D(i) and D(ii).</p> <p>The candidate has clearly rationalised the process intended for supporting their proposed change to practice. This rationalisation must be observed through each of the different elements of the task, i.e.</p> <ul style="list-style-type: none"> The report shows a detailed understanding of how an area of provision has been selected; and provides secure links to how the process will be used to support the well-being of individuals within the setting. The candidate has stated where the change proposed fits within legislative and regulatory frameworks and has correctly and clearly linked the proposed change to either the Health and care standards framework 2015 or Regulation and Inspection of Social Care (Wales) Act 2016. The candidate has demonstrated the use of statistics, research and organisational documentation to support their response. The candidate gives their presentation in a rationalised way; they draw information together in a way that communicates their proposal, with clear links to how this will support the well-being of individuals who access and experience the service. The presentation is focused on gaining support. The candidate is able to provide clear and succinct responses to questions or discussion points asked, or to elaborate on key aspects of their proposal as identified by the assessor. <p>The assessor should have confidence through the report, presentation and follow-on discussion that the candidate understands:</p> <ul style="list-style-type: none"> The use of change management theories – this should be seen through demonstration of knowledge of at least two different change management theories. The candidate has considered how at least one of these theories has been applied to their proposed change to practice. The candidate shows secure knowledge and understanding of how the referenced theory is applied in practice and is contextualised to the specific proposed change. How understanding of change fits alongside legislative/regulatory frameworks – the candidate has stated where the change proposed fits within legislative and regulatory frameworks and has correctly and clearly linked the proposed change to either the Health and care standards framework 2015 or Regulation and Inspection of Social Care (Wales) Act 2015. 	Unit 411 - LO1- LO6	<p>Task D Focuses on</p> <ul style="list-style-type: none"> The use of change management theories How understanding of change fits alongside legislative/regulatory frameworks How the measurement of outcomes and feedback (to include complaints/concerns) have influenced their identification of a change to practice Potential challenges that may arise through adopting change Approaches to respond to challenges that arise through adopting change

	<ul style="list-style-type: none"> • How the measurement of outcomes and feedback (to include complaints/concerns and recommendations from inspection reports) have influenced their identification of a change to practice – the candidate has provided a rationale that shows a detailed understanding of how an area of provision has been selected; and provides secure links to the reasons for selecting this as an area that requires change. The candidate demonstrates their consideration of how the measurement of outcomes, and/or the influence of feedback have influenced their selection of an area of change. This must include reference to concerns and complaints that have either been submitted to the organisation/setting or are part of a formal review, and recommendations from inspection reports or thematic reviews from service regulators. • Potential challenges that may arise through adopting change – the candidate has identified a range of challenges that may be presented through the change that they have proposed. The candidate demonstrates their understanding of the context of these challenges – clearly identifying why they may arise, linked to the change in practice. • Approaches to respond to challenges that arise through adopting change – the candidate identifies appropriate responses to anticipated challenges; secure links are made between the identification of the challenge, and the type of response that could be applied, with appropriate link to relevant leadership and management theories provided. The candidate has shown consideration for the impact on workers as part of their response, with links made to how a leader/manager can support workers through change, through use of a range of approaches (mentioning coaching, mentoring and/or motivational interviewing as appropriate). 		
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Section 3			
E	<p>The candidate has</p> <ul style="list-style-type: none"> • demonstrated a clear understanding of the purpose of values-based recruitment and induction • shown an understanding of what makes a recruitment or induction process values-based, through an evaluation of how well the recruitment and induction processes of the workplace/setting supports (or does not support) values-based recruitment and induction. The candidate has shown an understanding of what makes or fails to make a recruitment and induction process values-based and makes secure connections with elements drawn from the current process/processes. • The candidate has identified one feature of the current recruitment process that they would change. The candidate has provided clear reasoning for the identification of one feature that they would change; this reasoning focuses on supporting the development or enhancement of processes that are values-based. • The candidate has identified one feature of the current induction process that they would change. The candidate has provided clear reasoning for the identification of one feature that they would change; this reasoning focuses on supporting the development or enhancement of processes that are values-based. 	Unit 412 – LO3	The role of values-based recruitment and induction in supporting a values-base in health and social care settings.
F	<p>The candidate has provided a response for each of the questions posed with appropriate connections to the scenario posed, and</p> <ol style="list-style-type: none"> 1. has identified at least one core value and one leadership behaviour that can be used to improve motivation in the team. The candidate makes secure links between the identified value/s and behaviour/s and how these can be used to support motivation, trust and respect. 2. has demonstrated knowledge of appropriate theory* (for example emotional intelligence, transactional analysis, the senses framework and/or social interdependence theory) and how the theory relates to leadership and management of a challenging team situation. Clear links are drawn between theory and how this is applied to support positive relationships. 3. shows an understanding of equality, diversity and the importance of Welsh language within the context of a team situation. The candidate draws on specific examples from the scenario (e.g. lack of respect for the Welsh 	- Unit 412 LO1- LO2, LO4	<p>Purpose of the content: To consider,</p> <ul style="list-style-type: none"> • The impacts of equality, diversity and inclusion on the impact of workers • To show understanding of how to apply leadership qualities • Role of effective delegation in a team environment

	<p>language; potential discrimination in the team) and recognises the role of equality, diversity and inclusion within a team environment.</p> <p>4. has identified a process to be used to manage effective delegation. Their response is supported by a clear rationale that demonstrates how transparency and clarity will be achieved.</p>		
G	<p>The candidate has provided a response that shows an understanding of at least two tools or approaches (e.g. supervision, appraisal) that can be used to deal with poor performance.</p> <p>The response shows connection to the scenario and the candidate</p> <ul style="list-style-type: none"> • has shown an understanding of how support can be provided that links an individual's learning style with consideration of the best type of development approach. • has shown a level of reflection on their own potential ability as a manager/leader, with at least one personal challenge identified, and with at least one way provided on how they would respond to such a challenge. 	Unit 412 – LO5-LO7	To consider the management tools available to support the development of team members, including addressing own personal challenges faced by responding to challenging scenarios.

For any task, where the expected pass criteria have not been fully met, the task should be graded as 'fail'.

Section 2 – Presentation (Task D(ii))

Use the section below to capture notes on the candidate’s presentation; including how the content of the presentation meets the requirements of the pass criteria, and any expansion on outcome areas where limited evidence was identified in the Report.

Section 3 – Discussion

Provide details below that will support the structure of the discussion based on review of the Report (Section 1), e.g.

- Key topic/themes to be covered during the discussion
- Types of questions to ask that will help evidence the candidate’s knowledge/understanding

Use the section below to capture evidence from the discussion with the candidate; this should include any specific questions asked.

Use the section below to provide final conclusions on how the entire assessment has met the requirements of the pass criteria

Final performance conclusion	
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I confirm that the evidence presented here is an accurate account of the assessment that took place.

Assessor signature	Signature	Date	DD/MM/YY
Candidate signature	Signature	Date	DD/MM/YY

Appendix 2 Assessment summary form

Qualification title:

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Candidate name	Candidate number
Internal assessor name	Date of submission

Task:

Use the section below to capture notes from the candidate's response	
Based on the evidence provided, outline how the candidate's responses meet/ do not meet the pass criteria	
Grade outcome	
Assessor signature/date	

Appendix 3 Feedback form

Qualification title:

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Candidate name	Candidate number
Assessor name	Date of submission

Unit number/s and title/s

Evidence Reference	Feedback	Target date and action plan for resubmission

I confirm that this assessment has been completed to the required standard and meets the requirements for validity, currency, authenticity and sufficiency.

Assessor signature and date:

Appendix 4 Declaration

Declaration of Authenticity

Candidate name

Candidate number

Centre name

Centre number

Candidate:

I confirm that all work submitted is my own, and that I have acknowledged all sources I have used.

Candidate signature

Date

Tutor/Assessor:

I confirm that all work was conducted under conditions designed to assure the authenticity of the candidate's work, and am satisfied that, to the best of my knowledge, the work produced is solely that of the candidate.

Tutor/assessor signature

Date

Note:

Where the candidate and/or tutor is unable to or does not confirm authenticity through signing this declaration form, the work will not be accepted by City & Guilds. If any question of authenticity arises, the tutor may be contacted for justification of authentication.