

City & Guilds Level 4 Preparing for Leadership and Management in Health and Social Care

July 2021 Version 1.2

Qualification Handbook

Version and date	Change detail	Section
1.1 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.
1.2 July 2021	Registration and Certification section updated	Centre Requirements

Qualification at a glance

Subject area	Health and social care
City & Guilds number	8040
Age group approved	18+
Entry requirements	None
Assessment	A range of externally and internally assessed tasks
Approvals	Centre and qualification approval is required
Support materials	Qualification handbook Assessment pack
Registration and certification	Consult the Consortium website for details

Title and level	Reference number	Accreditation number
Level 4 Preparing for Leadership and Management in Health and Social Care	8040-09	C00/1260/5

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1 Introduction

This document tells you what you need to do to deliver the qualification:

Area	Description
Who is the qualification for?	<p>This is a knowledge-based qualification for learners employed within the health and social care sector who intend to progress to a management role. This qualification provides a 'stepping stone' opportunity for learners wanting to progress to Level 5.</p> <p>This qualification is primarily for those in paid or unpaid employment or who have access to a work placement.</p> <p>This qualification is designed for learners to develop the key knowledge and understanding that underpins leadership and management in the health and social care sector</p> <p>Learners are required to complete this qualification (or an agreed comparable qualification) prior to taking the Level 5 Leadership and Management in Health and Social Care: Practice qualification.</p>
What does the qualification cover?	<p>This qualification aims to prepare learners for a managerial role, by developing the knowledge requirements that underpin leadership and management within the health and social care sector.</p>
What opportunities for progression are there?	<p>The qualification allows learners to progress within employment or on to further learning via the following Consortium* qualification:</p> <ul style="list-style-type: none">• Level 5 Leadership and Management in Health and Social Care: Practice <p>*The consortium consists of City & Guilds of London Institute and WJEC who worked jointly to develop and deliver all of the qualifications in the Health and Social Care and CCPLD suite.</p>
Who did we develop the qualification with?	<p>The unit content of this qualification has been developed and is owned by Social Care Wales and Health, Education and Improvement Wales.</p> <p>The content has been developed in conjunction with the consortium, as well as stakeholders, tutors, teachers and workplace assessors from across the health and social care sector.</p>

Subject aims and objectives

The Level 4 Preparing for Leadership and Management in Health and Social Care qualification will enable learners to develop and demonstrate their knowledge, skills and understanding in the context of health and social care settings. In particular, learners will be able to demonstrate that they:

- understand a range of leadership and management concepts, theories and techniques;
- understand different leadership and management styles and how these influence practice within services
- understand how to lead person/child-centred approaches in practice;
- are able to work as effective and independent learners, and as critical and reflective thinkers to make informed judgements which includes using and interpreting data;
- have an awareness of how to lead, manage and improve service within health and social care.

Structure

To achieve the **Level 4 Preparing for Leadership and Management in Health and Social Care** qualification learners must achieve 60 credits in total.

A minimum of **60** credits must be achieved from the Mandatory Group.

The **minimum** guided learning hour requirement for this qualification is 335.

Unit Number	Unit title	GLH	Credits
Mandatory Group			
490	Legislation, theories and models of person/child-centred practice	115	22
411	Theoretical frameworks for leadership and management in health and social care	120	20
412	Leadership and management of effective team performance in health and social care services	100	18

Guided learning hours (GLH) and Total qualification time (TQT)

Guided Learning Hours (GLH) give an indication to centres of the amount of *supervised* learning and assessment that is required to deliver a unit and can be used for planning purposes.

Total Qualification Time (TQT) is the total amount of time, in hours, expected to be spent by a learner to achieve a qualification. It includes both guided learning hours (which are listed separately) and hours spent in preparation, study and undertaking some formative assessment activities.

Credit is calculated using a formula that equates to the TQT value divided by 10.

The TQT for this qualification is specified below.

Qualification	TQT
Level 4 Preparing for Leadership and Management in Health and Social Care	600

2 Centre requirements

Qualification approval

This qualification will require centre and qualification approval. This will include desk-based assessment.

Centre approval is based upon an organisation's ability to meet the centre approval criteria. The approval for this qualification can be found detailed in the following documents:

- Administration Handbook (Introduction to working with City & Guilds and WJEC)
- Our Quality Assurance Requirements
- Quality Assurance Model

Prospective centres will be advised to seek centre and qualification approval, as appropriate, prior to starting to deliver the qualification.

The Consortium aims to provide the centre and qualification approval decision within 30 working days of the submission of the completed application, with four possible outcomes:

- Centre approval and qualification approval granted
- Centre approval and qualification approval granted subject to action plan
- Centre approval and qualification approval withheld subject to action plan
- Centre approval and qualification approval denied.

Centre and qualification approval are deemed to have been granted when City & Guilds confirms the status in writing to the centre, and not before.

Centres will be required to apply for approval for this qualification and to meet the specific centre and qualification requirements outlined in this document related to delivery staff and assessor competence. These requirements will be checked and monitored as part of the qualification approval process and on-going monitoring of this qualification.

Registration and certification

Learners for this qualification are registered on the Pro Platform to support the external assessment element. The Pro Platform allows centres to submit registrations on a 'roll-on/roll-off' basis i.e. registrations can be submitted at any time and in any number throughout the calendar year.

Learners for this qualification must **not** be registered on Walled Garden.

Access to the Pro Platform is provided to centres on successful approval of this qualification. There are guides available in the 'Welsh Qualifications' tab in the Support Materials section of Pro to guide centres to make registrations, either by individual learner or in bulk.

Learners will be certificated through the Walled Garden.

Centre staffing

Assessor requirements

Internal assessor requirements

Assessors of this qualification must be occupationally knowledgeable; this means that the assessor must possess the relevant knowledge and understanding, which is at least at the same level as the content of the unit they are assessing.

In addition, they must possess or be working towards either:

- the Level 3 Award in Assessing Vocationally Related Achievement or equivalent legacy qualifications; **and**
- maintain their occupational knowledge through relevant and clearly demonstrable continuing learning and professional development, which is at least at the same level as the level of the units they are assessing.

Where assessors have legacy assessor qualifications they must demonstrate that they are assessing in line with current assessment standards or another suitable qualification equivalent/alternative in the assessment of work based performance. This must be agreed in advance with the centre's External Quality Assurer.

Where working towards assessor qualifications there must be a countersigning arrangement in place from a qualified assessor from the same or related occupational area.

Internal quality assurers

Those performing the internal quality assurance role must be occupationally knowledgeable and possess the skills necessary to make quality assurance decisions.

The qualification requirements for an IQA are as follows, the IQA must:

- hold or be working towards the current Quality Assurance qualifications, e.g.
 - Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice or
 - Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice or
 - Hold the D34 unit or V1 Verifiers Award.

Where working towards an IQA qualification there must be a countersigning arrangement in place from a qualified IQA from the same or related occupational area or have a recognised teaching qualification and demonstrable experience of undertaking internal quality assurance for knowledge-based qualifications

Welsh context

For individuals who have not previously conducted assessment activities in Wales, it is suggested that having an awareness of Welsh language and an understanding of Welsh culture, policy and context would be beneficial to support their roles.

Continuing professional development

Centres are expected to support their staff in ensuring that their knowledge and competence in the occupational area is current and of best practice in delivery, mentoring, training, assessment and quality assurance and that it takes account of any national or legislative developments.

Learner entry requirements

The Consortium does not set entry requirements for this qualification. However, centres must ensure that learners have the potential and opportunity to gain the qualification successfully.

Entries for the qualification can be made via the Walled Garden, see the Consortium website for further details.

Age restrictions

The Consortium cannot accept any registrations for learners under 18 as this qualification is not approved for under 18s.

3 Delivering the qualification

Initial assessment and induction

An initial assessment of each learner should be made before the start of their programme to identify:

- if the learner has any specific training needs,
- support and guidance they may need when working towards their qualification,
- the appropriate type and level of qualification.

It is recommended that centres provide an induction programme so the learner fully understands the requirements of the qualification, their responsibilities as a learner, and the responsibilities of the centre. This information can be recorded on a learning contract. It would be helpful to discuss with learners what they hope to achieve from this qualification; and there would be value in encouraging learners to complete a personal statement at the start of the programme, supporting them to consider their own goals for what they hope to achieve from completion of the programme, and remaining focused on these throughout the delivery.

It would be beneficial for centres to consider the wider range of skills that learners from the workplace may require in order to complete this qualification, e.g. an introduction on research and study skills. An introduction to these skills will be highly advantageous to support learners through the delivery process, assessment tasks and to embed an enriched learning experience.

Guidance for delivery

Delivery of the mandatory content should be based on the premise that learners will respond to new knowledge and understanding if it has relevance to their current employment context, or to previous work experience they have gained within the health and social care sector.

Therefore, in delivering the content of Preparing for Leadership and Management Health and Social Care at level 4 you are aiming to:

- Support learners to recall what they already know in relation to a Learning Outcome
- Deliver new content
- Support learners to challenge their current thinking in light of this new content
- Support learners to apply this new understanding to an employment context
- Provide learners with additional materials to consolidate their learning

A session which delivers the unit content may contain aspects of all the above. For example, within a session you may;

- introduce the main topic of the session
- facilitate a discussion whereby learners explore their current understanding and/or knowledge.

This type of session should give an indication as to how you would deal with the delivery of content which comes next i.e. if very little understanding or knowledge of the key topic is demonstrated then more time would be needed to embed the key concepts in the next part of the session.

Subsequent sessions should then allow you to

- focus delivery of your chosen session content

- support learners to assimilate the new knowledge they have gained into their own understanding of the topic, and then into new topic areas

Learners must be supported to either affirm or challenge their current understanding. Questions such as those below will help learners to challenge their own understanding:

- Would they do anything differently?
- If they could change one thing, what would it be?
- Did anything they have learnt surprise them?
- What do they know now that they didn't know before?

Relate knowledge and understanding to practice

Once an understanding of the main topic has been gained and learners have applied it to their own understanding they can start to relate this to a specific context. This can be to the learners' own or previous employment context or to a neutral case study related to the health and social care sector, devised by the tutor (Using a fictional context often makes students less defensive about their own setting). It is important that the learners take ownership of the knowledge they are gaining through understanding its relevance to practice.

Consolidate learning

Finally, often within a session the main content can be delivered but often subtleties are lost. Providing learners with materials to extend their understanding in the form of a relevant website, journal article, book chapter etc. can provide an additional level of challenge to further consolidate their learning. The units contain links to a range of resources and presentation documents that can be used to support the delivery, and also supplement the learner's own development outside of the guided delivery of the content.

Deliverers are reminded that all learners will have different learning styles, and the above approach is for guidance only to support consideration for delivery. Deliverers should also consider the range of knowledge, understanding and backgrounds that learners within a cohort bring within group sessions, and should see the value in learners exploring the different themes and topics together, bringing their wealth of experience from a range of settings to aid and enhance their own development of knowledge and understanding.

Order of delivery

Centres are advised that there is a value to delivering the content of this qualification within the sequence of units as presented in this qualification handbook. This reflects a logical sequence of delivery of the content and also reflects the anticipated sequence of delivery of the assessment tasks.

Support materials

The following resources are available for this qualification:

Description	How to access
Assessment pack	Consortium website

External associates/appointees

Associates/Appointees are the terms adopted by the Consortium to refer to individuals appointed by City & Guilds or WJEC to undertake specific roles on their behalf, for example, external quality assurers or external assessors.

There are criteria set by the Consortium to ensure that all associates/appointees have the right occupational knowledge, experience and skills to perform the specific role.

The Consortium will ensure that all associates/appointees undertaking a quality assurance role in centre approval, qualification approval and assessment decisions are trained, appropriately qualified and occupationally competent. Training and attendance at standardisation events is mandatory.

All associates/appointees are performance managed by staff within City & Guilds. If concerns are identified with an individual, each Consortium partner will take corrective action which may include improvement actions and close monitoring or in some instances quality issues in performance may lead to the Awarding Body contract with the associate/appointee being terminated.

The Consortium will ensure that sufficient bilingual associates/appointees are recruited to meet the needs of Welsh-medium centres and learners. The level of quality assurance activity will be consistent across provision in both English and Welsh mediums. Provision will be made for monitoring and standardisation to take place for both languages.

External assessor requirements

Assessors of this qualification must be occupationally knowledgeable; this means that the assessor must possess the relevant knowledge and understanding, which is at least at the same level as the content of the unit they are assessing.

In addition, they must possess or be working towards either:

- the Level 3 Award in Assessing Vocationally Related Achievement or equivalent legacy qualifications; **or**
- a recognised teaching qualification¹; **and**
- maintain their occupational knowledge through relevant and clearly demonstrable continuing learning and professional development, which is at least at the same level as the level of the units they are assessing.

Where assessors have legacy assessor qualifications they must demonstrate that they are assessing in line with current assessment standards or another suitable qualification equivalent/alternative in the assessment of work based performance.

Where working towards assessor qualifications there must be a countersigning arrangement in place from a qualified assessor from the same or related occupational area.

¹ The consortium also accepts additional nationally accredited assessor and teaching qualifications. A full list of these is available in the Administration Handbook (Introduction to working with City & Guilds and WJEC). This can be accessed from the consortium website at www.healthandcarelearning.wales

All external assessors will go through initial training on the assessment approach. External assessors will be subject to standardisation and lead sampling. Annual training and standardisation events will be held with all assessors.

Lead assessors will support the recruitment and training of new assessors, utilising examples of best practice and providing support for assessment activities.

All associates/appointees who are considered to be engaging in regulated activity will be subject to a Disclosure and Barring Service (DBS) check and will receive Safeguarding training prior to visiting a centre.

External quality assurers

Those performing the external quality assurance role must be occupationally knowledgeable and possess the skills necessary to make quality assurance decisions. This means that

The consortium requires Associates/appointees to hold an external quality assurance qualification, either:

D35 - Externally Verify the Assessment Process (D35) or V2 - Level 4 Certificate in Conducting External Quality Assurance of the Assessment Process (V2)

Level 4 External Quality Assurance of Assessment Processes and Practice.

Associates/appointees will be working towards or have achieved the current external quality assurance qualification (TAQA) or a legacy qualification such as V2/D35

Where working towards EQA requirements there must be a countersigning arrangement in place from another EQA from the same or related occupational area.

Welsh context

For individuals who have not previously conducted assessment activities in Wales, it is suggested that having an awareness of Welsh language and an understanding of Welsh culture, policy and context would be beneficial to support their roles.

Moderation of internal assessment arrangements

External quality assurance processes are in place for checking the validity and reliability of assessment decisions made by centre staff, as appropriate to this qualification.

Internally-assessed assessment tasks will be subject to risk-based monitoring and sampling by external quality assurers to ensure the consistency and validity of centre assessment decisions. Quality assurance activities will be undertaken by appropriately qualified and trained assessment associates. In all instances of sampling for quality assurance purposes, formal written feedback will be provided by City & Guilds.

Significant non-compliance or areas of concern identified during external monitoring will be subject to investigation by the Consortium. As a result of this activity appropriate improvement

actions and/or sanctions may be put in place. In some instances, investigations may result in de-registration for the centre(s) in question.

For further information on the external monitoring process please refer to the Administration Handbook (Introduction to working with City & Guilds and WJEC) available on the Consortium website at www.healthandcarelearning.wales.

Internal appeal

Centres must have an internal process in place for learners to appeal the marking of internally marked assessment tasks. The internal process must include learners being informed of the results the centre has given for internally assessed components, as they will need these to make the decision about whether or not to appeal.

Factors affecting individual learners

If work is lost, City & Guilds should be notified immediately of the date of the loss, how it occurred, and who was responsible for the loss. Centres should use the JCQ form, JCQ/LCW, to inform City & Guilds Customer Services of the circumstances.

Learners who move from one centre to another during the course may require individual attention. Possible courses of action depend on the stage at which the move takes place. Centres should contact City & Guilds at the earliest possible stage for advice about appropriate arrangements in individual cases.

Malpractice

Please refer to the City & Guilds guidance notes *Managing cases of suspected malpractice in examinations and assessments*. This document sets out the procedures to be followed in identifying and reporting malpractice by learners and/or centre staff and the actions which City & Guilds may subsequently take. The document includes examples of learner and centre malpractice and explains the responsibilities of centre staff to report actual or suspected malpractice. Centres can access this document on the City & Guilds website.

Examples of learner malpractice are detailed below (please note that this is not an exhaustive list):

- falsification of assessment evidence or results documentation
- plagiarism of any nature
- collusion with others
- copying from another learner (including the use of ICT to aid copying), or allowing work to be copied
- deliberate destruction of another's work
- false declaration of authenticity in relation to assessments
- impersonation.

These actions constitute malpractice, for which a penalty (e.g. disqualification from assessment) will be applied.

Please refer to the form in the document *Managing cases of suspected malpractice in examinations and assessments*.

Access arrangements and special consideration

Access arrangements are adjustments that allow learners with disabilities, special educational needs and temporary injuries to access the assessment and demonstrate their skills and knowledge without changing the demands of the assessment. These arrangements must be made before assessment takes place.

It is the responsibility of the centre to ensure at the start of a programme of learning that learners will be able to access the requirements of the qualification.

Please refer to the *JCQ access arrangements and reasonable adjustments and Access arrangements - when and how applications need to be made to City & Guilds* for more information. Both are available on the City & Guilds website: <http://www.cityandguilds.com/delivering-ourqualifications/centre-development/centre-document-library/policies-andprocedures/access-arrangements-reasonable-adjustments>

Special consideration

We can give special consideration to learners who have had a temporary illness, injury or indisposition at the time of assessment. Where we do this, it is given after the assessment.

Applications for either access arrangements or special consideration should be submitted to City & Guilds by the Examinations Officer (or individual conducting an equivalent role) at the centre. For more information please consult the current version of the JCQ document, *A guide to the special consideration process*. This document is available on the City & Guilds website: <http://www.cityandguilds.com/delivering-ourqualifications/centre-development/centre-document-library/policies-andprocedures/access-arrangements-reasonable-adjustments>

4 Assessment

Summary of assessment methods

For the external assessment learners must successfully complete:

- A project that contains a written report, presentation and discussion based around a proposed change to practice

For the internal assessment learners must successfully complete:

- A series of tasks, involving both oral and written responses

An assessment pack detailing the requirements of all the assessments can be downloaded from the Consortium website.

Time constraints

The following must be applied to the assessment of this qualification:

- all units must be undertaken and related requirements must be completed and assessed within the learner's period of registration.

Awarding of the qualification

The qualification will be assessed by a series of externally-set tasks.

Section 1 (Tasks A – C) will be assessed internally. A pass grade will be awarded for the unit on successful completion of all tasks.

Section 2 (Task D) will be assessed by an external assessor. A pass grade will be awarded for the unit on successful completion of all tasks.

Section 3 (Tasks E – G) will be assessed internally. A pass grade will be awarded for the unit on successful completion of all tasks.

The three assessment grades will be submitted by the relevant assessors to City & Guilds, where successful completion of all three units will result in an overall qualification grade being achieved.

Please see the assessment pack for further details.

Re-sit opportunities

There is no restriction on the number of times learners can re-submit/re-take tasks which they have failed within the qualification.

Please see the assessment pack for guidance on re-sit opportunities available for learners completing the assessments, and for guidance on action to take when a learner is unsuccessful in completion of any of the assessment tasks.

Roles

The following roles will be involved in the assessment of this qualification.

Tutor - provides the delivery of knowledge and understanding of the qualification content. The tutor may support access to assessment.

Internal assessor² – a qualified assessor. The internal assessor will be responsible for determining the outcome of tasks from Sections 1 and Sections 3 using externally-set pass criteria.

Internal Quality Assurer – ensures that the assessment of evidence is of a consistent and appropriate quality.

External Quality Assurer³ – responsible for confirming that the planning, delivery and assessment of the internally assessed tasks have been carried out in accordance with City & Guilds policies and procedures.

City & Guilds External assessor – a qualified assessor, appointed by City & Guilds, and responsible for making the final assessment judgement of Section 2 of the assessment tasks, covering unit 411.

City & Guilds Lead Assessor – will be responsible for sampling and standardising the assessment judgement determined by external assessors.

² For confirmation of the internal assessment requirements for this qualification, please see the '**Centre requirements**' section of this Qualification Handbook

³ For confirmation of the external assessment requirements for this qualification, please see the '**Delivering this qualification**' section of this Qualification Handbook

5 Units

Availability of units

All units are contained within this qualification handbook;

Unit Number	Unit title
490	Legislation, theories and models of person/child-centred practice
411	Theoretical frameworks for leadership and management in health and social care
412	Leadership and management of effective team performance in health and social care services

The unit content has been developed and is owned by Social Care Wales and Health, Education and Improvement Wales.

The content has been developed in conjunction with the consortium, as well as stakeholders, tutors, teachers and workplace assessors from across the health and social care sector.

Guidance for the delivery of unit content

The following summary provides guidance on the different elements that are found within the units and information on unit delivery.

Unit summary

This provides a short, high level summary of the unit content including what knowledge and practice is covered. The unit summary may also provide information on types of settings the unit relates to or is precluded from delivery in.

Learning outcomes

Learning outcomes group together chunks of related knowledge and are presented as the result of the learning process i.e. what learners must understand or be able to do following teaching and learning. All learning outcomes are supported by a number of assessment criteria.

Assessment criteria

Assessment criteria break down the learning outcome into smaller areas to be covered. Assessment criteria may be supported by range, indicated by words or phrases in **bold**.

Range

Some words or phrases within assessment criteria are presented in **bold**, this means a range has been provided and will be presented at the bottom of the learning outcome. The range contains information about the depth and amount of detail required for a specific assessment criteria. The range is not an exhaustive list, there may be other examples that could fit within that topic area, however those that are listed in the range are key for the delivery of the unit content – **all elements listed in the range must be covered as part of the delivery of the unit**.

Whilst all elements listed in the range must be delivered, it is not expected that all range elements must be specifically observed during the assessment process; reflecting that the assessment judgement is to be made as a holistic judgement, and based at the level of the learning outcome.

Guidance for delivery

This guidance is aimed at tutors, trainers or facilitators when teaching the unit and provides specific considerations for delivery of the content of the unit where applicable.

The guidance for delivery gives further guidance on overarching **theme objectives** of each learning outcome. These theme objectives detail the key areas that must be covered as part of the delivered content of the learning outcome. Further, the assessment criteria are supplemented by guidance on key **topics** to cover – giving further expansion on the breadth and depth of the content that needs to be delivered.

Where relevant, the guidance for delivery also includes definitions of key terminology referred to within the unit, within the **glossary** section.

Resources

Guidance has been provided on a range of resources that are suitable to support the delivery of the units. For specific resources quoted, these are downloadable for use from the consortium website.

Related NOS (National Occupational Standards)

These are presented as a guide for tutors, trainers or facilitators delivering the content and give an indication of where the unit content may link to associated NOS. These are not presented as an exhaustive list and are for guidance only. There is no requirement for NOS to be presented as part of unit learning delivery. NB – although every attempt will be made to keep those listed up to date, updated or reviewed versions of NOS may supersede those listed.

Related legislation and guidance

These are provided as a reference and context for the unit and may be used to support the delivery of the content and provide wider context. These are not presented as an exhaustive list and are for guidance only. All legislation, guidance, websites, documentation etc. listed should be checked for currency and relevance before delivery of the unit content.

Guided learning hour (GLH) value

This value indicates the amount of Guided Learning Hours a unit will require for delivery to a learner on average. This includes contact with tutors, trainers or facilitators as part of the learning process, and includes formal learning including classes, training sessions, coaching, seminars and tutorials. Guided learning hours are rounded up to the nearest five hours.

Credit value

This value is based on the guided learning hours **plus** any additional learning time or additional activities that the learner will need to take to complete the unit. For example, this may include time for informal learning, private study, practice, reflection etc. This total number of hours is divided by ten to get the credit value. Credit values are rounded up to the nearest whole number.

Unit 490

Legislation, theories and models of person/child-centred practice

Level:	4
GLH:	115
Credit:	22
Unit Summary:	<p>The aim of this unit is to introduce the learner to theories, models and legislative frameworks for person/child-centred practice.</p> <p>In the context of this unit the term 'individuals' relates to adults and/or children and young people</p>

Learning outcome:

1. Understand the importance of respect for uniqueness, equality and diversity

Assessment criteria

You understand:

- 1.1 Legislation and policy that support equality and diversity
- 1.2 The impact of stereotyping, prejudice, discrimination and hate crime on well-being

Learning outcome:

2. Understand the use of a rights-based approach for the assessment of need and risk

Assessment criteria

You understand:

- 2.1 How legislation, conventions and principles support person/child-centred practice in health and social care
- 2.2 How regard for **rights and liberty** can be balanced with risk

Range

Rights and liberty - a human rights approach (to promote person/child-centred practice and assessment of need and risk, including what matters to individuals)

Learning outcome:

3. Understand the role of inclusive assessments of individual need in health and social care

Assessment criteria

You understand:

- 3.1 Welsh Government legislation related to inclusive assessments of individual need
- 3.2 Inclusive approach to assessing need to support person/child-centred practice

Learning outcome:

4. Understand citizen focused services

Assessment criteria

You understand:

- 4.1 How citizenship promotes participation and inclusion of all members of society
- 4.2 How values and behaviours impact on person/child-centred practice and citizen focused services
- 4.3 The role of advocacy and co-production in supporting citizen centred services and person/child-centred practice
- 4.4 How to promote participation with individuals

Learning outcome:

5. Understand person/child-centred communication

Assessment criteria

You understand:

- 5.1 Models of communication
- 5.2 Person centred communication in health and social care

Learning outcome:

6. Understand sociological theories and their relationship to person/child-centred practice

Assessment criteria

You understand:

- 6.1 Sociological theories
- 6.2 The application of **sociological theories** to support person/child-centred practice

Range

Sociological theories - Social model of disability, theory of functionalism, conflict theory

Learning outcome:

7. Understand psychological theories and person/child-centred practice

Assessment criteria

You understand:

- 7.1 Psychological theories
- 7.2 The application of psychological theories to person/child-centred practice

Learning outcome:

8. Understand the biopsychosocial model as an approach to influence person/child-centred practice

Assessment criteria

You understand:

- 8.1 The benefits and challenges of the biopsychosocial model
- 8.2 The influence of the biopsychosocial model on person/child-centred practice

Learning outcome:

9. Understand safeguarding and person/child-centred practice

Assessment criteria

You understand:

- 9.1 Organisations' responsibilities to safeguard individuals' dignity and rights
- 9.2 Safeguarding individuals
- 9.3 Regulatory requirements for safeguarding

Unit 490

Legislation, theories and models of person/child-centred practice

Supporting Information

Guidance for delivery

Learners are encouraged to reflect on and make reference to their own work setting during the delivery of this unit content.

Content	Amplification/Guidance
LO1	Theme objectives <ul style="list-style-type: none">• The intent of legislation on equality, diversity and discrimination• Links between discrimination, disadvantage and hate crime• The responsibility of managers and leaders to combat discrimination and promote equality and diversity
1.1	Topics to cover: <ul style="list-style-type: none">• Key terms such as equality, diversity and discrimination• The protected characteristics contained in the Equality Act (2010)• The intent of the Welsh Government's Cymraeg 2050: Welsh language strategy• Code of Professional Practice for Social Care and the NHS Code of Conduct for Healthcare Support Workers in Wales• Practice Guidance for Social Care Managers registered with Social Care Wales• Why the legislation and standards are relevant to leadership and management in health and social care• The behaviours and values that the legislation and standards expect from those working in health and social care• How these behaviours support leaders, managers and workers to implement person/child-centred practice Resources: <p>Unit 1 (pp1) Introduction to theories person centred planning should be used to provide learners with the underpinning knowledge for this unit</p> <ul style="list-style-type: none">• The Equality and Human Rights Commission's report (2015) Your rights to equality from healthcare and social services pp 5 – 27; pp 35 – 53; glossary pp 73 – 78 including the terms:<ul style="list-style-type: none">• Equality policy• Equality training• Direct discrimination• Indirect discrimination• Protected characteristics• Welsh Government (2017) Cymraeg 2050: Welsh language strategy pp 4 – 12• You Tube Video Mwy na geiriau / More than just words – Iola Gruffydd• Social Care Wales: Working in Welsh resources

1.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • The impact that stereotyping, prejudice, discrimination and hate crime can have on the well-being of individuals and their families/carers accessing health and social care services • Links with the Codes of Conduct and Professional Practice <p>Resources:</p> <ul style="list-style-type: none"> • The Equality and Human Rights Commission (2015) report: Is Wales Fairer? pp 4 – 9; pp 25 – 27 • The Equality and Human Rights Commission page on hate crime • Social Care Wales Fitness to Practice pages for the Code of Professional Practice; NHS Centre for Equality and Human Rights: http://www.equalityhumanrights.wales.nhs.uk/home
LO2	<p>Theme objectives:</p> <ul style="list-style-type: none"> • The ethos of legislations and conventions • Legislations and conventions to cover: The Human Rights Act 1998, the Mental Capacity Act 2005, the Social Services and Well-Being (Wales) Act 2014, Liberty Protection Safeguards and 3 UN Convention on the Rights of Persons with Disabilities, UN Principles of Older Persons, UN Convention on the Rights of the Child, Declaration of Rights of Older People in Wales • What constitutes a rights-based approach to assessing need and risk with individuals who use health and social care services • The role that managers and leaders have in promoting a rights-based approach to assessing need and risk
2.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Sources of information in relation to human rights legislation and the UN Conventions and Principles for rights • The intent of human rights legislation, Conventions and Principles within the context of health and social care • How human rights legislation, Conventions and Principles support person/child-centred practice in health and social care • Where the term 'rights' positions an individual using health and social care services as regards their ability to have control over their life • How values based on rights contribute towards person/child-centred practice in health and social care • Section 4 of the Code of Professional Practice for Social Care • Section 2 of the NHS Code of Conduct for Healthcare Support Workers in Wales • Section 4 of The Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales • Nursing and Midwifery Council (NMC) Prioritise People part of NMC Code <p>Resources:</p> <ul style="list-style-type: none"> • British Institute of Human Rights

	<ul style="list-style-type: none"> Equality and Human Rights Commission (EHRC) website: What are human rights SCIE – human rights resources including SCIE video (2015): Restraint: a human rights issues and SCIE (2015) Deprivation of Liberty Safeguards at a glance Social Care Wales Information and Learning Hub: film What does the Act mean to me Children’s Commissioner for Wales (2017) UNCRC – Children’s Rights: UN Convention on the Rights of the Child Older People’s Commissioner for Wales (2014) Declaration of Rights for Older People Equality and Human Rights Commission (2010): The United Nations Convention on the Rights of People with Disabilities: What does it mean for you? NHS Wales Centre for Equality and Human Rights
2.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> Dilemmas involved when assessing desired outcomes, rights, responsibilities and risks with individuals who use health and social care services <p>Resources:</p> <ul style="list-style-type: none"> SCIE video (2015) Mental Capacity Act: using the key principles in care planning British Institute for Human Rights (2017) website page FAQs
LO3	<p>Theme objectives:</p> <ul style="list-style-type: none"> How the Social Services and Well-Being (Wales) Act 2014, The Welsh Government National Outcomes Framework and the Future Generations (Wales) Act 2015 relate to the well-being of individuals How an inclusive approach to assessing need can support person/child-centred practice
3.1	<p>Topics to cover: How well-being sits within broader legislative frameworks and Codes of Conduct and Practice including:</p> <ul style="list-style-type: none"> The aim of the Social Services and Well-Being (Wales) Act 2014, The Welsh Government National Outcomes Framework and the Future Generations (Wales) Act 2015 in terms of how they advocate an inclusive approach to the promotion of the independence and well-being of individuals The aspects of individuals’ lives that are referred to within ‘well-being’ The definition of Well-Being p7 and Section 1 of the Code of Professional Practice for Social Care Section 2 and 5 of the NHS Code of Conduct for Healthcare Support Workers in Wales Sections 4, 5 and 6 of the Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales

	<ul style="list-style-type: none"> • 'Focusing on prevention, health improvement and inequality' from NHS Standards and Behaviour Framework • an individual's right to advocacy <p>Resources: Welsh Government website pages for: Social Services: The national outcomes framework for people who need care and support and carers who need support including:</p> <ul style="list-style-type: none"> • Page 4 for the definition of well-being and links to the Social Services and Well-Being (Wales) Act 2014 • Page 5 for links between the National Outcomes Framework, the Social Services and Well-Being (Wales) Act and the Well-Being of Future Generations Act • Social Care Wales Information and Learning Hub: Social Services and Well-Being Learning Resources page – Assessing and meeting individual needs • Welsh Government website page on Well-Being of Future Generations (Wales) Act 2015 and the animation 'Well-Being of Future Generations (Wales) Act 2015'
3.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • How an inclusive approach to assessing need can support person/child-centred practice • Why an individual's control over their life, including participation in their assessment of need is considered essential to their independence and well-being <p>Resources:</p> <ul style="list-style-type: none"> • SCIE (2014) video Dignity in care: social inclusion • SCIE video Working together to promote independence • Dewis Cymru website page about Care and Support plans • Hafal's step-by-step guide for secondary mental health service users on care treatment planning
LO4	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Citizenship and how it links to Welsh Government policy • How Welsh Government policy promotes citizen centred services such as service integration • How advocacy and co-production support citizen centred services and person/child-centred practice
4.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • What it means to be a citizen • Links between citizenship, participation and inclusion • Links between citizenship and Welsh Government policy • Key findings from the Parliamentary Review of Health and Social Care in Wales (2018) • The implications of the citizenship model for health and social care services <p>Resources:</p>

	Power point presentation Unit 1 LO4 (pp 2) Citizenship should be used to provide learners with the underpinning knowledge needed for this unit
4.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Values in health and social care and links to Code of Professional Practice for Social Care and NHS Code of Conduct for Healthcare Workers in Wales • Values and behaviours and how these impact on the well-being of individuals in health and social care <p>Resources: Power point presentation Unit 1 LO4 (pp 3) Values and Behaviours should be used to provide learners with the underpinning knowledge needed for this unit</p>
4.3	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Definitions of advocacy and co-production • UN Convention on the Rights of the Child • UN Principles of Older Persons • UN Convention on the Rights of People with Disabilities • Human Rights Act • Code of Practice on Advocacy • Different types of advocacy • Benefits and challenges of advocacy • Principles of co-production • Benefits and challenges of co-production <p>Resources: Power point presentation Unit 1 LO4 (pp 4) Advocacy and co-production should be used to provide learners with the underpinning knowledge needed for this unit</p>
4.4	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Methods and approaches to supporting participation with individuals • Active participation <p>Resources: The Code of Professional Practice for Social Care, Sections 1 and 3</p>
LO5	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Models of communication • Principles underpinning person/child-centred communication • How theory and practice can support person centred communication in health and social care
5.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Definition and models of communication • Principles underpinning person centred communication • Section 2 and 3 of the Code of Professional Practice for Social Care • Practice Safely section of the NMC Code of Conduct • Section 5 of the Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales • NHS values website page 'Putting quality and safety above all else' <p>Resources:</p>

	Power point presentation Unit 1 LO5 (pp 5) person/child-centred communication should be used to provide learners with the underpinning knowledge needed for this unit
5.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Examples of person/child-centred communication in practice <p>Resources: SCIE videos:</p> <ul style="list-style-type: none"> • Care leavers: reflections of being in care • Challenging behaviour and learning disabilities: independent living • Dignity in care: privacy • Dignity in care: communication • Dementia from the inside • End of life care: why talking about death and dying matters • End of life and palliative care: thinking about the words we use • Older people and quality of life: better life in residential care • Older people and quality of life: better life in the community • Working with people with autism: the professionals
LO6	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Definition of sociology and its contribution to person/child-centred practice in health and social care • Sociological theories and how society both influence and is influenced by individual power within the context of health and social care • Societal attitudes and behaviours that have impacted upon individuals' power and personal identity
6.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Definition of sociology • Why sociological theories are relevant to person/child-centred practice in health and social care • The difference between theories and models • The theory of functionalism and conflict theory including the interaction between society and individuals with regards to power, voice and control and sense of identity • Sections 1, 2 and 3 (pp 9-12) of the Code of Professional Practice for Social Care • Sections 4 and 5 of 'The Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales • NHS Values and Standards of Behaviour Framework page of the NHS website • NMC Code of Conduct <p>Resources: Power point presentation Unit 1 LO6 (pp 6) Sociological theories should be used to provide learners with the underpinning knowledge needed for this unit</p>
6.2	<p>Topics to cover</p> <ul style="list-style-type: none"> • The interaction between society and individuals and how societal attitudes and behaviours have both influenced and been influenced by disabled people

	<p>Resources:</p> <ul style="list-style-type: none"> • Hughes (2010) article 'The social model of disability' • Disability Wales website page and leaflet on the social model of disability <p>Power point presentation Unit 1 LO7 (pp 7) Sociological theories should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO7	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Definition of psychology and how it can make a contribution to person/child-centred practice in health and social care • Psychological theories that present factors considered to be critical to psychological well-being • How psychological theories can be related to person/child-centred practice
7.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Definition of psychology • How psychological theories contribute towards person/child-centred practiced in health and social care • Psychological theories of Maslow, 1943, 1954 and Erikson 1959 and how they propose factors considered to be critical to psychological well-being • Code of Professional practice for Social Care: definition of well-being and the need to have respect for individuals • Prioritise People section of the NMC Code of Conduct <p>Resources: Maslow's theory (1943, 1954) hierarchy of human need and how elements of these were being addressed in the following videos:</p> <ul style="list-style-type: none"> • SCIE video: Quality in social care: achieving excellence in care homes for older people • SCIE video: The mental health and well-being of elders in the black and minority ethnic community: promoting well-being • SCIE video: Quality in social care: achieving excellence in supported living services <p>Erikson's (1959) development theory and the individual's lifespan period in the following videos:</p> <ul style="list-style-type: none"> • SCIE video: Transition from child and adolescent to adult mental services a young person's perspective • Action on Addiction M-PACT (Moving parents and children together) <p>Thinking about:</p> <ol style="list-style-type: none"> a. How the concept of a lifespan period and its critical stages is relevant to the experiences of the individuals in the video b. How the individuals' experiences impacted on their well-being c. What person/child-centred practice in the organisation's approach to enable individuals/children to achieve their intended outcomes
7.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • How individual's circumstances can influence their mental well-being, thinking and emotions

	Resources: Power point presentation Unit 1 LO7 (pp 7) Psychological theories should be used to provide learners with the underpinning knowledge needed for this unit
LO8	Theme objectives: <ul style="list-style-type: none"> • An overview of the biopsychosocial model • The influence of the biopsychosocial on person/child-centred practice
8.1	Topics to cover: <ul style="list-style-type: none"> • The key premise proposed by the biopsychosocial model • The benefits and challenges that the model's approaches might offer individuals when their needs are being assessed • The Code of Professional Practice for Social Care: references to a respect for dignity, privacy, preferences, culture, language and rights • The Nursing and Midwifery Council website page: Equality, Diversity and Inclusion Framework Resources: Power point presentation Unit 1 LO8 (pp 8) Biopsychosocial model should be used to provide learners with the underpinning knowledge needed for this unit
8.2	Topics to cover: <ul style="list-style-type: none"> • Findings from research literature that refer to the biopsychosocial model as a model that informs thinking on person/child-centred practice
LO9	Theme objectives: <ul style="list-style-type: none"> • Examples of individuals being abused as a result of organisations' failure to safeguard their dignity and rights • Resources for information about safeguarding
9.1	Topics to cover: <ul style="list-style-type: none"> • Abuse carried out at Winterbourne View and abuse carried out by Jimmy Saville considering: <ol style="list-style-type: none"> a. Who had power in each of these cases and how it was used and experienced as a result of celebrity status, leadership and management and being an individual who used services b. How operational staff members and/or families felt when their concerns or allegations of abuse were ignored c. What happened to some operational staff members when they expressed concerns to leadership d. How the staff members' experiences link to the role of health and social care workers with regards to whistleblowing • Sections 3, 4, 5 and 6 of the Code of Professional Practice for Social Care • Sections 1, 2, 4, 5 and 7 of the NHS Code of Conduct for Healthcare Support Workers in Wales • Section 6 of 'The Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales • 'Focusing on prevention, health improvement and inequality' paragraph on the NHS Values and Standards of Behaviour Framework of the NHS website

	<p>Resources:</p> <ul style="list-style-type: none"> • Television programmes available such as 'Winterbourne View Undercover Care: The Abuse Exposed'; 'The Jimmy Saville update' • National Independent Safeguarding Board Wales: Case reviews http://safeguardingboard.wales/practice-reviews/
9.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Contents of Contents of All Wales Safeguarding Procedures (2019) • Department of Health (2000) Lost in Care report • All Wales Child Protection Procedures • Breaking the Cycle (2017) • Child Sexual Exploitation • Social Services and Well-Being (Wales) Act 2014: Part 7 <p>Resources:</p> <ul style="list-style-type: none"> • Social Care Wales All Wales Basic Safeguarding Awareness training pack • Department of Health (2000) Lost in Care report • Children in Wales (2014) All Wales Child Protection Procedures Review Group website • Breaking the Cycle (2017) Welsh Government • South East Wales Safeguarding Board website: Operation Thistle (2012) film which raises awareness of the issues of Child Sexual Exploitation • SCIE video: Safeguarding children: a new approach to case reviews • SCIE video: Safeguarding adults: lessons from the murder of Steven Hoskin • SCIE video: Safeguarding adults: teaching people to protect themselves • SCIE video: Partnership working in child protection <p>Power point presentation Unit 1 LO9 (pp 9) Introduction to safeguarding should be used to provide learners with the underpinning knowledge needed for this unit</p>
9.3	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Guidance for Part 8 of the Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017 • The Mental Capacity Act (2005) • Deprivation of Liberty Safeguards • The Mental Health Act (1983) • The Mental Health Measure (Wales) 2010 • Social Services and Well-Being (Wales) Act 2014: Part 7 • The Children Act (1989) • Safeguarding Boards (National and Regional) • Safeguarding and well-being • The importance of communication for safeguarding <p>Resources:</p> <ul style="list-style-type: none"> • National Independent Safeguarding Board Wales: A Practitioners Guide Basic Legal Principles http://safeguardingboard.wales/2018/12/06/practitioners-guide/

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| <ul style="list-style-type: none"> • Social Care Wales Information and Learning Hub Safeguarding materials https://socialcare.wales/hub/hub-resource-sub-categories/safeguarding |
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Glossary

Advocacy - taking action to help people say what they want, secure their rights, represent their interests and obtain the services they need. Advocates and advocacy schemes work in partnership with the people they support and take their side. Advocacy promotes social inclusion, equality and social justice (Advocacy Charter, Action for Advocacy)

Advocacy includes peer advocacy to Independent Professional Advocacy, a trained and paid professional advocate. The Social Services and Well-being (Wales) Act 2014 defines advocacy services as: 'services which provide assistance (by way of representation or otherwise) to persons for purposes relating to their care and support'.

Individual - 'the person you support or care for in your work' this could be a child or an adult

Safeguarding –protecting people's health, well-being and human rights, and enabling them to live free from harm, abuse and neglect

Related NOS

- **SCDLMCE3** Lead and manage the quality of care service provision to meet legislative, regulatory, registration and inspection requirements
- **SCDLMCSD1** Lead and manage work for care services with networks, communities, other professionals and organisations
- **SCDLMCSC1** Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements
- **SCDLMCSB8** Lead and manage provision of care services that promotes positive behaviour
- **SCDLMCSB4** Manage provision of care services that supports parents, families, carers and significant others to achieve positive outcomes
- **SCDLMCA2** Lead and manage change within care services
- **SCDLMCSA1** Manage and develop yourself and your workforce within care services

Related legislation and guidance

- Social Services and Well Being (Wales) Act 2014
- Well-being statement for people who need care and support and carers who need support WG 2016
- Declaration of rights for older people in Wales (2012)
- The Regulation and Inspection of Social Care (Wales) Act 2016, associated regulations and statutory guidance
- Welsh Government (2016) Well-being statement for people who need care and support and carers who need support: <http://gov.wales/docs/dhss/publications/>
- Welsh Language Act 1993 and Welsh Language Standards Regulations 2015

Unit 411

Theoretical frameworks for leadership and management in health and social care

Level:	4
GLH:	120
Credit:	20
Unit Summary:	<p>The aim of this unit is to introduce the learner to theoretical and regulatory frameworks and how these support person/child-centred practice.</p> <p>In the context of this unit the term 'individuals' relates to adults and/or children and young people</p>

Learning outcome:

1. Understand theoretical approaches of leadership, management, innovation and change

Assessment criteria

You understand:

- 1.1 Theories, models and styles of:
 - Leadership
 - Management
 - Innovation and change
- 1.2 Organisational culture and ethical leadership

Learning outcome:

2. Understand legislative and regulatory frameworks in health and social care

Assessment criteria

You understand:

- 2.1 **Legislative and regulatory frameworks** for health and social care services
- 2.2 How legislative and regulatory frameworks influence person/child-centred practice in health and social care

Range

Legislative and regulatory frameworks – Health and Care Standards framework 2015, Regulation and inspection of Social Care (Wales) Act 2016 - plus associated regulations and statutory guidance

Learning outcome:

3. Understand how evidence from the measurement of outcomes can be used to support person/child-centred practice

Assessment criteria

You understand:

- 3.1 How to support an outcomes focused approach
 - 3.2 Methods that can be used to measure outcomes
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Learning outcome:

- 4. Understand how to use concerns and complaints to improve practice in health and social care

Assessment criteria

You understand:

- 4.1 How complaints procedures can be used to support rights-based approaches and improve outcomes for individuals and families/carers
 - 4.2 Theoretical approaches on humility and how these can support a positive response to individuals' concerns and complaints
-

Learning outcome:

- 5. Understand managing innovation and change

Assessment criteria

You understand:

- 5.1 Challenges to innovation and change and ways to respond to these
 - 5.2 How to use co-production approaches for innovation and change
-

Learning outcome:

- 6. Understand how to use coaching, mentoring and motivational interviewing

Assessment criteria

You understand:

- 6.1 How to use coaching, mentoring and motivational interviewing to support change

Unit 411 Theoretical frameworks for leadership and management in health and social care

Supporting Information

Guidance for delivery

Content	Amplification
LO1	Theme objectives <ul style="list-style-type: none"> • Introduction to theories, models and frameworks of leadership, management, change and innovation
1.1	Topics to cover: <ul style="list-style-type: none"> • The meaning of the terms: leadership; management and innovation and change • Leadership theories • Leadership styles • Change management theories • Code of Professional Practice for Social Care and the NMC Code of Conduct • Practice Guidance for Social Care Managers registered with Social Care Wales Resources: Power point presentation Unit 411 LO1 (pp 1) Theories and models should be used to provide learners with the underpinning knowledge needed for this unit
1.2	Topics to cover: <ul style="list-style-type: none"> • Organisational culture and ethical leadership • 'Cultural traffic' in health and social care • The role of health and social care team leaders and managers for leading innovation and change Resources: Power point presentation Unit 411 LO1 (pp2) Organisational culture and ethical leadership should be used to provide learners with the underpinning knowledge needed for this unit
LO2	Theme objectives: <ul style="list-style-type: none"> • An understanding of why and how legislative and regulatory frameworks influence practice in health and social care services
2.1	Topics to cover: <ul style="list-style-type: none"> ➤ Definitions of: Law ➤ Legislation ➤ Acts ➤ Legislative and regulatory frameworks ➤ Regulatory services in health and social care ➤ Codes of Practice and Statutory Guidance ➤ Fitness to Practice <ul style="list-style-type: none"> • Section 6 (pp. 15 -16) of the Code of Professional Practice for Social Care

	<ul style="list-style-type: none"> • NMC Code of Conduct • Introduction and section 11 of The Practice Guidance for Social Care Managers registered with Social Care Wales <p>Resources:</p> <ul style="list-style-type: none"> • Home page of the Health and Care Professions Council (HCPC) website • Health and Care Standards Framework 2015 http://www.wales.nhs.uk/sitesplus/documents/1064/24729_Health%20Standards%20Framework_2015_E1.pdf • The Regulation and Inspection of Social Care (Wales) Act 2016 Statutory Guidance https://gov.wales/docs/dhss/publications/180201statutory-guidanceen.pdf <p>Power point presentation Unit 411 LO2 (pp3) Legislative and Regulatory Frameworks should be used to provide learners with the underpinning knowledge needed for this unit</p>
2.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Interdependence between individuals, and legislative and regulatory frameworks • How legislative and regulatory frameworks influence practice and services • Health and Care Standards Framework 2015 • The Regulation and Inspection of Social Care (Wales) Act 2016, associated Regulations and Statutory Guidance <p>Resources:</p> <ul style="list-style-type: none"> • Health and Care Standards Framework 2015 http://www.wales.nhs.uk/sitesplus/documents/1064/24729_Health%20Standards%20Framework_2015_E1.pdf • The Regulation and Inspection of Social Care (Wales) Act 2016 Statutory Guidance • Values and Standards of Behaviour Framework NHS Wales http://www.wales.nhs.uk/governance-emanual/values-and-standards-of-behaviour-framew <p>Power point presentation Unit 411 LO2 (pp3) Legislative and Regulatory Frameworks should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO3	<p>Theme objectives:</p> <p>How outcomes are measured and used as a tool to support,</p> <ul style="list-style-type: none"> • Person/child-centred practice • The achievement of positive outcomes • Evidence of quality service delivery
3.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • The difference between outputs and outcomes • The importance of using a strengths-based approach to support positive outcomes for individuals and families/carers • The National Outcomes Framework <p>Resources:</p> <ul style="list-style-type: none"> • Unit 2 LO3 Handout: Valuing and using a range of evidence
3.2	<p>Topics to cover:</p>

	<ul style="list-style-type: none"> • The DEEP (Developing Evidence Enriched Practice) approach to improve health and social care practice • Methods for measuring outcomes
LO4	Theme objectives: <ul style="list-style-type: none"> • How to learn from and respond to individuals'/children's and families/carers concerns or complaints
4.1	Topics to cover: <ul style="list-style-type: none"> • Recap on National Outcomes Framework • Situations where health and social care services have not met individuals' well-being outcomes • Links between rights-based approaches and support for/learning from concerns and complaints • Legislative and regulatory requirements for complaints procedures • Section 3 (pp.11 – 12), Section 5 (p.14), Section 6 (pp.15 – 16) and Section 7 (P.17) of the Code of Professional Practice for Social Care • NMC Code of Conduct • Section 10 of The Social Care Manager; Practice Guidance for Social Care Managers registered with Social Care Wales • The 'putting quality and safety above all else' section of the NHS Wales Values and Standards of Behaviour Framework website page Resources: <ul style="list-style-type: none"> • The public service ombudsman for Wales Code of Conduct Case Book • Care Inspectorate Wales Thematic Reports • Social Care Wales fitness to practice hearing outcomes • Health Inspectorate Wales Thematic Reports • Children's Commissioner for Wales • Older People's Commissioner for Wales <p>Power point presentation Unit 411 LO4 (pp 4) Theoretical approaches on humility should be used to provide learners with the underpinning knowledge needed for this unit</p>
4.2	Topics to cover: <ul style="list-style-type: none"> • Theoretical approaches on humility • Cultural humility and leadership • Leadership humility and teams Resources: <p>Power point presentation Unit 411 LO4 (pp 4) Theoretical approaches on humility should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO5	Theme objectives: <ul style="list-style-type: none"> • How to manage innovation and change • How resource constraints can impact on the lives of individuals accessing services • Why staff members may resist innovation and change • Theoretical and practical approaches to leading and managing innovation and change • Application of co-production to managing innovation and change

5.1 and 5.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Theories on resistance to change • Kotter's (1996) eight step change model • 'Five whys' for change processes • Equality Impact assessments • Gray's approach to planning change • Co-production network case studies <p>Resources:</p> <ul style="list-style-type: none"> • Acas: How to manage change http://www.acas.org.uk/media/pdf/q/q/Acas-How-to-manage-change-advisory-booklet.pdf • Co-production Network for Wales (2016) <i>Seeing is believing: case studies – Public Health Wales and Co-production Wales</i>. Available at: http://www.goodpractice.wales/SharedFiles/Download.aspx?pageid=96&mid=187&fileid=79 • Gray, I., Field, R. and Brown, K. (2010) <i>Effective leadership, management and supervision in health and social care</i>. Exeter: Learning Matters • Power point presentation 'Changing Cultures' Social Care Wales Information and Learning Hub https://socialcare.wales/hub/hub-resource-sub-categories/leadership-and-management • Acas: Challenging Conversations and how to manage them http://www.acas.org.uk/media/pdf/f/b/Challenging-conversations-and-how-to-manage-them.pdf <p>Power point presentation Unit 2 LO5 (pp5) Managing innovation and using EIA and Unit 411 LO5 (pp6) Challenges and responses to innovation and change should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO6	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Introduction to coaching, mentoring and motivational interviewing as approaches to support change
6.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Definitions and components of coaching, mentoring and motivational interviewing • Using the GROW model to support change • Factors that drive change including planned change and reactive change <p>Resources:</p> <p>Power point presentation Unit 411 LO5 (pp7) coaching, mentoring and motivational interviewing should be used to provide learners with the underpinning knowledge needed for this unit</p>

Glossary

Individual - 'the person you support or care for in your work' this could be a child or an adult

Organisational culture - the values, attitudes, beliefs, written and unwritten rules, customs and behaviours that help to define the unique characteristics of an organisation which are expressed in its internal and external relationships.

Related NOS

- **SCDLMCE3** Lead and manage the quality of care service provision to meet legislative, regulatory, registration and inspection requirements
- **SCDLMCSD1** Lead and manage work for care services with networks, communities, other professionals and organisations
- **SCDLMCSB1** Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people
- **SCDLMCSB2** Lead and manage provision of care services that promotes the well being of people
- **SCDLMCSC1** Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements
- **SCDLMCA2** Lead and manage change within care services
- **SCDLMCSE1** Lead and manage effective communication that promotes positive outcomes for people within care services

Related legislation

- Social Services and Well Being (Wales) Act 2014
- The Code of Professional Practice for Social Care Workers
- Well-being statement for people who need care and support and carers who need support WG 2016
- The Regulation and Inspection of Social Care (Wales) Act 2016, associated Regulations and Statutory Guidance
- Welsh Government (2016) Well-being statement for people who need care and support and carers who need support: https://socialcare.wales/cms_assets/hub-downloads/Handout_National_Well-being_Statement.pdf

Unit 412

Leadership and management of effective team performance in health and social care services

Level:	4
GLH:	100
Credit:	18
Unit Summary:	The aim of this unit is to introduce the learner to theories, frameworks and methods of motivating and developing teams to support person / child centred practice.

Learning outcome:

1. Understand equality and diversity and the importance of Welsh language in the context of workforce development

Assessment criteria

You understand:

- 1.1 The application of equality and diversity in leading and managing workers
- 1.2 How to support Welsh language and culture in the workforce

Learning outcome:

2. Understand skills and qualities for the effective leadership and management of teams in health and social care

Assessment criteria

You understand:

- 2.1 Core values and leadership behaviours
- 2.2 Powers and responsibilities of leaders and managers
- 2.3 Application of emotional intelligence and relationship management
- 2.4 Application of transactional analysis
- 2.5 Application of the Senses framework
- 2.6 Motivation of workers in health and social care

Learning outcome:

3. Understand the purpose and requirements of values-based recruitment and induction of workers in health and social care

Assessment criteria

You understand:

- 3.1 Purpose and benefit of:
 - Values-based recruitment
 - Values-based induction
 - 3.2 How to support:
 - Values-based recruitment
 - Values-based induction
-

Learning outcome:

- 4. Understand how to use delegation to support effective team performance

Assessment criteria

You understand:

- 4.1 Process and governance of delegating tasks
 - 4.2 Social interdependence theory and team working
-

Learning outcome:

- 5. Understand how to manage team conflict and poor performance

Assessment criteria

You understand:

- 5.1 How to deal with poor performance
 - 5.2 How to manage challenging conversations
 - 5.3 How to manage conflict at work
-

Learning outcome:

- 6. Understand supervision and appraisal in health and social care

Assessment criteria

You understand:

- 6.1 Purpose and benefits of supervision
 - 6.2 How to conduct effective supervision and appraisal
-

Learning outcome:

- 7. Understand learning styles and methods to support continuing professional development

Assessment criteria

You understand:

- 7.1 Models of learning styles
- 7.2 Strengths and weaknesses of different methods of learning and development
- 7.3 Regulatory requirements for continuing professional development

Unit 412 Leadership and management of effective team performance in health and social care services

Supporting Information

Guidance for delivery

Content	Amplification
LO1	Theme objectives <ul style="list-style-type: none"> Understanding of responsibilities of leaders and managers to promote equality and diversity including Welsh language
1.1/1.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> The Equalities Act (2010) and its application in a work setting The Welsh Language Measure (2011) and its application in a work setting Welsh Language Standards (2016) <p>Resources:</p> <ul style="list-style-type: none"> Acas: Equality and discrimination website pages http://www.acas.org.uk/index.aspx?articleid=1363 Acas: Rights and Responsibilities website pages http://www.acas.org.uk/index.aspx?articleid=4663 Social Care Wales: The Active Offer and Welsh Language skills in the workplace https://socialcare.wales/learning-and-development/more-than-just-words-and-the-active-offer <p>Power point presentation Unit 412 LO1 (pp1) Equality and Diversity should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO2	Theme objectives: <ul style="list-style-type: none"> Development of understanding of values driven leadership and management An understanding of theories and frameworks that support the development of leadership qualities and positive relationships in the workplace
2.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> Core values and leadership behaviours that should inform practice Section 7 of the Code of Professional Practice for Social Care NMC Code of Conduct Section 9 of the Practice Guidance for Social Care Managers registered with Social Care Wales <p>Resources:</p> <ul style="list-style-type: none"> Social Care Wales: First Steps in Management (p.16) 'Being a values-driven leader and manager' https://socialcare.wales/resources/first-steps-in-management

	<ul style="list-style-type: none"> National Skills Academy: The Leadership Qualities Framework https://www.skillsforcare.org.uk/Documents/Leadership-and-management/Leadership-Qualities-Framework/Leadership-Qualities-Framework.pdf
2.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> Links between core values and leadership behaviours with organisational culture and ethical leadership Powers and responsibilities of leaders and managers <p>Resources: Power point presentation Unit 412 LO2 (pp2) Power and Responsibility should be used to provide learners with the underpinning knowledge needed for this unit</p>
2.3	<p>Topics to cover:</p> <ul style="list-style-type: none"> Theories and frameworks of Emotional intelligence Theories and frameworks of relationship management <p>Resources: Power point presentation Unit 405 LO2 (pp3) Emotional Intelligence should be used to provide learners with the underpinning knowledge needed for this unit</p>
2.4	<p>Topics to cover:</p> <ul style="list-style-type: none"> Model of transactional analysis <p>Resources: Power point presentation Unit 412 LO2 (pp4) Transactional Analysis should be used to provide learners with the underpinning knowledge needed for this unit</p>
2.5	<p>Topics to cover:</p> <ul style="list-style-type: none"> The Senses Framework (Mike Nolan) and leadership and management of teams in health and social care <p>Resources:</p> <ul style="list-style-type: none"> Beyond 'patient centred care': Applying the 'Senses Framework' Mike Nolan (2012) https://www.kingsfund.org.uk/sites/default/files/mike-nolan-patient-centred-care-senses-framework-nov12.pdf Social Care Wales handout – The Senses Framework
2.6	<p>Topics to cover:</p> <ul style="list-style-type: none"> Theories of motivation and how to apply these to support effective team performance <p>Resources: Unit 412 Handout: Motivating staff</p>
LO3	<p>Theme objectives:</p> <ul style="list-style-type: none"> An understanding of why values-based recruitment is essential in health and social care and tools that can support this An understanding of requirements for recruitment and induction of workers in health and social care

3.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Values based recruitment • The purpose of induction • The All Wales Induction Framework for Health and Social Care • Regulation and Inspection of Social Care (Wales) Act 2016 (regulations 34 and 35 and statutory guidance for Service Providers and Responsible Individuals on meeting Service Standards Regulations 2017) • NMC Code of Conduct • Practice Guidance for Social Care Managers registered with Social Care Wales Section 9 • Probationary periods <p>Resources:</p> <ul style="list-style-type: none"> • Skills for Care Values based recruitment toolkit https://www.skillsforcare.org.uk/Recruitment-retention/Values-based-recruitment-and-retention/Values-based-recruitment-and-retention.aspx • NHS Values Based Recruitment https://www.nhsemployers.org/your-workforce/recruit/employer-led-recruitment/values-based-recruitment • The Regulation and Inspection of Social Care (Wales) Act 2016 Statutory Guidance • Social Care Wales Induction resources: Guidance, progress logs and workbooks https://socialcare.wales/learning-and-development/all-wales-induction-framework-for-health-and-social-care <p>Power point presentation Unit 412 LO3 (pp5) Recruitment and Induction should be used to provide learners with the underpinning knowledge needed for this unit</p>
LO4	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Understanding of why delegation in teams is important and how this is supported by positive interdependence
4.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Setting/agreeing goals • Clarification of purpose of task delegated and roles and responsibilities of all involved • Importance of monitoring and measuring success <p>Resources:</p> <p>Power point presentation Unit 412 LO4 (pp6) Delegation should be used to provide learners with the underpinning knowledge needed for this unit</p>
4.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Benefits of team working / working together to achieve goals • Theories of interdependence • Tuckman (1961) Forming, storming, norming, performing • Belbin (2010) Team role contributions <p>Resources:</p>

	Power point presentation Unit 412 LO4 (pp6) Delegation should be used to provide learners with the underpinning knowledge needed for this unit
LO5	<p>Theme objectives:</p> <ul style="list-style-type: none"> Understanding why and when interventions are needed to address performance or conflict within teams and methods and strategies that can be used for this
5.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> Causes of poor performance Measuring performance Methods of addressing poor performance including: Improving motivation Setting clear performance goals or objectives Providing clear feedback Rewarding positive performance and improvement Providing additional training/support The Senses Framework Actions to take when performance does not improve <p>Resources:</p> <ul style="list-style-type: none"> Acas: Performance management website pages http://www.acas.org.uk/index.aspx?articleid=6608
5.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> Why and when difficult conversations may be needed Emotional intelligence, transactional analysis and relationship management Preparing for difficult conversations Communication methods for difficult conversations <p>Resources:</p> <p>Acas: Challenging Conversations and how to manage them http://www.acas.org.uk/media/pdf/f/b/Challenging-conversations-and-how-to-manage-them.pdf</p>
5.3	<p>Topics to cover:</p> <ul style="list-style-type: none"> Signs of conflict Causes of conflict Strategies to manage conflict Emotional intelligence, transactional analysis and relationship management The Senses Framework Accessing additional support <p>Resources:</p> <ul style="list-style-type: none"> Acas: Disputes and conflicts in the workplace website pages http://www.acas.org.uk/index.aspx?articleid=1662
LO6	<p>Theme objectives:</p> <ul style="list-style-type: none"> Understanding of the importance of supervision and appraisal for effective team performance
6.1	Topics to cover:

	<ul style="list-style-type: none"> • Difference between supervision and appraisal • Purpose and benefits of supervision
6.2	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Good practice for supervision and appraisal including: • Suitable environment • Sufficient time • Preparation • Two-way process between supervisor and supervisee • Effective communication • Open and honest conversations • Constructive feedback • Confidentiality • Agreeing actions • Recording feedback • Inclusion of health and well-being and continuing professional development as well as performance
LO7	<p>Theme objectives:</p> <ul style="list-style-type: none"> • Understanding of the importance of continuing development and how to support this in the workforce
7.1	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Models of learning styles: <ul style="list-style-type: none"> • Honey and Mumford model (1986) • Neuro-linguistic programming (2001) • Myer-Briggs model (1975) • Kolb model (1984) • Felder and Silverman model (1988) <p>Resources:</p> <ul style="list-style-type: none"> • Social Care Wales Continuing Professional Development Toolkit https://socialcare.wales/cms_assets/file-uploads/CCPD-toolkit-for-social-care-ENGv01.pdf • Social Care Wales Post Registration Training and Learning Requirements https://socialcare.wales/cms_assets/file-uploads/How-To-Meet-Post-Registration-Training-And-Learning-Requirements-Prtl.pdf <p>Power point presentation Unit 412 LO7 (pp7) Learning styles should be used to provide learners with the underpinning knowledge needed for this unit Power point presentation Unit 412 LO7 (pp8) Action Learning should be used to provide learners with the underpinning knowledge needed for this unit</p>
7.2	<p>Topics to cover</p> <ul style="list-style-type: none"> • Links between learning styles and learning and development methods • Assessing the value of learning and development activities • Learning and development methods – strengths and weaknesses: • Coaching and mentoring • Self-study • Online resources (e-learning) • Team events • Personal development (for managers) • Formal training • Work shadowing and secondments

	<ul style="list-style-type: none"> • Action Learning
7.3	<p>Topics to cover:</p> <ul style="list-style-type: none"> • Post Registration Training and Learning (PRTL) requirements for workers registered with Social Care Wales

Glossary

Individual - 'the person you support or care for in your work' this could be a child or an adult

Related NOS

- **SCDLMCE3** Lead and manage the quality of care service provision to meet legislative, regulatory, registration and inspection requirements
- **SCDLMCSD1** Lead and manage work for care services with networks, communities, other professionals and organisations
- **SCDLMCSC1** Develop and maintain systems, procedures and practice of care services to manage risks and comply with health and safety requirements
- **SCDLMCSB8** Lead and manage provision of care services that promotes positive behaviour
- **SCDLMCSB4** Manage provision of care services that supports parents, families, carers and significant others to achieve positive outcomes
- **SCDLMCA2** Lead and manage change within care services
- **SCDLMCSA1** Manage and develop yourself and your workforce within care services

Related legislation

- Social Services and Well Being (Wales) Act 2014
- The Regulation and Inspection of Social Care (Wales) Act 2016, associated Regulations and Statutory Guidance
- Welsh Language Measure 2011 and Welsh Language Standards 2016

Appendix 1 Relationships to other qualifications

Links to other qualifications

This qualification has connections to the following qualifications:

- Level 1/2 Introduction to Health and Social Care and Childcare
- Level 2 Health and Social Care: Core
- Level 2 Health and Social Care: Practice (Adults)
- Level 3 Health and Social Care: Practice (Children and Young People)
- Level 4 Health and Social Care with Specialism
- Level 5 Leadership and Management of Health and Social Care: Practice