

## Higher National Unit Specification

### General information for centres

**Unit title:** Managing Resources in Care Services

**Unit code:** DV0L 35

**Unit purpose:** On completion of the Unit the candidate should be able to understand and apply knowledge and skills in relation to the following areas, taking into account relevant legislation, policy, organisational procedures, theories and the needs of users of services, their relatives and carers:

- 1 Managing financial resources in care services.
- 2 Managing human resources in care services.
- 3 Commissioning and contract managing processes.

**Credit points and level:** 1 HN Credit at SCQF level 8: (8 SCQF credit points at SCQF level 8\*)

*\*SCQF credit points are used to allocate credit to qualifications in the Scottish Credit and Qualifications Framework (SCQF). Each qualification in the Framework is allocated a number of SCQF credit points at an SCQF level. There are 12 SCQF levels, ranging from Access 1 to Doctorates.*

**Recommended prior knowledge and skills:** Candidates should have at least two years experience at practitioner level in the care sector and preferably some experience of supervisory responsibilities in the care sector. Ideally they should also be qualified in or SVQ Care level 3 or above, HNC in Social Care, Health Care or Early Education and Child Care at SCQF level 7, or equivalent. Candidates without these qualifications would be required to demonstrate substantial care experience at a similar level of operation as that carried out by candidates with these qualifications. Candidates should have good communication skills, which should be evidenced by an appropriate nationally recognised qualification such as Higher English, or the completion of a pre-course selection procedure, part of which should include an assessment of the candidate's communication skills, both oral and written.

**Core skills:** There are opportunities to develop the Core Skills of Communication, Working with Others, Numeracy and Information Technology in this Unit, although there is no automatic certification of Core Skills or Core Skills components.'

**Context for delivery:** If this Unit is delivered as part of a Group Award, it is recommended that it should be taught and assessed within the subject area of the Group Award to which it contributes.

## General information for centres (cont)

**Assessment:** In order to achieve this Unit, candidates are required to present sufficient evidence that they have met all the knowledge and skill requirements for each Outcome. Details of these requirements are given for each Outcome. An integrative approach to assessment is encouraged.

An understanding of both theory and its relation to practice are required for all Outcomes. Hence assessment must include both the requirement to discuss various issues and the opportunity to relate these to practice. Where candidates are already working in first line management situations, it is asked that where possible, they write about real work situations. However it is recognised that commercial and other sensitivities may be involved here, so that centre-devised hypothetical assessments may be used as an alternative. Candidates are expected to produce evidence relating to undertaking supervisory or management responsibilities wherever possible.

## **Higher National Unit specification: statement of standards**

**Unit title:** Managing Resources in Care Services

**Unit code:** DV0L 35

The sections of the Unit stating the Outcomes, knowledge and/or skills, and Evidence Requirements are mandatory.

Where evidence for Outcomes is assessed on a sample basis, the whole of the content listed in the knowledge and/or skills section must be taught and available for assessment. Candidates should not know in advance the items on which they will be assessed and different items should be sampled on each assessment occasion.

### **Outcome 1**

Managing financial resources in care services

#### **Knowledge and/or skills**

- ◆ Key principles of financial management
- ◆ Budgeting techniques and their applications
- ◆ The purpose of audit

#### **Evidence Requirements**

Candidates will need to provide evidence to demonstrate their knowledge and/or skills by showing that they can:

- ◆ carry out a detailed critical analysis of a financial proposal, with reference to both financial considerations and organisational goals
- ◆ monitor income and expenditure, note deviations from the plan, and take corrective action in relation to at least one incidence of overspend and one of underspend
- ◆ explain the purposes of audit and describe ways in which an audit can achieve these purposes

In exceptional circumstances where real activities are not possible simulations or hypotheses may be used.

#### **Assessment guidelines**

Candidates should write a report up to 1,500 words:

- 1 Identifies a financial proposal which is justified in terms of organisational goals and financial viability.
- 2 Provides analysis of this financial proposal.
- 3 Considers aspects of monitoring income and expenditure; highlighting deviation and corrective action.
- 4 Explains the purpose of audit.

This report can refer to products such as actual documentation that highlights the candidate's competence/knowledge in this area.

## **Higher National Unit specification: statement of standards (cont)**

**Unit title:** Managing Resources in Care Services

### **Outcome 2**

Managing human resources in care services

#### **Knowledge and/or skills**

- ◆ Models of recruitment, selection and retention of staff
- ◆ Planning and monitoring staffing requirements
- ◆ Grievance and disciplinary procedures
- ◆ Concepts of professional development

#### **Evidence Requirements**

Candidates will need to provide a range of evidence to demonstrate their knowledge and/or skills by showing that they can:

- ◆ describe recruitment models and practices used in their workplace/organisation and compare them with another model
- ◆ provide a critical evaluation of either the planning and monitoring of staffing requirements in their organisation
- ◆ evaluate at least one aspect of either grievance or disciplinary procedures in their organisation
- ◆ explain a sample of the key concepts in professional development and lifelong learning

In exceptional circumstances where real activities are not possible simulations or hypotheses may be used.

#### **Assessment guidelines**

A report should be submitted up to 1,500 words:

- 1 Describes the recruitment model that is utilised by the candidate's own organisation. The candidate should then compare this to another model.
- 2 Critically evaluates the planning and monitoring of staff requirements.
- 3 Chooses one aspect of either the grievance or disciplinary procedures in their organisation and evaluates its effectiveness.
- 4 Explains their organisation's commitments to continuous professional development.

This report can refer to products such as actual documentation that highlights the candidate's competence/understanding in this area.

## Higher National Unit specification: statement of standards (cont)

**Unit title:** Managing Resources in Care Services

### Outcome 3

Commissioning and Contract Management Processes

#### Knowledge and/or skills

- ◆ The context in which the commissioning of care services takes place
- ◆ Develop commissioning plans
- ◆ Commissioned services to achieve the best possible Outcomes for service users
- ◆ Negotiating and awarding contracts

#### Evidence Requirements

Candidates will need to provide a range of evidence to demonstrate their knowledge and/or skills by showing that they can:

- ◆ analyse the context in which commissioning takes place including: need and supply, funding parameters, political issues, service user choice, carer views and other stakeholder interests.
- ◆ develop a commissioning plan and provide a critical analysis of that plan.
- ◆ evaluate a commissioned service by considering the following:
  - the design and review of the services promote and maximise the achievement of best possible Outcomes for the individual,
  - factors which mitigate against these Outcomes being met
  - systems for the assessment of risk of abuse, failure to protect and harm of self or others

In exceptional circumstances where real activities are not possible simulations or hypotheses may be used

#### Assessment guidelines

Candidates should write a report or a case study based on a given scenario that:

- 1 Considers the context in which a commissioning takes place.
- 2 Develop a commissioning plan and provide justification and analysis of the plan.
- 3 Evaluate a commissioned service; particularly considering best Outcomes for service users, barriers to these Outcomes being met and risk assessment tools.

The report can refer to products such as actual documentation that highlights candidate competence/understanding in this area.

## **Administrative Information**

<b>Unit code:</b>	DV0L 35
<b>Unit title:</b>	Managing Resources in Care Services
<b>Superclass category:</b>	AK
<b>Date of publication:</b>	August 2005
<b>Version:</b>	01
<b>Source:</b>	SQA

© Scottish Qualifications Authority 2005

This publication may be reproduced in whole or in part for educational purposes provided that no profit is derived from reproduction and that, if reproduced in part, the source is acknowledged.

SQA acknowledges the valuable contribution that Scotland's colleges have made to the development of Higher National qualifications.

Additional copies of this Unit specification can be purchased from the Scottish Qualifications Authority. Please contact the Customer Contact Centre for further details, telephone 0845 279 1000.

## Higher National Unit specification: support notes

### Unit title: Managing Resources in Care Services

This part of the Unit specification is offered as guidance. The support notes are not mandatory.

While the exact time allocated to this Unit is at the discretion of the centre, the notional design length is 40 hours.

### Guidance on the content and context for this Unit

#### Outcome 1

Candidates are not required, or expected, to set budgets, but to be able to implement them. It is likely that some organisations seconding candidates will be sensitive about real budgetary information being made available for this Outcome, hence the option to complete an assessment relating to a hypothetical scenario.

While the focus in this Outcome is on financial management, candidates should take account of contextual issues including legislation, policy, quality requirements; health and safety; and the expectations of individuals using the service. It is a reality of managers' working lives that they are required to implement policy decisions made by others, and they need to be able to manage this financially, taking actions, which promote the needs of the people who use their services.

Candidates should be aware of which aspects of the budget may be under their control, and those aspects over which they have less control, such as wage rates.

A range of budgetary techniques should be discussed, along with practical examples of how to apply these. Real-life examples should be used, from a variety of situations, to enable candidates to explore the impact of various legislative, policy or organisational factors. Candidates may be able to suggest financial issues from their own organisation's perspective; however it would be helpful to include a range of issues of general preoccupation, such as the requirements of the Registration of Care (Scotland) Act in getting sufficient staff trained; or Care Commission standards relating to residential care.

For assessment purposes, three different financial proposals relevant to *either* the hypothetical care setting *or* their own workplace, could be analysed; such as:

- ◆ the impact of selling the minibus and using taxis to provide a more personal service
- ◆ dispensing with the services of a day centre cook and buying in meals from an outside caterer
- ◆ building an extension to provide extra accommodation so that four more individuals can be accommodated in a residential Unit
- ◆ ensuring service user involvement in the financial planning of a new or changing service
- ◆ the impact on a residential unit of converting all rooms to include en-suite facilities
- ◆ the financial impact of responding to the council's request to convert two existing rooms in a unit into a bedsit, to help young people prepare for independent living
- ◆ analysing the implications of a percentage decrease in revenue budgets

## Higher National Unit specification: support notes (cont)

### Unit title: Managing Resources in Care Services

#### Outcome 2

The context will vary according to the different target groups for whom an HR service is provided; but will be similar in relation to various legislative requirements, especially the Registration of Care (Scotland) Act 2001. With regard to policy context, the candidate should show awareness of relevant policies relating to people who will be receiving services. For example, they might have to decide, and justify their decision, as to whether they call their workers 'support workers', 'carers', or something else again.

In planning and monitoring staffing requirements, candidates need to demonstrate understanding of the general and specific needs of their workplace, with regard to legislative, policy and good practice requirements. They should explore different ways of reviewing the effectiveness of current staff profiles, and thereby justifying any recommendations for change. They should take account of job profiling issues such as determining the relevant grade of a post; the number of hours required for the post to be carried out effectively; a review of how this new post will impact on the work of others; a discussion as to whether the post should be offered as a permanent or temporary contract, and why; whether any period of probation is required.

In interviewing and selecting staff, they need to demonstrate adherence to equal opportunities; ways of attracting good applicants; and clarity regarding essential and desirable attributes of posts. They need to understand and practice procedures for checking the veracity of applicants' statements; and good practice in making and confirming appointments, and in contacting unsuccessful applicants. They may wish to refer to the Scottish Executive Toolkit on Recruitment of Staff in Public Services, for example.

Disciplinary and grievance procedures should take account of their organisation's policies and the rationale for these, including other means of solving difficulties in the organisation; clarity in communication; support for individuals in the process; the aims of disciplinary and grievance procedures; and the importance of record-keeping.

In terms of professional development, candidates should provide evidence of the need for adequate induction programmes for new staff, and an example of this. They should be able to discuss supervision and feedback; the ability to identify needs for development for individuals and teams; the use of appraisal systems; and approaches to career planning.

#### Outcome 3

This Outcome addresses the commissioning and contract process taking account of the nature of the market in relation to the commissioning process and the form of contract used.

Candidates should have an opportunity to learn about:

- ◆ the strategic cycle
- ◆ analysis of need and supply, how to identify gaps in care services and fill them
- ◆ the integration of service user choice, carer views and other stakeholder interests
- ◆ funding parameters, timetabling of commissioning
- ◆ political issues influencing the commissioning process

## **Higher National Unit specification: support notes (cont)**

### **Unit title: Managing Resources in Care Services**

Centres should provide learning in collaborative practice, in particular; the importance of working with others in developing commissioning plans, best practice in commissioning, negotiating skills in accordance with organisational policies and procedures.

The management of situations where there is a conflict of interest should be covered and should include transparent and accountable decision-making processes.

Candidates will need to consider issues relating to the commissioned services which, achieve the best possible Outcomes for the individual these include:

- ◆ service users rights
- ◆ ensuring the commissioned service remains focussed on the service user
- ◆ the promotion of participation and independence in achieving best possible Outcomes for a service user in a commissioned service
- ◆ the design and review of services
- ◆ systems and methods of assuring quality
- ◆ systems of monitoring and ensuring protection of service users
- ◆ negotiating and awarding contracts
- ◆ managing contracts

### **Bibliography:**

#### **General**

Cole, G.A. 5th Ed. (1996) *Management: Theory and Practice*, London: Continuum.  
Martin, V. & Henderson, E. (2001) *Managing in Health and Social Care*, London: Routledge  
Thompson, N. 2nd Ed. (2002) *People Skills*, London, PALGRAVE MACMILLAN

#### **Finance**

Atrill, P. & McLaney, E. (2002) *Management Accounting for Non-Specialists*. Great Britain: Pearson Education Ltd.  
Maitland, I. (2000) *Budgeting for Non-Financial Managers*. Great Britain: Pearson Education Ltd.  
Walker, J. (2001) *Accounting in a Nutshell*. London: CIMA Publishing.

#### **Human Resources**

Maud, L. (2001) *An Introduction to Human Resource Management*. Great Britain: PALGRAVE.  
Tyson, S. & York, A. 4th Ed. (2000) *Essentials of Human Resource Management*. London: Butterworth-Heinemann.

#### **Commissioning and Contracting**

Bamford, T. (2001) *Commissioning and Purchasing*. London: Routledge in association with Community Care.  
Ellis, R. & Whittington, D. (1998) *Quality Assurance in Social Care*. London: Arnold.  
Light, D. (1998) *Effective Commissioning*. London: Office of Health Economics.

## Higher National Unit specification: support notes (cont)

**Unit title:** Managing Resources in Care Services

### Guidance on the delivery and assessment of this Unit

Opportunities should be taken to integrate teaching and assessment wherever possible across this award. Potential exists to integrate some of the teaching and assessment for this Unit, with Units on Supervision in Care Settings; Effective Leadership and Management in Care Settings; and Managing Policy and Procedures in Care Services.

#### *Opportunities for developing Core Skills*

There may be opportunities to develop and gather evidence towards Core Skills in this Unit, although there is no automatic certification of Core Skills or Core Skills components. Assessment of this Unit will assume the development of such Core Skills as would be necessary in the performance of work tasks at this level. For example, assessments may include the use of appropriate information technology and demonstration of skills required to undertake presentations.

Candidates will have the opportunity to develop the following Core Skills:

**Communication:** Written communications will be developed through candidates producing written work in a variety of formats in their portfolios; and through presentations of work for assessment.

**Working with Others:** Will be developed as candidates are required to work collaboratively with colleagues from their own and other agencies in researching issues for their assessment.

**Numeracy:** Candidates will develop numeracy skills through the production of work, which includes budget preparation and analysis, financial planning and understanding the processes of tendering, commissioning and contracting care services.

**Information Technology:** Candidates will develop basic skills in the use of IT for research and written presentations. This will involve the use of spreadsheets, PowerPoint presentations, and word documents.

### Open learning

This Unit is suitable for open learning, provided there is authentication of the candidate's evidence. For information on normal open learning arrangements, please refer to the SQA guide *Assessment and Quality Assurance of Open and Distance Learning* (SQA, 2000)

### Candidates with additional support needs

This Unit specification is intended to ensure that there are no artificial barriers to learning or assessment. The additional support needs of individual candidates should be taken into account when planning learning experiences, selecting assessment instruments or considering alternative Outcomes for Units. For information on these, please refer to the SQA document *Guidance on Alternative Assessment Arrangements for Candidates with Disabilities and/or Additional Support Needs*, which is available on SQA's website: [www.sqa.org.uk](http://www.sqa.org.uk).

## **General information for candidates**

### **Unit title: Managing Resources in Care Services**

This Unit requires you to develop understanding, and apply knowledge and skills, in relation to the following areas, taking into account relevant legislation, policy, organisational procedures, and theories:

- 1 Managing financial resources in care services.
- 2 Managing human resources in care services.
- 3 Commissioning care services and managing contracts.

There are three assessed Outcomes for this Unit. These will be assessed by a series of reports supported by product evidence.

It is essential that you develop your knowledge of financial management and managing human resources. You will become a more effective manager by understanding the formal context of your role in particular your financial and legal responsibilities. Furthermore, you should be able to explain to service users, their families and carers the rationale behind financial and staffing decisions and any implications of these.

Commissioning and contracting may not be part of your role but it is essential in a world of increasing commissioning of services that managers understand the processes of tendering, contracting and commissioning. You should be able to demonstrate the ability to develop and evaluate a tender, understand the meaning and implications of contracts and the importance of incorporating all relevant costs in the contract for a commissioned service, including a budget for training.