

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

Elements of competence

LMC E7.1	Develop a business plan for your provision
LMC E7.2	Implement, monitor and review the business plan
LMC E7.3	Evaluate policies, procedures and practices for business planning

About this Unit

This unit is for leaders and managers of care services. This unit is about developing, implementing and evaluating business plans for your provision. It also includes the need to review the business planning procedures for your provision.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. You need to provide evidence for the areas that are relevant to the care service that you lead and manage, and a sound rationale for not providing evidence for the remaining items.

People include: adults using care services; their families; carers; groups and communities. Children and young people using care services; their parents/carers; families; carers; groups and communities.

Preferred communication methods and language including: people's preferred spoken language; the use of signs; symbols; pictures; writing; objects of reference; communication passports; other non-verbal forms of communication; human and technological aids to communication; pre-verbal utterances in infants and young children.

Relevant others could include: other professionals who should contribute to the activity, people from within the provision who should contribute to the activity, people from outside the provision who should contribute to the activity.

Those providing governance could include: your provision's governing body; those directing statutory bodies; those directing non-statutory regulatory authorities, directors, board members, management committees, elected members, company directors, trustees.

Workers could include: those supporting the people within your provision who are paid, unpaid, contractual or non-contractual.

Your **knowledge and understanding** for this Unit relates to: legal and organisational requirements for care services; employer and employee codes of practice and conduct within care services; the depth and breadth of understanding that will enable you to lead and manage care services effectively, support workers to perform competently, ensure the well being of all within your provision, critically evaluate, assess and intervene appropriately to resolve issues and conflicts; and the need to understand and work in collaboration with people, workers and relevant others within and outside your provision to ensure its viability into the short, medium and longer term future.

Values underpinning the whole of the Unit

The values underpinning this unit have been derived from the key purpose statement, relevant service standards and codes of practice for health and social care in the four UK countries. To achieve this unit you must demonstrate that you have applied the principles required for the management of care services outlined in LMC B1 (F36D 04): Lead and manage provision of care services that respects, protects and promotes the rights and responsibilities of people.

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

Key Words and Concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way. **Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.**

Abuse	Abuse is causing physical, emotional, sexual and/or financial harm to an individual and/or failing/neglecting to protect them from harm. This could be at a personal or institutional level.
Business plan	A document that outlines the provision's aims, objectives and purpose, setting out a plan to meet business needs of the provision into the short, medium and longer-term future.
Governance	The way in which the provision is governed and directed as required by legislation, regulation, standards and guidance.
Independent representation and advocacy	Where the views, wishes and concerns of the adult/child/young person are communicated by another person, either through someone independently representing their wishes, or someone acting as their advocate.
Internal and external environments	Physical, human, technological and financial aspects within and outside the provision that might impinge on the performance and practice within the provision and that must, should and could impact on the operation of the provision in the short, medium and longer-term future.
Leadership	The ability to provide a model of best practice that is creative, innovative, motivating and flexible and supports people to follow by example and through respect.
Management	The ability to lead and organise the effective running of the provision and to meet the overall service needs and those required by legislation, regulation, registration and inspection. Effective managers are able to solve problems, balance the needs of all within the provision, to manage competing demands and to cope under stress.
Organisational requirements	Aspects of policy, procedure and practice that are required by the service and the provision.
Partnership working	Working effectively together with people, professionals, agencies and organisations to enhance the well being of people and support positive and improved outcomes.
People	For adults, people includes adults using care services, their advocates, their families, carers, significant others, groups and communities For children and young people, people includes the children and young people using care services, their advocates, their parents/carers, their families, teachers, college lecturers, significant others, groups and communities .
Positive outcomes	Beneficial outcomes for adults as specified in regulation and guidance for each of the countries of the UK and agreed as appropriate with and for each person within the provision. They include: <ul style="list-style-type: none"> • improved health, emotional well being and quality of life • staying safe and being free from discrimination and harassment • enjoying, achieving and making a positive contribution • exercising choice and control • achieving economic well being, dignity and respect Beneficial outcomes for children and young people as specified in the regulation of each of the countries of the UK and as agreed with children and young people. They include: <ul style="list-style-type: none"> • being healthy • staying safe

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

	<ul style="list-style-type: none"> • enjoying and achieving • making a positive contribution • achieving economic well being
Provision	The specific unit or part of the service for which you have leadership and management responsibilities.
Relevant others	Key people within and outside the provision with whom it is beneficial to work and who can influence the provision and the outcomes for the provision and people within it.
Resources	The assets of the provision: financial, human, physical and environmental.
Rights	<p>The rights of:</p> <ul style="list-style-type: none"> • adults are those embodied in the United Nations Universal Declaration of Human Rights • children and young people are those embodied in the United Nations Convention on the Rights of the Child <p>These include rights under the social care codes of practice that everyone should be: respected (in terms of their beliefs, culture and values); treated and valued equally, not be discriminated against; treated as an individual; treated in a dignified way; socially included; included in activities; protected from danger and harm; cared for in a way they choose; have privacy and access to information about themselves and be able to communicate using their preferred methods of communication and language.</p>
Service	The overall organisation, agency or service within which your specific provision resides and for which you are the manager.
Take informed action against discrimination	Actions taken about discrimination on the basis of your knowledge of good practice, legal requirements and professional codes and in relation to information received and investigated.
Viability	The ability of the provision to sustain its activities in terms of financial, human, physical and environmental requirements and services in both rapidly changing and planned circumstances.
Vision	A shared view of the future of the provision that is stimulating and motivating, takes account of continually changing needs of the provision and all within and inspires all who may be involved in or associated with the provision.
Workers	Those supporting people within the provision who are paid or unpaid, contractual or non-contractual.

Evidence Requirements for the Unit

It is essential that you adhere to the Evidence Requirements for this Unit – please see details overleaf.

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

SPECIFIC EVIDENCE REQUIREMENTS FOR THIS UNIT

Simulation:

- Simulation is **NOT** permitted for any part of this unit.

The following forms of evidence ARE mandatory:

We recommend that this qualification will be assessed in an holistic manner and the majority of the evidence must be generated by the candidate from their normal work based activities.

Direct observation: Direct observation by a qualified assessor, as defined in the assessment strategy, is required as the primary source of evidence for all of the qualification.

Reflective account: You could prepare detailed explanations of how you collect, review and collate the information for your business plan. This would include your consultation process explaining who you involve and why. You should include details of how you ensure that your performance objectives are SMART and describe your risk assessment strategy.

Prior to commencing the qualification you should agree a plan with your assessor regarding the types of evidence to be used.

In addition to the observation requirement competence and the application of knowledge must be demonstrated using a variety of types of evidence, for example:

- **Work Products:** These can be any products of your work and the contributions that you have made, indicating the use and application within your practice.
- **Professional Discussion:** This should take the form of a planned and structured review of your practice, based on evidence, with the outcomes captured by means of recording or written record. These are particularly useful to provide evidence that you can evaluate your knowledge and practice across the qualification.
- **Candidate Reflective Accounts:** Describe your actions in particular situations and reflect on the reasons for practicing in that way. This is particularly useful to provide evidence that you can evaluate your knowledge and practice across the qualification.
- **Case Studies:** These must be based on real work practice and experiences, and must not be a theoretical exercise.
- **Projects/ Assignments/APL:** You may have already completed a relevant project or assignment. You could also use evidence of previous training courses or programmes you have completed showing professional development.
- **Questions:** To supplement the evidence demonstrated through observations, products and reflective accounts, oral or written questions may be used; a record must be kept of the questions and responses.
- **Witness testimony:** These should be from other people who can provide evidence of your performance.
- **Expert Witness testimony:** This should take the form of an observation and must be from a person who is familiar with the standards and is qualified to the level identified in the assessment strategy. It can be used to supplement evidence provided by the main assessor or as the observation for an option unit where the presence of the main assessor would impinge on the service delivered to an individual. It is the role of the expert witness to complete the recording and to suggest the performance criteria to be met, however it is the responsibility of the main assessor to make the final decision on the appropriateness of this evidence.

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

GENERAL GUIDANCE

- Evidence must be provided for ALL of the performance criteria, ALL of the knowledge, you must also consider the parts of the SCOPE that are relevant to your job role.
- The evidence must, at all times, reflect the policies and procedures of your workplace and be linked to current legislation, values and the principles of best practice within the Health and Social Care Sector. This will include the National Service Standards for your areas of work and the individuals you care for.
- All evidence must relate to your own work practice.

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

KNOWLEDGE SPECIFICATION FOR THIS UNIT

Competent leadership and management practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent leadership and management in the performance described in this unit.

When using this specification it is important to read the knowledge requirements in relation to the expectations and requirements of your job role and the content of this unit.

You need to provide evidence for ALL knowledge points listed below. There are a variety of ways this can be achieved so it is essential that you read the ‘knowledge evidence’ section of the Assessment Guidance.

You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
Values	
1. Legal and organisational requirements on equality, diversity, discrimination, rights , confidentiality and sharing of information in relation to business planning.	
2. Knowledge and practice that underpin the holistic person-centred approach which enable you to lead and manage the development and implementation of business plans for the provision, in ways that: <ul style="list-style-type: none"> (a) place the people’s preferences at the centre of everything you do whilst considering their best interests (b) ensure people have access to information about themselves in a format that they can understand (c) provide opportunities for independent representation and advocacy (d) use a person’s preferred communication methods and language (e) provide active support for people (f) recognise the uniqueness of people and their circumstances (g) empower people to take responsibility (within any restrictions placed upon them) and communicate their decisions about their own lives, as far as they are able 	
3. How to critically evaluate and take informed action against discrimination when developing, implementing and evaluating business plans.	
4. How to support people, workers and relevant others to recognise and take informed action against discrimination.	
Legislation and Policy	
5. Regulation, inspection requirements, codes of practice and conduct, standards and guidance for employers and employees, relevant to: <ul style="list-style-type: none"> (a) your provision (b) your own roles, responsibilities and accountability (c) the roles, responsibilities and accountability of others (d) in relation to business planning for the provision 	
6. Current local, national, UK, European and international legislation, standards, guidance and organisational requirements for business planning within your provision, including: <ul style="list-style-type: none"> (a) the need to achieve positive outcomes for people (b) the need to safeguard and protect people from all forms of 	

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
<p>danger, harm and abuse</p> <ul style="list-style-type: none"> (c) employment practices for the provision and service (d) your provision's governance arrangements (e) data protection, recording and reporting (f) making and dealing with comments and complaints to improve services (g) whistle-blowing (h) partnership and other types of working (i) promoting your provision's services and facilities 	
<p>7. Organisational requirements for recording and reporting on business planning, including:</p> <ul style="list-style-type: none"> (a) how reports and records should be accessed, manually and through Information and Communication Technologies (ICT) (b) how to ensure that records and reports do not contribute to labelling and stigmatisation (c) the security requirements for different records and reports (d) the requirements for producing, finalising and sharing different types of records and reports appropriately and within required timescales (e) types of data, information and presentation methods appropriate to specific records and reports and the specific needs of people (f) the importance of identifying whether the source is based on evidence, fact or knowledge-based opinion (g) how and when to use evidence, fact and knowledge-based opinion to support professional judgement in records and reports 	
<p>8. How to implement, evaluate and influence the future development of management policies, systems, processes and procedures for business planning.</p>	
Leadership and management theory and practice	
<p>9. How to critically evaluate and implement best practice using up-to-date knowledge of:</p> <ul style="list-style-type: none"> (a) literature related to business planning for your provision (b) leadership and management methods, principles and approaches relevant business planning for your provision (c) government reports, inquiries and research relevant to business planning for your provision (d) evidence and knowledge-based theories and models of good practice in business planning for your provision (e) lessons learned for business planning within your provision, from successful interventions and serious failure of service and practice (f) the experiences of people within your provision and how they can contribute to effective business plans and planning 	
<p>10. Performance management and quality requirements, procedures, criteria, methods and indicators relevant to business planning within your provision.</p>	
<p>11. Methods of managing and developing practice in business planning for the provision, about:</p> <ul style="list-style-type: none"> (a) how you consult with people, workers and relevant others 	

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

You need to show that you know, understand and can apply in practice:	Enter Evidence Numbers
(b) how you promote the participation and involvement of people (c) how you support, supervise and develop staff (d) the impact on the provision of organisational behaviour (e) group and individual processes (f) how power relationships can be used and abused	
12. How to plan and integrate requirements for resources within business plans and how to assess the impact of resources on: (a) the delivery of services (b) the achievement of targets (c) the achievement of positive outcomes	
13. Different types of change and their implications for the business plans and planning.	
14. How psychological, socio-economic, cultural and environmental factors of those within the provision impact on your leadership and management when business planning.	
15. How and where technology should be used when developing, implementing and evaluating business plans and planning.	
16. The importance of long and medium-term planning to the success of your provision.	
17. The principles of strategic management and business planning	
18. The components of a strategic business plan.	
19. How to identify potential risks in relation to the achievement of objectives.	
20. How to develop strategic objectives which are SMART (Specific, Measurable, Achievable, Realistic and Time-bound) and how to develop controls to minimise risk.	
21. How to allocate roles and responsibilities and allocate resources to support a business plan.	
22. The importance of consulting with people, workers, relevant others and those providing governance during the development of the plan.	
23. How to develop measures and methods for monitoring and evaluating performance against the business plan.	
24. The importance of communicating the plan to people, taking account of their comments and ensuring that they understand the plan and any implications it may have for them.	
25. How to revise and adapt plans to meet the changing needs and circumstances of and demands on the provision.	

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

LMC E7.1 Develop a business plan for your provision

Performance criteria	DO	RA	EW	Q	WP	WT	PD	CS	P/A/A
1. You liaise with those providing governance to identify strategic objectives and goals that are required to meet the vision of the provision and the service .									
2. You implement and review the effectiveness of systems, procedures and practice for business planning in the context of legislation, regulation, registration, inspection and organisational requirements .									
3. You identify aspects of the internal and external environments that might impact on the operation and viability of the provision currently and into the short, medium and longer-term future.									
5. You consult with: (a) workers, people and relevant others (b) those providing governance to identify operational and strategic priorities and issues that need to be taken account of when developing the business plan									
6. You identify performance indicators and targets that have been set for the provision.									
7. You review, assess and balance identified business risks that need to be taken account of when developing the business plan .									
8. You identify positive outcomes that have been set for people and how and where these need to be incorporated into the business plan .									
9. You analyse, evaluate, prioritise and organise all information relevant to the development of an effective business plan that: (a) meets the current needs of the provision (b) meets needs that have been identified for the short, medium and into the longer-term future (c) is flexible and open to change (d) ensures positive outcomes for people									
10. You balance the needs and expectations of people, workers, relevant others and governance, ensuring that the business plan complies with legislation,									

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

Performance criteria	DO	RA	EW	Q	WP	WT	PD	CS	P/A/A
	regulation, inspection and organisational requirements .								
11. You develop and disseminate the business plan to appropriate people for comment.									
12. You revise the business plan in response to feedback.									

DO = Direct Observation RA = Reflective Account Q = Questions PD = Professional Discussion
EW = Expert Witness WP = Work Product WT = Witness Testimony CS = Case Study
P/A/A = Projects/Assignment/APL

LMC E7.2 Implement, monitor and review the business plan

Performance criteria	DO	RA	EW	Q	WP	WT	PD	CS	P/A/A
	1. You review systems, procedures and practice for implementing and monitoring business plans within your provision in the context of legislation, regulation, inspection and organisational requirements.								
2. You ensure that the implementation and monitoring of the business plan is adequately resourced.									
3. You identify measures and methods for obtaining feedback, monitoring, evaluating and revising the business plan.									
4. You identify when different components of the plan should be implemented and monitored and by whom.									
5. You identify your own and the roles and responsibilities of those involved in governance, workers and relevant others for the implementation and monitoring of the business plan.									
6. You ensure that all involved in the implementation and monitoring understand their roles and are able, trained and competent to do so.									
7. You collect data and feedback from all sources to monitor the business plan.									
8. You report on outcomes from monitoring and reviewing the business plan as required by legislation, regulation, inspection and organisational									

F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

Performance criteria	DO	RA	EW	Q	WP	WT	PD	CS	P/A/A
requirements identifying: (a) where targets, goals and objectives are being met and areas that need improvement (b) areas of the business plan that need strengthening (c) internal, external environmental and other changes that might impact on the business plan and require its revision (d) timescales by which changes need to be made									
9. You disseminate the revised business plan to the appropriate people for comment and action.									

DO = Direct Observation RA = Reflective Account Q = Questions PD = Professional Discussion
EW = Expert Witness WP = Work Product WT = Witness Testimony CS = Case Study
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F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

LMC E7.3 Evaluate policies, procedures and practices for business planning

Performance criteria	DO	RA	EW	Q	WP	WT	PD	CS	P/A/A
	1. You analyse information from all sources to evaluate the effectiveness of policies, procedures and practices for business planning.								
2. You identify business planning policies, procedures and practices that positively contribute to meeting: (a) the provision's performance indicators and targets (b) the provision's strategic objectives and vision (c) positive outcomes for people									
3. You work with workers and those providing governance to identify business planning policies, procedures and practices: (a) that work well (b) need changing to better meet the business planning requirements for the provision									
4. You record and report on the outcomes of the evaluation and communicate these to appropriate people, organisations and agencies.									
5. You liaise with relevant individuals and gain approvals to adapt systems, procedures and practices to better meet the business planning needs of provision.									

DO = Direct Observation RA = Reflective Account Q = Questions PD = Professional Discussion
EW = Expert Witness WP = Work Product WT = Witness Testimony CS = Case Study
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F372 04 Unit (LMC E7) Develop, implement and review business plans and planning for the provision of care services

To be completed by the Candidate

I SUBMIT THIS AS A COMPLETE UNIT

Candidate's name:

Candidate's signature:

Date:

To be completed by the Assessor

It is a shared responsibility of both the candidate and assessor to claim evidence, however, it is the responsibility of the assessor to ensure the accuracy/validity of each evidence claim and make the final decision.

I CERTIFY THAT SUFFICIENT EVIDENCE HAS BEEN PRODUCED TO MEET ALL THE ELEMENTS, PCS AND KNOWLEDGE OF THIS UNIT.

Assessor's name:

Assessor's signature:

Date:

Assessor/Internal Verifier Feedback

To be completed by the Internal Verifier if applicable

This section only needs to be completed if the Unit is sampled by the Internal Verifier

Internal Verifier's name:

Internal Verifier's signature:

Date: