



**Version 1.5 - June 2011**

**Meeting the workforce regulations: Skills for Care advice on CQC's workforce-specific outcomes; 14 and 25.**

### **Introduction**

The following advice and guidance has been developed by Skills for Care following consultation with providers of services and people who use them, regulators and other sector stakeholders. The aim of this resource is to support providers of residential and community adult social care services to fulfil their responsibilities in respect of the outcomes in the Care Quality Commission's (CQC) guidance about compliance with 'Essential Standards of Quality and Safety'.

The advice contributes to developing an understanding of what providers should do to comply with the regulations within the Health and Social Care Act 2008 (Regulated Activities), Regulations 2009, and the Care Quality Commission (Registration) Regulations 2009. These regulations and the CQC's required outcomes are set out in the 'Guidance about Compliance; Essential Standards of Quality and Safety.' They are not replicated here; the focus instead is on assisting services to meet outcomes 14 and 25 by responding to the prompts. As such providers should ensure that Skills for Care advice is used in conjunction with CQC [guidance](#).

The CQC expects services to demonstrate good practice in meeting the essential standards of quality and safety and in delivering positive outcomes for people who use services. The following advice helps you to achieve this by highlighting key areas of development which will assist your workforce in achieving these goals.

Relevant information, tools and sources of additional support are referred to throughout this resource. **Please note that this advice will be updated to reflect changes and developments in the qualifications landscape, so please ensure that you check the Skills for Care [website](#) for the most up to date version.**

### **Foundation stones – ‘values’ and ‘planning’**

This advice on meeting the workforce regulations, like all Skills for Care products, is based on person-centred values and principles. Providers are expected to establish such values and principles within their care services as they pursue compliance with the essential standards. To help with this, they may wish to consider [The Common Core Principles to Support Self Care](#) as a foundation stone of their adult social care practice. **Both CQC guidance and Skills for Care advice highlight the responsibility of the service provider and registered manager to continue to improve care standards through a well-trained workforce.**

When adopting the common core principles, services and registered managers should recognise the differences between service types and care settings. Managers should create a workforce development plan that shows their assessment of the training needs that are essential to providing good outcomes for the particular people using their service, reflecting their particular needs. Learning and development programmes, including induction, should be based on the plan, and should reflect the common and core social care areas as well as areas specific to the model and type of service. Individual development plans for each worker must also be based on the overall workforce plan.

### **Who and what this advice covers**

The following advice is intended specifically for the residential and community service types covered by CQC’s regulations. However, it is also relevant to other regulated service types where there is integration with health, and to adult social care services that are not subject to regulation – particularly day care.

The focus of this document relates to CQC Outcomes 14 and 25. However, the advice also relates to parts of Outcomes 12 and 13. In developing a comprehensive workforce plan the service provider should link these four outcomes as they cover all aspects of responsibilities for the workforce.

In addition to these four outcomes, the majority of the outcomes within the CQC guidance rely on a central role for the workforce. In view of this, an additional resource; ['Skills for Care materials to help with meeting CQC inspection outcomes'](#), has been developed to accompany this advice. This aims to alert managers to information, tools and sources of additional support from Skills for Care and other key authorities, which are relevant to each outcome.

## **Care Practitioners**

Induction: [Skills for Care Common Induction Standards](#)

- The Common Induction Standards (CIS) incorporate standards that are specific to adult social care and standards that are generic to the working environment.
- Service providers are advised that all adult social care practitioners should complete the CIS within 12 weeks of starting their job.
- The CIS need to be delivered in a context relevant to the service and job role.
- Completion is subject to a recorded assessment which identifies the areas of work that the practitioner is competent to undertake at that point in time.
- Lone working should not be permitted until the CIS are completed or until competence has been assessed and a manager 'signs off' that a practitioner is 'safe to leave' to work alone.
- The registered manager may assess as completed those CIS that a worker has earlier completed when working for a previous service provider. The manager's satisfaction of the worker's safety to practice unsupervised should be based on recorded evidence such as references, certificates or a skills audit and observed practice. In addition, it is strongly advised that local inductions are carried out to ensure workers are properly introduced to the new work environment and requirements of the people using the particular service.

- On completion of the CIS all care practitioners should be offered the opportunity to achieve a recognised vocational qualification. Practitioners should be expected to achieve Level 2 Diploma within 2 years of appointment.

### Continuing Professional Development (CPD)

The Continuing Professional Development (CPD) of social care practitioners beyond induction and initial training is crucially important for service providers, the workforce, and for people using the services. CPD is an ongoing and planned learning and development process that contributes to work-based and personal development. The registered manager has a key responsibility to ensure that care practitioners each have individual development plans; they are provided with opportunities for CPD and that effective CPD systems are in place. This can be provided in a variety of ways to ensure practice and knowledge is up to date. CPD should be relevant to the role, setting and the needs of the people using the service, and where possible should be linked to the [Qualification Credit Framework](#). An annual review of CPD should be undertaken by the Registered Manager as part of each care practitioner's annual appraisal. Record keeping by the manager of the observation of working practice and competence should be used alongside the overall workforce plan and individual learning and development plans, to identify and record the further skills and qualifications needed by practitioners and how they are to be met.

### QCF

The [Qualification and Credit Framework \(QCF\)](#) is a flexible way of learning. Qualifications can be taken as small chunks of learning at a time, and at a pace that suits the individual, building up credits as they go along. Credits can be transferred between courses – counting towards a final qualification.

### 16-18 year olds

It is particularly important that young practitioners (16-18 year olds) are supported in care work. Young practitioners must have completed or be undertaking an approved training programme – it is advised that the [Health and Social Care Apprenticeship framework](#) is used. Record keeping by the manager of the observation of working practice and

competence should be used to help identify areas needing further development to meet the requirements of the apprenticeship framework.

### **Registered Persons**

A rigorous and thorough recruitment and selection process should ensure that only managers who have the appropriate knowledge and skills and who are suitable to provide and manage social care, are appointed to the workforce. Skills for Care has developed the [Manager Induction Standards](#) for use by all 'new' managers of adult social care, i.e. those new to management and those new in post who have previously managed other care services. The standards have been mapped to the core units of the [National Occupational Standards for Leadership and Management for Care Services](#).

Managers are required by the regulations to have the 'necessary qualifications, skills and experience' to carry on the regulated activity. Skills for Care advise that the relevant qualification is the [Level 5 Diploma in Leadership for Health and Social Care and Children and Young People's Services](#) choosing the pathway;

- Management of Adult Services **or**
- Management of Adult Residential Services

The following earlier qualifications remain valid and relevant:

- Registered Manager's Award (RMA)
- An NVQ Level 4 in Leadership and Management for Care Services

Registered Managers should have the right skills, knowledge and experience relevant to their job role and care setting.

This may include the following care qualifications:

- Level 4 NVQ in Health and Social Care
- Relevant nursing, physiotherapy or occupational therapy qualification and registration
- Relevant social work qualification and registration with the GSCC

Managers taking the Level 5 Diploma should use the full breadth of QCF units available to ensure they achieve a qualification that is relevant to the role they are carrying out.

The difference in levels between the L4 NVQ in Health and Social Care and L4 NVQ in Leadership and Management for Care Services with the L5 Diploma in Leadership for Health and Social Care and Children and Young People's Services is due to the difference in frameworks. It is the ultimate responsibility of the [Care Quality Commission](#) to determine but it is our advice and guidance that if you have already achieved your L4 NVQ or RMA you do not need to take the L5 qualification as well.

For learners who have registered for the previous NVQs and have not completed their qualification it is up to the Awarding Organisation to stipulate how long they have to complete. Equally for any learner who is registered on the current qualification, the Awarding Organisation will stipulate how long they have to complete.

For an up to date list of Awarding Organisations that offer the Level 5 Diploma in Leadership for Health and Social Care and Children and Young People's Services please visit the following link:

[http://www.skillsforcare.org.uk/qualifications\\_and\\_training/qualificationsandcreditframeworkQCF/what\\_is\\_changing.aspx](http://www.skillsforcare.org.uk/qualifications_and_training/qualificationsandcreditframeworkQCF/what_is_changing.aspx)

When they apply to register with CQC, managers must have available documentary evidence of all relevant qualification/s and any professional registrations. If this documentation shows that a person applying to become a registered manager does not have one of the above qualifications or is not registered on the Level 5 Diploma course then, as in the guidance set out by Skills for Care, it would be reasonable to expect them to register on the level 5 course and achieve within three months of appointment and complete within 18 months to 2 years. Our response will be proportionate, taking into account the impact on outcomes for people who use services, the person's previous experience, existing qualifications and any steps they have taken to achieve a qualification listed above.

### Continuing Professional Development (CPD)

The Registered Manager must undertake relevant training to maintain and improve knowledge and skills and contribute to the learning and development of others. The CPD needs of registered managers themselves are the responsibility of the Registered Person, who may wish to consider making mentoring support available to their manager(s). Skills for Care's [CPD Guidance](#) can be downloaded from the website. Record keeping of the observation of working practice and competence should be used alongside the overall workforce plan and individual learning and development plans, to identify and record the further skills and qualifications needed by managers and how they are to be met.

### Supervision

Professional supervision can make a major contribution to the way service providers ensure the achievement of high quality provision and consistent outcomes for people who use services. High quality supervision is also vital in the support and motivation of practitioners undertaking demanding jobs and should therefore be a key component of retention strategies. Supervision must enable and support practitioners to build effective professional relationships, develop good practice, and exercise both professional judgement and discretion in decision-making. For supervision to be effective it needs to combine a performance management approach with a dynamic, empowering and enabling supervisory relationship.

Supervision should improve the quality of practice, support the development of integrated working and ensure continuing professional development. It is therefore at the core of individual and group continuing professional development. Skills for Care's workforce development tool, [Providing Effective Supervision](#), can be downloaded from the website.

Where there is no supervisory line management or professional support arrangements for the registered manager the Registered Person should consider making mentoring support available.

## **Responsible Individual**

Care Services should have a nominated 'Responsible Individual' - this is a management position. The responsible individual should be able to demonstrate that they have sufficient skills, knowledge and experience to effectively oversee the running of a care home e.g. ensure adequately trained staff in post, oversee funds so that all necessary equipment/resources are in place. They will be ultimately responsible for the running of the care home and will be held to account as such.

Working in conjunction with a Registered Manager, they will not be required to have a care specific qualification, so long as they are not involved in care duties. The Responsible Individual can be the same person as the Registered Manager as long as they fulfil the necessary requirements of a Registered Manager.

### 16-18 year olds

16-18 year olds **can** be employed in care settings to carry out personal care.

However, it is important that the registered manager or a delegated person assesses the competence and confidence of all workers to carry out tasks. It is particularly important that young practitioners (16–18 year olds) are supported in care work. **Young practitioners must have completed or be undertaking an approved training programme** and registered managers should particularly **assess their competence and confidence before they carry out intimate tasks**. This should be done with the **consent** of the person being supported and/or their advocate. **Inexperienced practitioners should not be left in charge of a care setting or be left to work on their own.**

## **Recommended Training and Qualifications**

The table below brings together the recommendations from Skills for Care, which should be included in learning and development plans. The table highlights that different levels of training will be appropriate for different job roles, service types and settings within the adult social care sector, ranging from awareness and information training to advanced training.



### 'Refresher' Training

Service providers and registered managers should assess the need for refresher training according to the service type, care setting and dependent on the role and functions of the worker. This should be reflected in both the service's workforce development plan and in individual plans for each practitioner. An annual refresher programme should be considered.

NB: Legislative requirements must be adhered to.

The training and qualifications recommended by Skills for Care satisfy the CQC learning outcomes **but Skills for Care do not set the legislation** – please contact the legislative and professional bodies as listed in 'Additional Information'.

<b>Recommendation</b>	<b>Designated job roles – 'who?'</b>	<b>Timescales – 'when?'</b>	<b>Additional information</b> (All areas in blue and underlined in this column are linked to relevant websites)
Health and Safety Awareness	All workers	During induction	<a href="#">Health and Safety Executive legislation and requirements</a>  <a href="#">Common Induction Standards</a> (standard 8)  <a href="#">Skills for Care Resources</a>
Moving and Handling/Assisting and Moving; Awareness	All workers	During Induction	<a href="#">Health and Safety Executive legislation and requirements</a>  <a href="#">Skills for Care Resources</a>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
Moving and Handling/Assisting and Moving; Advanced	Senior workers/according to job role	Within 3 months of appointment to role	<a href="#">Assisting and Moving Individuals – QCF qualification</a> <a href="#">Health and Safety Executive legislation and requirements</a> <a href="#">Skills for Care Resources</a>
Fire Safety	All workers	During induction	<a href="#">Health and Safety Executive legislation and requirements</a> <a href="#">Skills for Care Resources</a>
Emergency First Aid at Work (1 day)	All workers	During induction. ½ day course for lone workers	<a href="#">Health and Safety Executive legislation and requirements</a> <a href="#">Health and Safety Executive First Aid at Work Assessment Tool</a> <a href="#">Skills for Care Resources</a>
First Aid at Work (3 days) Through an accredited training provider as approved by the <a href="#">Health and Safety Executive</a>	Residential services should have an accredited first aider on duty at all times		<a href="#">Health and Safety Executive legislation and requirements</a> <a href="#">Health and Safety Executive First Aid at Work Assessment Tool</a> <a href="#">Skills for Care Resources</a>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
Infection Control Awareness	All	During induction	<p><a href="#">Department of Health</a></p> <p><a href="#">Skills for Care Resources</a></p> <p><a href="#">Common Induction Standards</a> (standard 8)</p> <p><a href="#">QCF Units:</a></p> <p><a href="#">IC01 - Level 2 - The principles of Infection Prevention and Control</a></p> <p><a href="#">IC02 - Level 2 - Causes and Spread of Infection</a></p> <p><a href="#">IC03 - Level 2 - Cleaning, Decontamination and Waste Management</a></p>
Food Safety in Catering <u>or</u> Food Hygiene	Practitioners involved in preparing and serving food	Prior to undertaking food or drink preparation and serving	<p>Guidance from the <a href="#">Food Standards Agency</a></p> <p>Guidance from the <a href="#">Chartered Institute of Environmental Health</a></p> <p><a href="#">Skills for Care Resources</a></p>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
Nutrition and Hydration	Practitioners involved in preparing and serving food	During induction	<p>Guidance from the <a href="#">Food Standards Agency</a></p> <p>Guidance from the <a href="#">Chartered Institute of Environmental Health</a></p> <p><a href="#">Skills for Care Resources</a></p> <p><u>QCF Units: (to be launched September 2011)</u></p> <p>HSC 2029K Principles of food safety when providing food and drink for individuals (L2)</p> <p>HSC 2029 Meet food safety requirements when providing food and drink for individuals (L2)</p> <p>HSC 2014 Support individuals to eat and drink (L2)</p> <p>FSN 201 Contribute to promoting nutrition and hydration in health and social care settings (L3)</p> <p>FSN 301 Promote nutrition and hydration in health and social care settings (L3)</p>
Medication, Safe handling and Awareness	Senior care practitioners and managers who administer medication	Prior to administering medications	<p>Guidance from <a href="#">The Royal Pharmaceutical Society</a></p> <p><a href="#">Common Induction Standards (Standard 8)</a></p>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
			<p><a href="#"><u>QCF Units:</u></a>  <a href="#"><u>ASM 34 Administer Medication to individuals and monitor the effects (L3)</u></a>  <a href="#"><u>DEM 305 Understand the administration of medication to individuals with dementia using a person centred approach (L3)</u></a>  <a href="#"><u>HSC 3047 Support use of medication in social care settings (L3)</u></a></p>
Safeguarding Adults Briefing and Safeguarding Adults local policies and procedures Advanced	All workers Senior practitioners and managers	During induction Within 3 months of appointment to job role	<p>Local Safeguarding Adults Board</p> <p><a href="#"><u>Skills for Care Resources</u></a></p> <p><a href="#"><u>Common Induction Standards (Standard 6)</u></a></p> <p><a href="#"><u>QCF Units:</u></a>  <a href="#"><u>HSC 024 Principles of safeguarding and protection in health and social care (L2)</u></a>  P1 Safeguarding and protection of vulnerable adults (L5)  P5 Understand safeguarding of children and young people (for those working in the adult sector) (L3)</p>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
Specialist Areas: Care Planning and Recording Dementia Dignity and Equality Learning Disability Mental Capacity and Deprivation of Liberty Managing Challenging Behaviour	All according to service type, learning and development	Awareness training for all staff during induction Advanced training to commence within 6 months of appointment to job role and/or linked to previous experience	<u><a href="#">QCF qualifications:</a></u> Diploma in Health and Social Care, Level 2 and 3. Generic, Learning Disability and Dementia Pathways  Awards and Certificates in Supporting Individuals with Learning Disabilities qualification, Level 2 and 3  Awards and Certificates in Awareness of Dementia/Dementia Care, Level 2 and 3  There are a range of <u><a href="#">relevant QCF units</a></u> to support specialist areas
Ongoing training Health and Social Care Diploma levels 2-3 <i>Previous NVQ levels 2 and 3 still recognised</i>	Care practitioners	On completion of Common Induction Standards	<u><a href="#">Diploma in Health and Social Care, Level 2 and 3.</a></u> <u><a href="#">Generic, Learning Disability and Dementia Pathways</a></u>  Various Awards and Certificates to support CPD in specialist areas. See <u><a href="#">Qualifications and Training</a></u>  <u><a href="#">16-18 year olds</a></u>  <u><a href="#">Continuing Professional Development</a></u>

Recommendation	Designated job roles – ‘who?’	Timescales – ‘when?’	Additional information (All areas in blue and underlined in this column are linked to relevant websites)
<p>Ongoing training Leadership and Management for Care Services Awards (NVQ level 4)</p> <p><u>Plus</u></p> <p>Relevant care qualification at level 4 e.g. Health and Social Care NV4</p> <p><u>Or</u></p> <p>Be registered on the Level 5 Diploma in Leadership for Health and Social Care and Children and Young People’s Services</p>		<p>Held on appointment or within 3 months of appointment</p> <p>To be achieved with 2 years of appointment</p>	<p><a href="#"><u>Managers</u></a></p> <p><a href="#"><u>Level 5 Diploma in Leadership in Health and Social Care and Children’s and Young Peoples Services</u></a></p>