Recommendations for CQC Providers Guide

Workforce development to help deliver safe, effective, caring, responsive and well-led services

Summer 2016
Recommendations for CQC providers guide, Summer 2016
Please always refer to the online version of this resource for the latest information and advice.

Introduction to this Section

CQC regulated providers are expected to ensure that their care workers have received the appropriate training, supervision and workplace assessment to provide safe and effective care and support.

This should form the basis of initial induction and continued development as care workers roles expand to take on new duties and refresh existing learning to ensure they keep up to date with the latest practice.

Introduction

The induction process is an important opportunity for new workers to learn about the organisation and the standards of service they need to adhere to.

Inductions should not just be limited to those joining the sector but available to all, even if experienced workers inductions are lighter than those at the very beginning of their career in care.

For those joining the health and adult social sector for the first time, the Care Certificate is now the national induction that CQC regulated services are expected to provide. The CQC would expect a regulated providers induction covers the scope and learning outcomes of Care Certificate at a minimum.

Since it was introduced in April 2015, Skills for Care has produced a wide range of products and services helping employers to implement the Care Certificate. Rather than duplicate all the information and advice available, this section signposts employers to what we hope they will find most useful.

Whilst a lot of this section references the Care Certificate, we also focus on wider induction considerations when employing new care workers who have sector related experience already.

The Care Certificate is not expected of those who have worked in the sector since before April 2015, as these care workers should have undertaken earlier induction programmes.

CQC regulated providers recruiting experienced care workers should always seek clear evidence of earlier training and qualifications, arranging any gaps in learning to be covered as part of their induction programmes.

Where employing someone who has previous experience of health and social care, inductions can be tailored to avoid duplicating existing training, knowledge and competences.
Learning and Development

Learning and development is naturally a part of all induction but also should continue beyond that. Periodic assessment of competence, the refreshing of learning and awareness of the latest practice will help care providers to ensure that they have a workforce that meets the CQC expectations.

Our new Ongoing Learning and Development in Adult Social Care Guide helps employers to continue to provide a competent workforce. It includes a recommended minimum list of training areas and highlights both the statutory requirements and suggested frequency of refreshing learning.

For information about recommended learning and development for leaders and managers, please refer to the Leadership and Management section of this guide. To find out more about longer-term development, please refer to the Qualifications and Apprenticeships section of this guide.
For new care providers and managers, we recommend this full section is read. For those more familiar with our information and advice, the following links direct you to appropriate sub-sections:

**The CQC, the Care Certificate and developing staff**

- Inducting staff
- Inducting those new to the sector
- Resources for those new to the sector
- Inducting experienced care workers
- Recruitment agencies

**Training and assessment**

- Delivering effective training
- External learning and development
- Endorsed learning providers
- Supervision
- Workplace assessment
- Code of Conduct

**Ongoing Learning and Development in Adult Social Care**
The CQC, the Care Certificate and developing staff

The CQC’s Fundamental Standards highlight the importance of the Care Certificate and their guidance for Section 18(2a) and 19(1b), which relate to Staffing and Fit and Proper Persons Employed respectively,

**Section 18(2a) states;**

“It is expected that providers that employ healthcare assistants and social care support workers should follow the Care Certificate standards to make sure new staff are supported, skilled and assessed as competent to carry out their roles.”

The CQC guidance also explains to regulated providers what the CQC expects in terms of training and development of care workers to enable them to fulfil their role, as well as the provider’s responsibilities around supervision and assessment before people are permitted to work out of line of sight.

In addition to the Care Certificate, regulated CQC providers must also consider what other statutory, mandatory or other training is required to enable their people to undertake the regulated activities.

**Section 19(1b) states;**

“Providers should have systems in place to assess the competence of employees before they work unsupervised in a role. They must provide appropriate direct or indirect supervision until the person is assessed as competent to carry out the role. Competence may include the demonstration of a caring and compassionate approach. It is expected that providers that employ healthcare assistants and social care support workers should follow the Care Certificate standards to assess their competence.”

The CQC inspections focus on various areas of care and support to determine how the provider is meeting the regulations. The training and induction processes are just one area of workforce development that the inspector may look at to assure themselves that the provider is adhering to their guidance.
The Care Certificate is the national induction programme for people new to health and adult social care in England. It was introduced in April 2015 to replace the earlier Common Induction Standards.

The Care Certificate comprises of 15 Standards of the Care Certificate covering a range of subjects including; Duty of Care, Equality and Diversity, Person-Centred Care, Safeguarding, Health and Safety, Basic Life, Fluids and Nutrition etc.

**Why was the Care Certificate introduced?**

The Care Certificate was introduced to help ensure more consistency into the induction processes of those working in healthcare support and adult social care worker roles.

In recent years, some very public exposures of poor health and adult social care has revealed that health and adult social care providers’ induction processes wildly varied. This resulted on occasions in unsafe practices that had a negative impact on the employer, employee and those that they provided care for.

The public outcry resulted in employers in health and adult social care sectors coming together to identify the minimum induction standards expected of those joining the health and adult social care sectors.

**Realistic timescales to complete**

The time it takes for those new to the sector to progress through the various training, supervisions and workplace assessment of competence to meet the Care Certificate standards will vary.

Employers need to be realistic when planning the Care Certificate. It is not something that can be achieved in a few days. In addition to the essential background knowledge and practical hands on training, employers need to arrange a significant number of workplace assessments too.

Whilst it may not be a mandatory requirement within British law, CQC regulated providers are expected to provide the Care Certificate if recruiting care workers with no previous experience.
For someone new to the sector working full time, it is likely the Care Certificate will take a number of weeks to complete. The feedback from the piloting of the Care Certificate indicted that it could take up to 3-months for many to complete the process and be able to work out of line of sight on all related duties.

**Delivering the Care Certificate**

Providers may choose different approaches to deliver the ways the 15 standards are covered and what support is appropriate to support their new workers.

The delivery of the Care Certificate may involve a combination of senior care workers and others providing internal training, as well as externally commissioned learning providers.

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It is not realistic to cover the full scope of the Care Certificate using external learning provision alone but they can bring expertise to many parts of the process.

Employers can choose to use own induction programmes to help them cover the Care Certificate. When updating inductions to meet the focus of the Care Certificate, many employers have simply refreshed their earlier programmes.

The use of some mandatory type training from learning providers can help to cover some parts of the Care Certificate. Employers are recommended to review and compare existing courses they use (e.g. Safeguarding / Assisting and Moving etc.) and check if these meet the outcomes of the Care Certificate. It may be practical to complement existing courses with additional learning to ensure the full scope of the Care Certificate is met.
Care Certificate

Resources for those new to the sector

Skills for Care has created a special section within our website to help employers understand what is expected of them regarding the Care Certificate and which products and services can assist them. All Care Certificate related products and services referenced in this section are available here.

Background Information

Care Certificate Standards
This lists the 15 Standards that new health and social care workers are expected to complete as part of their induction.

- It states what the employer should ensure that their new care worker should be assessed on.
- For those care workers joining the sector for the first time, the employer will need to provide this training, supervision and assessment.
- Where the new worker has previously worked in the health or adult social care, the employer needs to check evidence of past experience and provide training, supervision and assessment if there are gaps.

Care Certificate Framework: Assessor Document
This provides further detail about how the employer should deliver different parts of the Care Certificate. The resource highlights the various assessment options available to the employers and includes some practical examples to consider.

From good practice recommendations around assessor experience to the formal expectations of assessment, the document should be a practical tool to help providers to plan this important part of judging competence.

To complement the assessor document, there are various associated resources and template examples available. For those delivering homecare, additional guidance is available.

Frequently Asked Questions
Since the Care Certificate was introduced, Skills for Care has responded to thousands of enquiries relating to it. Therefore, we would recommend that every employer read our Frequently Asked Questions to better understand who needs to undertake the Care Certificate and what flexibility and resources exist.
Care Certificate Learning Materials

**Care Certificate: Workbook**

The workbook covers what a care worker needs to know and understand for each standard in the Care Certificate. It has questions and activities across the 15 Standards for the care worker to complete to show what they have understood and how it applies to their work.

Each individual workbook can be completed by the new care worker and reviewed by manager and supervisor to indicate if the knowledge has been learnt or if additional support is required. Employers are responsible for providing additional support and guidance if their worker requires this.

They workbooks do not cover the parts of the Care Certificate that should be delivered in person (such as hands on assisting and moving training, Basic Life Support etc.) or the workplace assessment of competence that would usually follow the background knowledge training. As a result, it is not possible to complete the Care Certificate by using the workbook alone.

The Care Certificate Workbook is a comprehensive resource and Skills for Care does not recommend that employers print it. The interactive PDF document can be typed into and saved to evidence what the new care worker has demonstrated.

The content of the workbook is free to use in whatever way the employer believes is beneficial to the learning of their care worker, this may include incorporating some parts of it into their own materials.

Employers may wish to go into more depth and arrange additional training to deepen their care workers knowledge.

**Care Certificate: Presentations**

To accompany the Care Certificate Workbook, a series of downloadable presentations are available to help employers who wish to cover the knowledge content of the Care Certificate using training sessions.

Accompanied by facilitator notes, these free presentations can be used by internal or external trainers / or those with occupational competence to deliver this to new care workers.

As important issues such as safeguarding and health and safety will need to be tailored to each unique provider, there are not presentations available for all Care Certificate standards but employers are free to use the existing resources to complement their training and induction.

Employers may choose to deliver the slides in the order they can be downloaded or incorporate the content into appropriate points of their existing training presentations.
Care Certificate

Inducting experienced care workers

The Care Certificate is not intended for experienced care workers who have been working in the sector since before April 2015. Where a CQC regulated provider recruits experienced care workers, they should check what evidence of past learning the new worker can evidence.

- If the care workers have been working in the sector for some years, they should be able to evidence what training they have undertaken. Equally, the new employer could follow up references to the previous organisation to understand what training and development they have received.
- If these care workers commenced their career since the Care Certificate was introduced, they should be able to show evidence that they have completed the certificate.

There should be no need for care workers who have completed the Level 2 or 3 NVQ / QCF Diplomas in Health and Social Care to undertake the Care Certificate. It would duplicate much of what they already know and have demonstrated in the assessment of these formal qualifications.

For experienced care workers, it is possible that some gaps may exist which the new employer should now arrange additional training for their new staff member. If the earlier learning or qualifications was completed some years before, it may be time for additional training.

Unless the new employer is concerned about the quality of training, there really should be no reason why a previously experienced worker would need to complete the full Care Certificate.

Mapping Document
This shows the overlap between the earlier Common Induction Standards and Level 2 / Level 3 Diploma in Health and Social Care to help employers identify any gaps in learning when taking on experienced staff.

Self-Assessment Tool
This tool can help the employer and their new care worker to discuss current knowledge, skills and competences and identify any training needs. Use of this resource alone is not evidence that the new worker has these abilities but it can help the employer to decide what additional training or refresher may be required.
Recruitment agencies

Providers of health or social care have a legal duty to assess the training needs of all staff new to their organisation; this applies to agency, bank or directly recruited health and social care assistants.

Many providers use the services of recruitment agencies to assist with their temporary staffing needs, from short “bank” staff to longer-term placements.

The service provided by recruitment agencies is often essential to maintain staff levels and respond to care needs, particularly during periods of staff sickness and other demands. The majority of recruitment agencies will be effectively run and provide a quality service that meets the needs of those employers who use them. Similarly, many of these recruitment agencies will comply with their sector standards and may be part of a professional body.

Care providers should equally be aware there is poor practice amongst some recruitment agencies. The Recruitment and Employment Confederation (REC) revealed in February 2015 that 193 recruitment agencies have been denied REC membership for failing to meet its compliance standards. As a result, care providers may choose to use recruitment agencies that are part of professional body or can clearly demonstrate how they meet the standards within their sector.

Whilst many recruitment agencies provide a range of highly qualified and experienced health and care workers, some may use people with no previous health or care experience.

Skills for Care is regularly contacted by recruitment agencies wishing to place inexperienced temporary workers into care organisations. It is unclear if these recruitment agencies let their clients know how little experience some temporary worker have.
The importance of using a good recruitment agency

Many of the recruitment agencies supplying care workers are not regulated, unless they directly deliver care themselves. If a recruitment agency was to provide a temporary worker who did not have the necessary skills, it could put the care organisation and the people who use that service at risk.

Providers using recruitment agencies must be assured that they can evidence what induction training, assessment and experience their temporary care workers has received. A good quality recruitment agency will have this evidence available for their clients.

Recruitment agencies can assist this process by providing clear evidence of the background, experience, training and qualifications held by the temporary care workers they are providing. Where this cannot be suitably evidenced, the care provider may wish to use another recruitment agency.

Training alone is not sufficient for those joining the sector so a temporary worker must have had their various competence assessed in the workplace for them to be able to work in another regulated service.

It is the registered manager’s (or delegated supervisor’s) responsibility to ensure that any induction training that cannot be evidenced by a temporary member of staff is provided and competence assessed before they undertake these responsibilities. The same applies to any induction training relating specifically to the new the working environment, as evidence of past learning would not be acceptable.
Training and assessment

Delivering effective training

Whilst **the CQC** expects staff to be trained, supervised and assessed as competent, they **do not prescribe how learning and development is delivered.**

People learn in different ways and care organisations know the importance of finding the most effective and practical ways to induct their staff. Providing training that meets the new worker’s learning style can help them to develop the necessary knowledge, skills and competence needed.

The use of workbooks or e-learning alone will not meet the full scope of the Care Certificate or be an effective training method for workers who may not learn in that way. **Skills for Care recommends that blended learning approaches should be always used as these can benefit an individual learning style.**

**In-house learning and development**

For many, learning may include informal learning provided by more experienced care workers whilst inducting and / or supervising a new colleague. This can be a cost effective and practical arrange means of delivering training within the organisation. **Internal training approaches can include:**

- induction training
- job shadowing
- coaching/mentoring
- cascading learning
- knowledge banks or working in collaboration with other services to share expertise
- books and publications
It is a registered manager's responsibility to ensure that internal trainers receive the necessary learning and development to undertake their role. The following good practice recommendations relate to delivery of internal training:

**Delivering training in a classroom environment**

Examples of what a trainer should know and be able to do

- Understand the subject matter
- Be able to answer questions around the subject
- Have a more in-depth understanding of the subject matter than what they’re delivering. E.g. if delivering learning to Adult Care Workers, the trainer should have the knowledge and skills of a Lead Adult Care Worker
- Have facilitation skills to deliver content in a relevant context and in a way that others will understand and absorb
- Be able to manage group dynamics
- Adapt their delivery to different learning style
- Identify and address underlying gaps in knowledge or skills including English and maths.

**Demonstrating a skill in a one-to-one environment**

Examples of what a trainer should know and be able to do

- Be competent in the skills they are demonstrating
- Be able to answer questions about the skill and related subject matter
- Be able to explain clearly what they are doing and why
- Be able to support the learner to practice their skills
External learning and development

Where a care provider does not have internal training expertise, the use of external learning providers may be needed.

External learning providers may be a very practical way of delivering some parts of the Care Certificate or longer term learning and development. When commissioning the support of external learning providers, care providers should check that the learning provider has:

- an experienced trainer with subject matter experience and expertise
- relevant and useful learning materials
- appropriate resources to carry out the learning and development, e.g. space, equipment

External learning providers should always be able to evidence how recently their own trainers were trained on the subjects they deliver, as well as what formal teaching or training qualification they hold.

Many care organisations regularly work with exceptionally good learning providers, helping them to develop their workforce and provide better care. These training programmes and professionally produced resources can be hugely beneficial in developing the learning and understanding of new care workers.

Unfortunately, the quality of some learning providers is concerning. For those regulated by the CQC, it is the care provider who is responsible for the learning and development of their care workers. Therefore, selecting a poor learning provider could have serious implications on the care provider’s reputation. To minimise this risk, Skills for Care has introduced Endorsed Providers.
Endorsed Providers

Skills for Care promotes a limited number of external learning providers who we believe deliver good quality learning and development.

Our growing list of endorsed providers working across England offer a large number of courses including:

- Induction (including all areas of the Care Certificate)
- Leadership and Management
- Vocational qualifications
- Care support and planning
- Mental Capacity Act
- Personal development and growth

Comprehensive information about what each provider offers and contact details are available from our website.

Regulated providers with internal training expertise who wish to promote their training to others can also consider becoming an endorsed provider. Further information is available here.

E-learning / workbooks / films

Good quality e-learning, workbooks and demonstrative films can be very practical resources that help the delivery of training. However, employers need to consider what can be effectively delivered using these resources and what training and support should be provided in person, providing staff the opportunity to practice new skills.

As with any unaccredited training, the quality of e-learning and workbook content can vary. Registered managers have a responsibility to review the training content and decide if it meets the care needs of the organisation. Skills for Care would always recommend doing this before purchasing any training resources.
Supervision

Supervision and workplace assessment of competence are equally important during the induction of new workers.

Professional supervision can make a major contribution to the way of achieving high-quality care. Effective supervision can also be empowering, motivational and help towards the retention of staff.

For many new care workers, attending a training session is only the beginning of their induction process and they will need more guidance and supervisory support.

This guide provides useful advice if you wish to ensure that effective supervision is provided to all your staff, from their first day on the job through to the time they leave the organisation.

Both existing supervisors and those wishing to develop these skills further will benefit from the guide and as it’s not just intended for ‘supervisors’ everyone involved in the supervision process so those being supervised, can learn what to expect of their supervisors.

The guide is available for £20 or a reduced rate of £15 for our Registered Manager Members. Further information about the guide and how to purchase is available here.
The assessment of a new care worker’s induction programme cannot be undertaken via e-learning or through simply reviewing a completed workbook. Regulated providers have a responsibility to ensure they have occupationally competent staff available to support the induction and longer-term development of their care workers.

Whilst external learning providers can be used to support this process, there involvement would significantly add to the cost of assessment (not least because other experienced care workers have to be present too during assessment until the new worker is signed off as competent). Where possible, Skills for Care would encourage employers to use internal expertise to assess competence.

Assessment can be part of the people management role or part of the responsibility they may have for assurance that staff are competent in their job role. There is no requirement for assessors of the Care Certificate to hold an assessor qualification but the employer must be confident that the person with this responsibility is competent to assess.

### Effective Workplace Assessment Guide

This guide for adult social care organisations including care homes, homecare agencies and community-based organisations can help you to plan and implement effective assessments of your workers including workplace assessment of competence.

Packed with insights from award winning adult social care employers and learning providers, this guide also includes lots of practical tips and looks at the different approaches to assessment and the benefits of these.

The guide is available for £20 or a reduced rate of £15 for our Registered Manager Members. Further information about the guide and how to purchase is available here.
The Code of Conduct sets the standard of conduct expected of all adult social care workers and healthcare support workers in England. The Code of Conduct is voluntary but is seen as a sign of good practice. It replaces the codes of practice previously developed by General Social Care Council (GSCC).

It helps workers provide high quality, safe and compassionate care and support. It outlines the behaviours and attitudes that people who use care and support should rightly expect.

**All adult social care workers should:**

1. Be accountable by making sure you can answer for your actions or omissions.
2. Promote and uphold the privacy, dignity, rights, health and wellbeing of people who use health and care services and their carers at all times.
3. Work in collaboration with your colleagues to ensure the delivery of high quality, safe and compassionate healthcare, care and support.
4. Communicate in an open, and effective way to promote the health, safety and wellbeing of people who use health and care services and their carers.
5. Respect a person’s right to confidentiality.
6. Strive to improve the quality of healthcare, care and support through continuing professional development.
7. Uphold and promote equality, diversity and inclusion.

In addition to the Code of Conduct, Skills for Care has produced some practical guidance for employers, care workers and the wider public.

- Guidance for employers
- Guidance for support workers
- Guidance for the public

Signing up to the Social Care Commitment (see the Improvement, Innovation and Continued Success section of this guide) will help enable social care workers to abide by the Code of Conduct.
How frequently refresher training should be delivered is not something that the CQC provide guidance on. However, the regulator will still expect that providers ensure their staff learning is up to date and reflects current practice.

For many years, Skills for Care has received questions from employers and managers about the training their workforce has to undertake and how often they should refresh training.

The lack of clear and coordinated guidance available has, in some cases, led to situations where workers have not updated their knowledge and skills for numerous years and other circumstances where workers arbitrarily repeat the same training every year.

As neither of these scenarios promotes effective learning and development, we worked with a group of employers to produce a new resource aimed at regulated providers.

**Ongoing Learning and Developing in Adult Social Care Guide** helps employers to comply with mandatory requirements, whilst applying best practice to refreshing learning that is not mandarin but still important.

Providing workers with opportunities to refresh their knowledge and skills enables them to:
- remain up to date with the latest legislation and best practice
- feel valued and invested in and
- deliver quality care to those receiving services

It also supports organisations to:
- demonstrate how they meet the CQC’s Fundamental Standards and
- provide evidence towards the Five Key Questions
The guide is not prescriptive, but aims to provide a starting point for adult social care employers to enable them to make sense of the advice and information available. It is the employer’s responsibility to apply the information in this guide to their specific service setting, the needs of their workforce, and most importantly the needs of people receiving care and support.

Skills for Care will regularly review and update the information within this guide and would therefore encourage employers to refer back to the most current online version, rather than printing a copy.

An important part of the guide is the Learning Area section which covers:
- a minimum recommendation about the frequency of refreshing this topic
- legislation, providing clarity on any associated legal requirements
- associated Care Quality Commission inspection focus
- related standards, guidance and supportive resources
- Job roles, providing clarity on depth of knowledge

What if we are asked to refresh training more frequently?
An increasing number of care organisations find that the contract arrangements they have may clearly specify the expected frequency of refresher training. These contract requirements may exceed our good practice advice above and providers should discuss such issues with the commissioning organisations.

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Induction, learning and development
Qualification and Apprenticeships
Improvement, innovation and continued success

Download all from:
www.skillsforcare.org.uk/CQCguide

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