

Qualification: CIPD Diploma in Applied Human Resources

Module Name:

Contributing to Improving Organisational Performance

Word Count: 2882

Student Name: Carys Francis

Student Number: 1904626

CIPD Membership Number: 55382687

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: C Francis

Date: 13th September 2020

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CIPD Candidate evidence matrix



Candidate name: Carys Francis		CIPD Membership/Registration No.: 55382887				
Qualification title: CIPD Diploma in Applied Human Resources		Unique Learner No. (ULN): 1904626				
Unit code	Unit title	Assessment criteria no.	Evidence description	Evidence reference number	Assessor initials	IV initials if sampled
5A10P	Contributing to Improving Organisational Performance	1.1, 1.2, 1.3	Monitoring of business performance policy and procedure	EV1		
		1.1, 1.2, 1.3	Sickness absence policy and procedure	EV2		
		1.1, 1.2, 1.3	Capability policy and procedure	EV3		
		1.1, 1.2, 1.3	Supervision policy and procedure	EV4		
		1.1, 1.2, 1.3	Standards of conduct, performance and ethics policy	EV5		
		1.1, 1.2, 1.3	Social Care Wales code of professional practice	EV6		
		1.1, 1.2, 1.3	Development appraisal policy and procedure	EV7		
		1.1, 1.2, 1.3	Development action plan template	EV8		
		1.1, 1.2, 1.3	Training policy and procedure	EV9		
		1.1, 1.2, 1.3	Induction and onboarding policy and procedure	EV10		
Candidate declaration:						
- I confirm that the work/evidence presented for assessment is my own unaided work. - I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action. - I agree to this work being subjected to scrutiny by textual analysis software if required. - I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998. - I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records. - I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.						
Signature:		C Francis		Date:	13/09/2020	

Candidate name: Carys Francis			CIPD Membership/registration No.: 55382687			
Qualification title: CIPD Diploma in Applied Human Resources						
Unit code			Unique Learner No. (ULN): 1904626			
	Unit title	Assessment criteria no.	Evidence description	Evidence reference number	Assessor initials	I/V initials if sampled
5A10P	Contributing to Improving Organisational Performance	1.1, 1.2, 1.3	Induction training checklist for new employees	EV11		
		1.1, 1.2, 1.3	Website used for e-learning	EV12		
		1.1, 1.2, 1.3	CDA Care's mission statement	EV13		
		1.1, 1.2, 1.3	Witness Testimony	EV14		
		2.1, 2.2, 2.3	Support Worker and Support Coordinator job descriptions	EV15		
		2.1, 2.2, 2.3	Recruitment checklist	EV16		
		2.1, 2.2, 2.3	Email to management – recruitment guidance	EV17		
		2.1, 2.2, 2.3	Online portal for CDA Care's policies and procedures	EV18		
		2.1, 2.2, 2.3	Guidance notes for line manager conducting a capability hearing	EV19		
		2.1, 2.2, 2.3	Email to management providing sickness absence letter templates	EV20		
Candidate declaration:						
- I confirm that the work/evidence presented for assessment is my own unaided work. - I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action. - I agree to this work being subjected to scrutiny by textual analysis software if required. - I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998. - I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records. - I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.						
Signature:			C Francis	Date:	13/09/2020	

Candidate name: Carys Francis			CIPD Membership/registration No.: 55382687			
Qualification title: CIPD Diploma in Applied Human Resources			Unique Learner No. (ULN): 1904626			
Unit code	Unit title	Assessment criteria no.	Evidence description	Evidence reference number	Assessor initials	IV initials if sampled
5A10P	Contributing to Improving Organisational Performance	2.1, 2.2, 2.3	Email to line manager initiating formal capability procedure	EV21		
		2.1, 2.2, 2.3	Email to management providing letter templates - capability	EV22		
		2.1, 2.2, 2.3	Guidance for managers – areas for discussion at professional development supervision	EV23		
		2.1, 2.2, 2.3	Annual budget meeting agenda	EV24		
		2.1, 2.2, 2.3	SWOT analysis of CDA Care	EV25		
		2.1, 2.2, 2.3	Witness testimony	EV26		
		3.1, 3.2, 3.3	CDA Care's mission statement	EV13		
		3.1, 3.2, 3.3	Spider diagram – ideas for enhancing performance	EV27		
Candidate declaration:						
- I confirm that the work/evidence presented for assessment is my own unaided work. - I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action. - I agree to this work being subjected to scrutiny by textual analysis software if required. - I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998. - I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records. - I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.						
Signature: C Francis			Date:		13/09/2020	

1.1, 1.2, 1.3

Performance Management

Following effective performance management processes is important for a business to succeed and maximise efficiency (Rees, 2016). It also contributes to employee engagement and commitment when employees are able to voice any concerns they may have, and have the support from their manager to look after their personal wellbeing and personal and professional development.

McKinsey (2017) argue that organisations with poor performance often have 'poor metrics', 'poor targets', and 'lack of transparency'. McKinsey (2017) also believe that "what gets measured gets done".

Performance management activities within CDA Care Limited

CDA Care follow a number of policies and procedures to maintain effective performance management processes in line with employment law in the UK and are reviewed on a regular basis. All policies are designed in line with current legislation and 'best practice' standards. However, one downfall could be that CDA currently do not have a reward/recognition strategy. These policies and procedures are identified below along with their purpose:

Monitoring of business performance (EV1)

The overall purpose of this policy and procedure is to enable management to monitor the performance of the organisation by 'performance reporting' using the templates attached to the policy, giving information on how performance reports contribute to business strategy. The templates included are 'Managers weekly report', 'performance review agenda', and 'performance review action planning form'. These management templates have been introduced to enable a consistent process across the business, allowing for a more accurate observation of the organisational performance.

This policy also gives guidance to management on identifying targets, setting standards and developing Key Performance Indicators (KPI's). There are eight different types of KPI's:

- Efficiency
- Effectiveness
- Capacity
- Productivity
- Quality
- Profitability
- Competitiveness
- Value

Sickness Absence (EV2)

CDA Care's sickness policy sets out the procedure for reporting sickness, receiving statutory sick pay, the absence management procedure, returning to work, short and long term sickness, and also the procedure for anyone with symptoms of COVID-19.

Line managers are responsible for monitoring their employee's sickness absence and escalating this to Human Resources if necessary. Any issues relating to sickness absence will be dealt with in line with the Capability policy and procedure.

Capability (EV3)

It is the responsibility of both managers and their employees to work in line with the framework set out in this policy to maintain the standards of performance required, and to promote improvement where there are skills shortages if necessary. Poor performance (e.g. unacceptable levels of sickness absence) will be dealt with in line with this procedure. There are lots of agendas, improvement plan templates any many other materials included with this policy that managers must use to ensure that there is a consistent approach across the different areas of the business

Supervision (EV4)

Regular supervisions between employees and their managers are carried out to ensure staff are clear about what their role and responsibility entails, monitor training and development needs, support staff in relation to their wellbeing, and to monitor and give constructive feedback on their performance. CDA's supervision policy covers three different types: induction supervision; professional development supervision; managerial supervision.

Induction supervision – support workers joining the organisation will be supervised by senior members of staff until they are fully competent in their role. This type of supervision is closely linked with the 'induction and onboarding policy' (see below).

Professional development supervision – training needs of the staff member will be identified along with any safeguarding issues that may need addressing. Other areas of discussion can include the employees performance, personal issues, work responsibilities, professional development – as set out in the 'professional supervision discussion form'.

Managerial supervision – the purpose of these supervisions are to ensure that the employee is following company policy, monitor performance and provide feedback on this, plan new tasks, set standards expected of the employee, and compose a personal development plan for the individual.

Standards of conduct, performance and ethics (EV5)

It is the responsibility of each staff member to be aware of their codes of conduct and to adhere to them. The main purpose of this policy is to set out management's responsibility in supporting their staff to adhere to their professional code of conduct, including the Social Care Wales Code of Professional Practice (EV6).

This policy allows management at CDA to understand how these codes of conduct contribute to high performance working, high quality and safe care, and promotes best practice.

Development appraisal (EV7)

This policy is in place to ensure that each member of staff has an appraisal at least annually, which will enable the employee and their manager to reflect on their performance from the last year and build an action plan for the employee to work towards in the forthcoming year (EV8)

This policy closely links to the 'supervision policy and procedure' and also identifies training and development needs for the employee to fulfil their role and allows them to have the knowledge to work towards the organisations goals/objectives.

Training (EV9)

The training policy and procedure dictates that CDA must review the continuous development of employees against the objectives of the organisation at least annually. This will ensure that staff continue to have the correct knowledge and skills to work towards the organisation goals.

Induction and Onboarding (EV10)

The induction and onboarding policy ensures that all new staff joining the company complete an induction training programme to ensure they are clear on their role and responsibility and the standards that are expected of them whilst employed at CDA. The induction training also covers all mandatory and necessary topics relevant to the role of a support worker – see EV11 for the training checklist prepared by myself, and EV12 – this website is used for e-learning courses.

Best practice strategies in other organisations

In 2019, British Heart Foundation (BHF) and Macmillan Cancer Support won an award for 'best talent management strategy'. They joined together in 2016 to create 'GradUnique' – a formal graduate scheme. They maintained their best practice strategy by allowing the students to gain experience in both organisations in various sectors, including: HR, retail, marketing, and policy (HREX, 2019).

The approach taken by BHF and Macmillan allows the graduates / future employees to gain an insight in different areas of the organisation giving them a much broader understanding of the business as a whole – this is something that could be

considered at CDA, but it would likely be on not such a broad scale due to client confidentiality.

Key sources of information relating to best practice and legislation

As well as following company policy and procedure, employees at CDA also follow guidance from the Gov.uk website, ACAS (including their codes of practice), CIW website, and always take into account law and legislation when making decisions (GDPR, Equality Act, Employment Rights Act, etc.).

References

HREX (2019) *Best Talent Management Strategy* [online article]. Available at: https://www.hrexcellenceawards.com/media/20520/014_hr_0719_talent-management.pdf (Accessed: 30th July 2020)

McKinsey & Company (2017) *Performance management: why keeping score is so important, and so hard* [online article]. Available at: <https://www.mckinsey.com/business-functions/operations/our-insights/performance-management-why-keeping-score-is-so-important-and-so-hard> (Accessed: 28th July 2020)

Rees, G. and French, R. (2016) *Leading, Managing and Developing People*. 5th edn. London: CIPD

Evidence

- Monitoring of business performance policy and procedure
- Sickness absence policy and procedure
- Capability policy and procedure
- Supervision policy and procedure
- Standards of conduct, performance, and ethics policy and procedure
- Social Care Wales Code of Professional Practice
- Development appraisal policy and procedure
- Development appraisal action plan template
- Training policy and procedure
- Induction training checklist
- Social Care TV website
- Induction and onboarding policy and procedure
- CDA Care's mission statement
- Witness testimony



WAC14 - Monitoring of Business Performance Policy and Procedure

Administration - Communications

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
29 Jan '20



Last Amended
29 Jan '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

The purpose of this policy is to ensure that CDA CARE LIMITED complies with legislation, regulation and standards set out in relation to monitoring the performance of the service. The policy focuses on the day-to-day management within the business. The document has been reviewed and the references checked and updated.

Relevant legislation:

- The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017
- The Regulation and Inspection of Social Care (Wales) Act 2016
- Data Protection Act 2018
- The Regulation and Inspection of Social Care (Wales) Act 2016 (Consequential Amendments) Regulations 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: Care Inspectorate Wales (CIW), (2019), *Inspection framework for care home services, secure accommodation services, residential family centre services, and domiciliary support services*. [Online] Available from: <https://careinspectorate.wales/sites/default/files/2019-07/190715-inspection-framework-en.pdf> [Accessed: 29/1/2020]
- Author: CIW, (2016), *Notifications*. [Online] Available from: <https://careinspectorate.wales/180905-notifying-us-of-incidents> [Accessed: 29/1/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Share 'Key Facts' with all staff
- Ensure relevant staff are aware of the content of the whole policy

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.



WPA07 - Sickness Absence Policy and Procedure

COVID 19 Hub - Human Resources COVID-19

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
13 Jul '20



Last Amended
13 Jul '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



These changes require action as soon as possible.

Reason for this review

Change in legislation

Were changes made?

Yes

Summary:

Specific provisions have been inserted to deal with the relevant points, but the position is constantly changing and clients will need to also ensure that they keep up to date with the latest guidance. The remainder of the policy deals with the position for sickness not related to COVID-19.

Relevant legislation:

- Protection from Harassment Act 1997
- Employment Relations Act 1999
- Control of Substances Hazardous to Health Regulations 1998
- Coronavirus Act 2020
- Statutory Sick Pay (General) (Coronavirus Amendment) Regulations 2020
- Social Security Administration Act 1992
- Statutory Sick Pay (Medical Evidence) Regulations 1985
- Employment Rights Act 1996
- Equality Act 2010
- General Data Protection Regulation 2016
- Data Protection Act 2018

Underpinning
knowledge - What have
we used to ensure that
the policy is current:

- Author: NHS Employers, (2017), *Guidelines on prevention and management of sickness absence*. [Online] Available from: <https://www.nhsemployers.org/case-studies-and-resources/2017/04/guidelines-on-prevention-and-management-of-sickness-absence> [Accessed: 13/7/2020]
- Author: ACAS, (2016), *Absence from work*. [Online] Available from: <https://www.acas.org.uk/absence-from-work> [Accessed: 13/7/2020]
- Author: ACAS, (2020), *Coronavirus (COVID-19): advice for employers and employees*. [Online] Available from: <https://www.acas.org.uk/coronavirus> [Accessed: 13/7/2020]
- Author: NHS, (2020), *Coronavirus (COVID-19)*. [Online] Available from: <https://www.nhs.uk/conditions/coronavirus-covid-19/> [Accessed: 13/7/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Establish process to confirm the understanding of relevant staff
- Establish training sessions for staff
- Widely distribute the 'Key Facts' of the policy

EV3



WPP07 - Capability Policy and Procedure Human Resources - Performance & Discipline

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
02 Dec '19



Last Amended
02 Dec '19



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy provides a clear process for the management of capability issues which gives the best opportunity to support staff and resolve any issues whilst protecting the needs of Individuals. The policy has been reviewed, no changes to the content and the references remain current and up to date.

Relevant legislation:

- Equality Act 2010
- Equality Act 2010: Chapter 1 (Protected Characteristics) Chapter 2 (Prohibited Conduct) and Chapter 3 (Services and Public Functions)
- Social Services and Well-being (Wales) Act 2014
- General Data Protection Regulation 2016
- The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017
- Data Protection Act 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: ACAS, (2019), *Performance management*. [Online] Available from: <https://www.acas.org.uk/index.aspx?articleid=6608> [Accessed: 2/12/2019]
- Author: ACAS, (2015), *Code of practice on disciplinary and grievance procedures*. [Online] Available from: https://acas.org.uk/media/1047/Acas-Code-of-Practice-on-Discipline-and-Grievance/pdf/11287_CoP1_Disciplinary_Procedures_v1_Accessible.pdf [Accessed: 2/12/2019]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Share 'Key Facts' with all staff
- Develop training sessions for relevant staff
- Ensure relevant staff are aware of the content of the whole policy

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.

EV4



WPP09 - Supervision Policy and Procedure Human Resources - Performance & Discipline

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
27 May '20



Last Amended
27 May '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy outlines the supervision process for staff that will support them in their continued development. It has been reviewed with no significant changes and references checked and updated.

Relevant legislation:

- Social Services and Well-being (Wales) Act 2014
- General Data Protection Regulation 2016
- The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017
- The Regulation and Inspection of Social Care (Wales) Act 2016
- Data Protection Act 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: SCIE, (2018), *Manager Induction Standards*. [Online] Available from: <https://www.skillsforcare.org.uk/Documents/Standards-legislation/Manager-Induction-Standards/Manager-Induction-Standards.pdf> [Accessed: 27/5/2020]
- Author: Skills for care, (2020), *Effective supervision*. [Online] Available from: <http://www.skillsforcare.org.uk/Documents/Learning-and-development/Effective-supervision/Effective-supervision-in-adult-social-care-Summary.pdf> [Accessed: 27/5/2020]
- Author: Social Care Wales, (2017), *A guide to supervising and appraising well*. [Online] Available from: https://socialcare.wales/cms_assets/file-uploads/A-guide-to-supervising-well-ENG.pdf [Accessed: 27/5/2020]
- Author: SCIE, (2017), *Effective supervision in a variety of settings*. [Online] Available from: <https://www.scie.org.uk/publications/guides/guide50/> [Accessed: 27/5/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Develop training sessions for relevant staff
- Ensure the policy is discussed in planned supervision sessions with relevant staff

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.

EV5



WPR27 - Standards of Conduct, Performance and Ethics Policy and Procedure Human Resources - Absence, Holidays and Sickness

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CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
08 Jan '20



Last Amended
08 Jan '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy sets out to detail how CDA CARE LIMITED will support staff to follow their professional code of conduct. The policy has been reviewed with minor amendments only. References have been checked and remain current. The reference number on this policy has changed as previously it was WPR03.

Relevant legislation:

- Nursing and Midwifery Council (NMC) Legislation
- Nursing and Midwifery Order 2001
- The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017
- The Regulation and Inspection of Social Care (Wales) Act 2016

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: Social Care Wales, (2019), *Code of Practice and guidance*. [Online] Available from: <https://socialcare.wales/fitness-to-practise/codes-of-practice-and-guidance> [Accessed: 8/1/2020]
- Author: HCPC, (2016), *Standards of conduct, performance and ethics (SCPE)*. [Online] Available from: <https://www.hcpc-uk.org/standards/standards-of-conduct-performance-and-ethics/> [Accessed: 8/1/2020]
- Author: General Medical Council, (2014), *Ethical guidance*. [Online] Available from: https://www.gmc-uk.org/publications/standards_guidance_for_doctors.asp [Accessed: 8/1/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Ensure the policy is discussed in planned supervision sessions with relevant staff

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.

Code of Professional Practice for Social Care

The Code

The Code is a list of statements that describe the standards of professional conduct and practice required of those employed in the social care profession in Wales. The Code plays a key part in raising awareness of the standards of conduct and practice that are expected of the profession.

The Code supersedes the Code of Practice for Social Care Workers published in 2002 by the Care Council for Wales. The Code applies from 1 July 2015.

The Code was republished in April 2017, when the Care Council for Wales changed to Social Care Wales. Minor changes were made to incorporate the Social Care Wales name and brand, however no changes were made to the content or standards of the Code. Versions of the Code published since 1 July 2015 may look different but the standards are the same.

Social Care Wales builds on the functions of the Care Council by, in particular, registering more groups of social care workers; agreeing priorities for funding social care training and regulating that training; setting priorities for research; working to improve specific care services and providing an information hub.

The Code and the Register of Social Care Workers

Social Care Wales maintains the Register of Social Care Workers (the Register). The Register is a public record that those registered have met the requirements for entry onto the Register and have agreed to abide by the standards set out in the Code. The Welsh Government determines which groups of workers need to be registered with us. The current groups can be found at www.socialcare.wales

We will take account of the Code in considering issues of fitness to practise and decisions as to whether a registered worker should remain on the Register, or whether an applicant should be registered.

The Code and practice guidance

The Code is the primary document setting out the standards for conduct and practice. It also forms part of the wider package of legislation, practice standards and employers' policies and procedures that social care workers must meet.

We may also publish additional practice guidance. Practice guidance is intended as a practical tool, aiding social care workers in their practice and contributing to good outcomes for individuals. The Practice Guidance may also be used to illustrate a potential failure to uphold the standards in the Code. Registrants should ensure they are familiar with the practice guidance relevant to their role.

The seven sections of the Code

As a social care worker, you must:

1. Respect the views and wishes, and promote the rights and interests, of individuals and carers.
2. Strive to establish and maintain the trust and confidence of individuals and carers.
3. Promote the well-being, voice and control of individuals and carers while supporting them to stay safe.
4. Respect the rights of individuals while seeking to ensure that their behaviour does not harm themselves or other people.
5. Act with integrity and uphold public trust and confidence in the social care profession.
6. Be accountable for the quality of your work and take responsibility for maintaining and developing knowledge and skills.
7. In addition to sections 1 – 6, if you are responsible for managing or leading staff, you must embed the Code in their work.



WPR01 - Development Appraisal Policy and Procedure

Human Resources - Recruitment, Induction and Training

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA

Review Sheet		
Last Reviewed 18 Oct '19	Last Amended 22 Aug '19	Next Planned Review in 12 months, or sooner as required.
Business impact	MEDIUM IMPACT Changes are important, but urgent implementation is not required, incorporate into your existing workflow.	
Reason for this review	Scheduled review	
Were changes made?	Yes	
Summary:	This policy has been reviewed to ensure compliance with Regulation 36 of The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017. No significant changes have been made, the references have been reviewed and updated.	
Relevant legislation:	• The Regulation and Inspection of Social Care (Wales) Act 2016 • The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017 • Employment Rights Act 1996 • Equality Act 2010 • Food Safety Act 1990 • Health and Safety at Work etc. Act 1974 • Human Rights Act 1998 • Management of Health and Safety at Work Regulations 1999 • The Manual Handling Operations Regulations 1992 • Medicines Act 1968 • Mental Capacity Act 2005 • Mental Capacity Act Code of Practice • Social Services and Well-being (Wales) Act 2014 • General Data Protection Regulation 2016 • Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)	
Underpinning knowledge - What have we used to ensure that the policy is current:	• Author: Care Council for Wales, (2012), <i>Supervising and Appraising Well - A Guide to Effective Supervision and Appraisal for those working in Social Care</i>. [Online] Available from: https://socialcare.wales/cms_assets/file-uploads/Supervising-and-appraising-well-social-care.pdf [Accessed: 22/8/2019] • Author: NHS Employers, (2011), <i>Supporting Appraisals: A Simpler KSF</i>. [Online] Available from: http://www.nhsemployers.org/~media/Employers/Publications/Supporting%20appraisals%20a%20simpler%20ksf.pdf [Accessed: 22/8/2019] • Author: NICE, (2018), <i>Decision-making and mental capacity - Guidelines NG108</i>. [Online] Available from: https://www.nice.org.uk/guidance/ng108 [Accessed: 22/8/2019]	
Suggested actions:	• Encourage sharing the policy through the use of the QCS App	

EV8



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Agree a plan for the forthcoming year (whenever possible). A timescale of action and results to be achieved should be agreed where appropriate.

Name:

Key Areas Discussed	Action Plan to be Followed - State by Whom	Target Date



WPR25 - Training Policy and Procedure
Human Resources - Recruitment, Induction and Training

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA



Review Sheet



Last Reviewed
19 Feb '20



Last Amended
19 Feb '20



Next Planned Review in 12 months, or
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

This policy outlines how a service can support the training needs of its staff and there are a selection of forms available within this policy that can support with this process. It has been reviewed with some content changes, including a policy section being removed to avoid duplication across the other policy points. References have also been updated to ensure they remain current and an additional resource added that staff should familiarise themselves with.

Relevant legislation:

- The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017
- The Regulation and Inspection of Social Care (Wales) Act 2016

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: Social Care Wales, (2017), *Qualifications and funding*. [Online] Available from: <https://socialcare.wales/qualifications-funding> [Accessed: 19/2/2020]
- Author: Social Care Wales, (2018), *Continuous Professional Development (CPD)*. [Online] Available from: <https://socialcare.wales/learning-and-development/continuing-professional-development-cpd> [Accessed: 19/2/2020]
- Author: The Welsh Government, (2019), *Induction for health and social care*. [Online] Available from: <https://socialcare.wales/learning-and-development/induction-for-health-and-social-care> [Accessed: 19/2/2020]
- Author: NHS Wales, (2020), *All Wales Induction Framework for Health and Social Care*. [Online] Available from: <https://learning.wales.nhs.uk/course/index.php?categoryid=384> [Accessed: 19/2/2020]

Suggested action:

- Encourage sharing the policy through the use of the QCS App
- Share 'Key Facts' with all staff
- Ensure relevant staff are aware of the content of the whole policy

Equality Impact Assessment:

QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.

—



Introduction to CDA Care

Have you received your employee handbook?
Why is this important to your job role?

Do you understand the Codes of Practice?

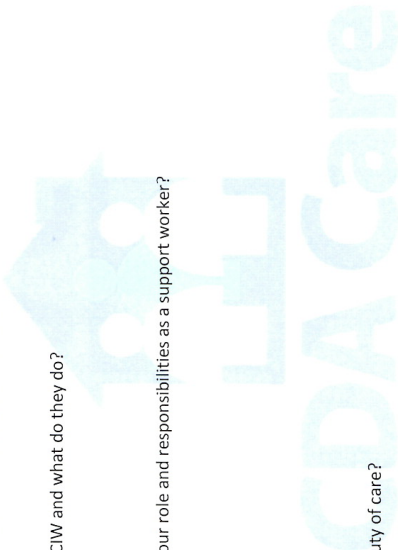
Who are CIW and what do they do?

What is your role and responsibilities as a support worker?

What is duty of care?

Confidentiality, what does it mean?

What are your reporting lines?



Induction Workbook

Name:
Email:
Team:
Start Date:



Easy 24/7 access to quality e-learning

- Easy to use
- Standards compliant
- Monitor progress with ease
- Affordable pricing options

Health and Social Care Training Courses



Care Certificate Induction
From £23.80



Activities & Exercise
From £1.49



Ageing
From £1.49



Alcohol Misuse
From £1.49



Anxiety
From £1.49



Arthritis
From £1.49



WPR24 - Induction and Onboarding Policy and Procedure

Human Resources - Recruitment, Induction and Training

CDA CARE LIMITED
CDA Care Ltd, Poplar House, Tawe Business Village, Phoenix Way, Swansea, Swansea, SA7 9LA

Review Sheet		
Last Reviewed 19 Mar '20	Last Amended 19 Mar '20	Next Planned Review in 12 months, or sooner as required.
Business impact	Changes are important, but urgent implementation is not required, incorporate into your existing workflow. MEDIUM IMPACT	
Reason for this review	Scheduled review	
Were changes made?	Yes	
Summary:	This policy will guide a service through induction and onboarding processes and has a suite of forms to support with this being carried out for all new employees. It has been reviewed and updates have been made across the content, with references also being checked to ensure that they remain current. Information has also been included in relation to the requirement for domiciliary care workers to register with Social Care Wales. A new suite of template letters has also been added to the 'Forms' section in relation to the probationary review process that staff should <u>familiarise</u> themselves with. The Staff Recruitment Checklist has also been updated.	
Relevant legislation:	- Equality Act 2010 - Equality Act 2010: Chapter 1 (Protected Characteristics) Chapter 2 (Prohibited Conduct) and Chapter 3 (Services and Public Functions) - Health and Safety at Work etc. Act 1974 - Management of Health and Safety at Work Regulations 1999 - Safeguarding Vulnerable Groups Act 2006 - The Regulated Services (Service Providers and Responsible Individuals) (Wales) Regulations 2017 - The Regulation and Inspection of Social Care (Wales) Act 2016 - The Regulation and Inspection of Social Care (Wales) Act 2016 (Consequential Amendments) Regulations 2018	
Underpinning knowledge - What have we used to ensure that the policy is current:	- Author: Social Care Wales, (2018), <i>Registration</i>. [Online] Available from: https://socialcare.wales/registration [Accessed: 19/3/2020] - Author: RCN, (2016), <i>First steps for health care assistants</i>. [Online] Available from: https://rcni.com/hosted-content/rcn/first-steps/first-steps-health-care-assistants [Accessed: 19/3/2020] - Author: The Welsh Government, (2019), <i>Induction for health and social care - All Wales Induction Framework</i>. [Online] Available from: https://socialcare.wales/learning-and-development/induction-for-health-and-social-care [Accessed: 19/3/2020] - Author: The Welsh Government, (2019), <i>Statutory Guidance</i>. [Online] Available from: https://gov.wales/sites/default/files/publications/2019-04/guidance-for-providers-and-responsible-individuals.pdf [Accessed: 19/3/2020]	



"Sustaining Independence"

Mission Statement

CDA Care embrace our responsibilities through the provision of quality, progressive and modern outcome focused support.

Our core values of **Integrity, Accountability and Passion** underpin our objective to provide exceptional customer experiences through the delivery of superior customer service.

CDA Care exists to provide support for adults services. It is our mission to be recognised and most admired for its people, performance and to create value by making a difference.

EV14 - WITNESS TESTIMONY



'Sustaining Independence'

To Whom it may concern,

30th July 2020

Re: Carys Francis (HR Manager at CDA Care)

I am a new employee to the organisation and my role is recruitment officer. Carys is training me and a large part of my role includes interviewing new staff. Carys has given me advice and support and compiled an employee check list to use after the interview of successful candidates. The check list has useful prompts to ensure that I review all the paperwork needed to recruit new personnel.

Carys has raised my awareness to all the policies and procedures and has showed me how to view them on the quality compliance system. I have been advised to review them on a regular basis due to changes that occur. Carys has informed me of my roles and responsibilities and regularly reviews my work. Carys is a supportive mentor and always takes the time to explain things to me in detail to ensure that I have understood. Carys delegates work to me which has helped me to feel confident about my role and has improved my skills and knowledge.

Yours Sincerely

Recruitment Officer

CDA Care Limited

☎ 01792 952483

✉ info@cdacare.co.uk

🌐 www.cdacare.co.uk

CDA Care Ltd., Poplar House, Tawe Business Village, Phoenix Way, Enterprise Park, Swansea, SA7 9LA

Registered in Wales - Company Registration: 11379985

2.1, 2.2, 2.3

Supporting Line Managers in Performance Management

CDA Care, being a small-medium size organisation has only two employees working in the recruitment and HR department – myself as HR Manager, and another colleague working as a Recruitment Officer. Therefore I am the first point of contact for line managers in the HR sector of the business.

CDA Care provide lots of promotion opportunities to internal staff and support the employees to gradually build their knowledge in their new role, rather than recruiting externally for senior level job roles. Although there are many positives to this approach such as high morale and employee commitment, it also means that line managers require a lot of guidance and support from HR in all aspects of performance management.

General advice, information and administrative support

The HR department will prepare meeting agenda's and any other paper work relating to all performance management activities. This includes:

- Supervision meeting templates
- Letter templates
- Capability / disciplinary hearing agendas
- Job descriptions / job specification

Induction and Onboarding process

It's important that the induction process at CDA Care is correct and thorough to ensure all new employees are aware of their roles and responsibilities from the start of employment. The job descriptions for support workers and support coordinators have been produced by myself, and the directors of CDA (EV15)

I have previously created a 'recruitment checklist' for the recruitment officer and line managers to follow at CDA Care when recruiting new members of staff. This checklist ensures that all mandatory tasks (DBS check, references, etc.) are completed before a new member of staff joins the company (EV16)

(see EV17 – recruitment guidance to management, email)

Development of systems

The HR department have recently introduced a new 'Quality Compliance System' which provides policies, procedures, flowcharts, meeting templates, risk assessment templates, and other materials to support line managers in their roles. Due to COVID-19 HR have been unable to deliver training to the line managers as a team, therefore guidance will be given on an individual basis when needed (EV18)

Record keeping and documentation

All personnel records relating to employees of CDA Care are held securely within the Human Resources department. Documents such as supervisions, appraisals, and return to work interview forms are held on a system we use called 'people planner' which enables the documents to be accessed by both the line manager of the employee and the HR department.

The HR department will regularly review the documents being uploaded to people planner by line managers, ensuring that policies and procedures are being implemented correctly. Another reason for this is to also identify whether or not line managers need additional training in completing these documents.

Outcomes and decision-making

Line managers at CDA Care require a lot of support from HR when it comes to decision-making, in particular instances where employment law comes into play such as formal capability proceedings. Example of direct involvement of Human Resources in decision-making:

Sickness absence and capability procedure

Although it is the responsibility of line managers to monitor their employee's absence levels, as Human resources Manager it is my responsibility to ensure that any issues escalated to Human Resources are dealt with efficiently, in line with CDA care's policies and procedures and current employment law (e.g. discrimination law). CDA Care have recently introduced new policies and procedures which are a lot more in-depth than previous policies, however, line managers still require a lot of support from HR when it comes to dealing with capability issues formally.

When a manager identifies a sickness issue, this will be reported through to HR along with any necessary documents such as 'return to work' interview forms, notes from previous meetings with the employee, and so on. Once the information is reviewed by HR, HR then advises the manager who will both come to an agreement on the best course of action – taking into account policy, procedure, and legislation. HR will draft all correspondence in letter format, and prepare agenda's for formal meetings. Depending on the situation and the staff members involved, either HR or the line manager will chair the meeting and the other will take minutes.

HR will then liaise with the line manager and make a decision on the best outcome for that individual situation, but also ensure that the decision is consistent with previous outcomes.

EV19 – guidance notes written by myself for a line manager conducting a capability hearing due to a sickness absence issue

EV20 – an email to the leadership team at CDA Care providing letter templates for sickness absence

EV21 – an email to line manager initiating the formal capability procedure in relation to a sickness absence issue

EV22 – an email to management with letter templates attached (capability)

Working with line managers – performance and development reviews

Under CDA Care's supervision policy and procedure – a 'professional development supervision' is carried out between line managers and their employees every twelve weeks, or more often if required. During this supervision the employees performance and development will be reviewed. Under the new Social Care Wales professional registration for care workers it is mandatory for all care staff to be working towards a QCF in Health and Social Care. It is my role to 'endorse' these registration applications through the Social Care Wales website, confirming that the applicant has or is working towards their QCF qualification. (See EV23 for guidance on areas for discussion for line managers).

The leadership team at CDA Care have recently held an annual budget meeting (see EV24 – the meeting agenda) and during this meeting we discussed the performance and professional development of employees at CDA Care. Present at the meeting were two company directors, training manager, registered managers of each division, recruitment officer, and myself. A SWOT analysis of the company was carried out (EV25). We identified the need for additional training, particularly in the senior team at CDA Care who are new to working in a senior position. Myself and the training manager at CDA Care will be working together to produce a new leadership-training programme, which will include all areas of performance management and the process for handling grievances and disciplinary matters.

Evidence

- Support worker and support coordinator job description
- Recruitment checklist
- Screenshot of QCS system
- Recruitment guidance to management and recruitment officer (email)
- Guidance notes for capability hearing
- Email providing sickness absence letter templates to managers
- Email initiating formal capability procedure
- Email to management with letter templates attached
- Professional supervision discussion form
- Budget meeting agenda
- SWOT analysis of CDA Care
- Witness testimony

Job Description

Job Title – Support Worker

Responsible to – Team Leader

Job Purpose

The job role is centred upon providing the service users with person-centred care and support, in a respectful and empathetic manner, which enables individuals to take control over their lives, reach their full potential and live as independently as possible.

Duties and Key Responsibilities

1. To work within the policies of CDA Care, to provide and maintain a quality of care and supportive environment to establish warm, caring and stimulating relationships. These relationships must, at all times, acknowledge and respect the individual rights and dignity of service users.
 2. To observe the confidentiality of information pertaining to service users, policies and staff at CDA Care.
 3. To be aware of the responsibility of employees under the Health and Safety at Work Act 1974.
 4. To participate in all induction, training, safety procedures, meetings, staff development sessions and supervisions.
 5. Support Service users with all of personal, physical and basic self-help needs/skills including food preparation and domestic duties.
 6. Support service users in recognising hazards in their own home – informal risk assessments at service user's homes, monitor and report any concerns.
 7. Support service users in financial transactions (private service users only, or where instructed).
 8. Escort service users on medical, dental or other visits (private service users only, or where instructed).
 9. Report to senior staff any matter affecting the well-being of service users.
 10. Support service users with their medication as per CDA Care's policy and the Local Authority policy after receiving appropriate training.
 11. Respond to any challenging behaviours in a safe and appropriate manner and report any concerns.
 12. Promote independence whilst delivering person centred care to ensure outcomes are achieved.
 13. Help service users to be aware of their rights and implement them.
 14. Assist in the development of effective working relationships with other professionals, agencies, relatives, carers and friends and conduct yourself in a manner conducive to promoting a professional image of CDA Care.
 15. To report punctually at the start of each shift and acquaint yourself immediately with relevant events and information pertaining to service users, staff, premises and equipment since your last shift.
-

EV15

16. To ensure all records are completed and maintained and ensure staff coming on duty receive relevant information.
17. To have a responsible attitude towards good team work and work flexibly and responsively to develop and maintain trust and confidence.
18. To share the responsibility for security of service users, property and belongings and act responsibly at all times.
19. Report and record any accidents and incidents to senior staff immediately.
20. Adhere to all records and procedures specified by the CIW, Company Policies, Code of Professional Practice for Social Care, National Occupational Standards and Local Authorities
21. Comply with Electronic Call Monitoring at all times.
22. To cooperate with the registered manager, team leader and any senior staff with any reasonable task to ensure the effective running of CDA Care.

You are required to notify CDA Care immediately if you commit or are charged with a criminal offence, including motoring offences, during your employment.

This job description should not be regarded as an exhaustive list, but rather as an indication of the main duties and responsibilities associated with the post. It will be reviewed periodically to reflect changes and developments in service requirements. Any resultant changes will be discussed fully with the relevant staff.

Staff name Signed..... Date.....

Job Description

Job Title – Support Coordinator

Responsible to – Team Leader

Job Purpose

To maintain, on a daily basis, all rota's for the support staff; to include maintenance on a daily basis in accordance with laid down procedures, ensuring that all contractual requirements are fulfilled and all shifts are staffed to an appropriate level.

Duties and Key Responsibilities

1. Liaise with the Team Leader to ensure that there is sufficient cover to deliver all visits and that new service users are planned into the rota in a timely fashion.
2. Ensure that Support Workers with the correct skills and experience are matched to deliver excellent care to our service users.
3. Ensure working patterns are efficient and planned logically.
4. Effectively prioritise tasks to meet unexpected emergencies and changes in care packages.
5. Use IT systems to allocate visits with Support Worker availability, entering sickness absences, annual leave and call times.
6. Appropriately match support workers to service user, taking into account support worker skills, experience, travel arrangements and service user requirements and preferences.
7. Complete and distribute rotas on a weekly basis.
8. Liaise with the Team Leader to ensure that sufficient staff with the correct skill sets are available to meet the needs of the business.
9. Work with the team to maintain up to date electronic and hand written records.
10. Record and monitor mileage and travel distances.
11. Enter sickness, absence, training and meeting details in relevant database.
12. Collate relevant information for Payroll.
13. Cover other Support Coordinators in times of absence during annual leave and sickness.
14. Cover care calls in the community as required.
15. Complete weekly/monthly returns where required.
16. To undertake on call duties and monitoring of electronic call monitoring systems (also during office hours).
17. To comply with electronic call monitoring at all times.
18. Adhere to all records and procedures specified by the CIW, Company Policies, Code of Professional Practice for Social Care, National Occupational Standards and Local Authorities.

You are required to notify CDA Care immediately if you commit or are charged with a criminal offence, including motoring offences, during your employment.

This job description should not be regarded as an exhaustive list, but rather as an indication of the main duties and responsibilities associated with the post. It will be reviewed periodically to reflect changes and developments in service requirements. Any resultant changes will be discussed fully with the relevant staff.

Staff name Signed..... Date.....

EV16



Employee Check List

Name: _____ Team: _____

Date of interview: _____

Contracted Hours: _____

After interview		
Conditional offer letter:		Sent:
Reference 1 (previous employer)	Sent:	Received:
Reference 2	Sent:	Received:
DBS	Submitted:	Received:
Risk assessment (if needed):		Complete:
Preparation to work		
Proof of identity including recent photograph:		
Reason for leaving any previous employment working with vulnerable adults/children:		
Evidence of relevant qualifications:		
Documentary of registration with Social Care Wales:		
Full employment history including month and year (written explanation of any gaps):		
Evidence of satisfactory linguistic ability – signed interview form/notes:		
Details of registration with or membership of any professional body:		
Induction		Training Date:
Signed contract:		
ID Badge:		
New starter pack, handbook, code of practice, job description:		
Mobile phone policy:		
Final offer letter:		
Add onto people planner:		
Add onto QCS:		
Add mobile phone number to spreadsheet:		
Send payroll info to finance (bank details form & P45 or P46 form):		
Complete people planner, scan on system & move to current:		

Equipment:	Ready ☒
Uniform: M / F Size:	☐
Gloves: BLUE S / M / L / XL	☐
Aprons:	☐
Mask:	☐
Hand Sanitiser:	☐
Mobile Phone:	☐

Notes:

Form 17/08/2020

CDA CARE LIMITED

[Policy Centre](#)
Dashboard
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[My Reading List](#)
[Custom Policies](#)
[Resource Centre](#)
[Monthly Policy Update](#)

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Policy Centre > My Policies

COVID 19 Hub
 Administration
 Care Management
 Care Planning
 Health and Safety
 Residential Services
 Human Resources
 Quality Assurance
 Medications Management
 GDPR

Absence, Holidays and Sickness

Contract of Employment

Equality and Human Rights

Job Descriptions

Miscellaneous

Performance & Discipline

EV18



Tue 07/07/2020 13:13

Carys Francis

Recruitment guidance

To



Egress Switch: Unprotected

Guidance notes

- All items on the 'recruitment checklist' must be completed before a candidate can be added on to people planner and go out to work

References

- We need a minimum of two references (one must be current/most recent employer).
- All care references from the last 5 years must be obtained
- References must confirm dates of employment
- Employer references must come from a company email not personal email address (exceptions are made in circumstances where it's a small company, privately owned, with no company email address)

DBS checks

- Always enhanced
- Non volunteer

Once they are ready to go

- Ask applicant to sign a copy of their contract (scan this into file)
- Ask applicant to complete starter pack (scan this into file)
- Give phone to team to set up ready for when applicant comes in to collect uniform etc
- Prepare ID Badge
- Ensure work mobile phone number is put onto mobile phone spreadsheet
- Put the new employee onto people planner once everything is complete

Capability Hearing

1. Introductions (who is at the hearing and their role)
[REDACTED] Team Leader, Chairing the hearing
Carys Francis – HR Manager
[REDACTED] support worker
[REDACTED] support worker, moral support for [REDACTED]
2. Can you confirm you been given the right to be accompanied. ([REDACTED] accompanying)
3. Confirm If [REDACTED] has received copies of documents listed in invite letter
Return to work dated 15.03.2020
Supervision record 15.03.2020
Disciplinary procedure
Absence policy
4. Explain reason for today's hearing – Capability hearing, reached second trigger point in absence policy. No absences due to sickness since the 5th occasion so far. Absences below:

Absences

- 1st Occasion – 25/09/2019 [REDACTED]
2nd Occasion – 27/09/2019 – 01/10/2019 [REDACTED]
3rd Occasion – 04/12/2019 [REDACTED]
4th Occasion – 07/12/2019 – 17/12/2019 [REDACTED]
5th Occasion – 14/03/2020 – 16/03/2020 [REDACTED]

5. Possible sanctions – verbal warning (6 months on file), written warning (12 months on file), final written warning (12 months on file).
6. Cover all points below:
 - Comparison of your attendance to the required standard – **reached 2nd trigger point. No absences due to sickness since the 5th occasion so far.**
 - Operational issues – **covering calls. Having an effect on colleagues.**
 - The reasons for your level of absence
 - Consideration of job adjustments to rectify the issue. Is there anything we can do to help you improve your attendance?
7. ADJOURN HEARING
8. Give outcome of hearing
 - Ongoing review – the way forward. – If [REDACTED] **reaches the third trigger point (7 occasions in 12 months) then the outcome could be a final written warning or dismissal.**

EV19

- [REDACTED] attendance needs to improve immediately.
- Anything else identified?

END HEARING

EV20

Carys Francis

From: Carys Francis
Sent: 02 April 2020 09:33
To: Kelly Holloway; Michelle Horsecroft; Grant Griffiths
Subject: FW: Sickness absence

Categories: Egress Switch: Unprotected

From: Carys Francis
Sent: 10 March 2020 13:56
To: Michelle Horsecroft <Michelle.Horsecroft@cdacare.co.uk>; Theresa Skinner <Theresa.Skinner@cdacare.co.uk>; Lisa James <Lisa.james@cdacare.co.uk>; Gemma Morgan <Gemma.morgan@cdacare.co.uk>; Zara Eady <Zara.Eady@cdacare.co.uk>; Kelly Holloway <Kelly.Holloway@cdacare.co.uk>; Sonali Perera <Sonali.Perera@cdacare.co.uk>; Claire Cummins <Claire.cummins@cdacare.co.uk>; Hollie Williams <Hollie.Williams@cdacare.co.uk>; Richard Francis <Richard.Francis@cdacare.co.uk>
Cc: Grant Griffiths <Grant.Griffiths@cdacare.co.uk>; Dave Howells <Dave.Howells@cdacare.co.uk>; Mike Esfahani <Mike.Esfahani@cdacare.co.uk>
Subject: Sickness absence

Good Afternoon all,

I am going to be inviting some of you to a meeting to discuss the absence & sickness management procedure and our process for keeping in touch with staff who are off on long term sick.

I believe we are lacking in this at the moment and it's having a knock-on effect on lots of different things, people are getting fed up of picking up extra calls, it's an extra cost to the business, its causes extra work for you to cover calls, etc.

I know we tell staff at interview that they may need to pick up extra calls to cover sickness but it shouldn't be happening as much as it is and we need to start taking control of it.

I have letters drafted which managers/team leaders can use to invite staff in to formal meetings when they have reached a trigger point. From these meetings we will be able to issue verbal, written, and final warnings and even dismissal where necessary. It may seem like more work in the interim but it will make your work easier in the long run.

I will work with you, feel free to let me know if you have any queries.

Kind regards

Carys Francis
Human Resource Manager



Poplar House, Tawe Business Village, Phoenix Way, Enterprise Park, Swansea SA7 9LA

EV21

Carys Francis

From: Carys Francis
Sent: 24 March 2020 15:27
To: [REDACTED]
Subject: RE: [REDACTED]
Attachments: Unacceptable Attendance DH invite.doc; Disciplinary Procedure.docx; Absence Policy.docx
Categories: Egress Switch: Unprotected

Hi [REDACTED]

I have drafted the letter to be sent to [REDACTED] – see attached.

[REDACTED] has reached the second trigger point which is 5 occasions in 6 months:

- 1st Occasion – 25/09/2019 [REDACTED] chest pains
- 2nd Occasion – 27/09/2019 – 01/10/2019 [REDACTED] chest infection
- 3rd Occasion – 04/12/2019 [REDACTED] Bad Throat
- 4th Occasion – 07/12/2019 – 17/12/2019 [REDACTED] What was the reason on her sick paper?
- 5th Occasion – 14/03/2020 – 16/03/2020 [REDACTED] [REDACTED] (arranged to work on 16th March then refused)

Can you just input the date and time you want to do the hearing into the letter then print it off, sign it, scan to me, and send a copy to [REDACTED] in the post.

These documents need to be sent with the letter –

- Return to work dated 15/03/2020
- Supervision dated 15/03/2020
- Disciplinary procedure (attached)
- Absence policy (attached)

I'm at home this week so if you want to do it next week I will come in with you. Either way though I will go through everything with you first so you know what you'll need to say in the hearing.

Let me know if you have any queries.

Kind regards

Carys Francis
Human Resource Manager



Poplar House, Tawe Business Village, Phoenix Way, Enterprise Park, Swansea SA7 9LA

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Mobile: 07747213759
Email: carys.francis@cdacare.co.uk
Web: www.cdacare.co.uk

EV22

Carys Francis

From: Carys Francis
Sent: 12 February 2020 11:13
To: Kelly Holloway
Subject: Absence management
Attachments: (Capability2 01) Unacceptable Attendance Guidance.doc; (Capability2 03) Unacceptable Attendance D.H..doc; (Capability2 04) V.W. for Unacceptable Attendance.doc; (Capability2 05) WW for Unacceptable Attendance.doc; (Capability2 06) FWW for Unacceptable Attendance.doc; (Capability2 07) Dismissal Unacceptable Attendance.doc

Categories: Egress Switch: Unprotected

Hi Kelly,

See attached:

- Capability 01 – guidance
- Capability 03 – For inviting an employee to a disciplinary hearing
- Capability 04 – Outcome of hearing, verbal warning
- Capability 05 – outcome of hearing, written warning
- Capability 06 – outcome of hearing, final written warning
- Capability 07 – outcome of hearing, dismissal

As discussed I'll go through the process with the team first and will work with them to hopefully get them to the point where they are comfortable in carrying out the procedures, but I'll always be involved anyway so they won't be doing it on their own.

Kind regards

Carys Francis
Human Resource Manager



Poplar House, Tawe Business Village, Phoenix Way, Enterprise Park, Swansea SA7 9LA

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Examples of Areas for Discussion:

Professional Development New Ideas Updates of knowledge Courses Mandatory training On the job learning opportunities shadowing etc. Specialist areas – link roles CPD/ Revalidation etc.	Professional Issues Roles and responsibilities Appraisal and PDP objectives Core Skills and practice Knowledge and understanding Teamwork issues Capacity and capability Professional relationships/partnership working	Time Management Time constraints Timekeeping Prioritising workload Balancing priorities Problem-solving Decision making Accessing resources
Personal Issues that could Influence Work Performance Work/Life balance Codes of conduct and boundaries Stress, health and well-being issues	Resource/Budget Management Staffing – vacancies, recruitment Budget/resource management Accessing equipment	
Work Needs and Responsibilities Goals, objectives and mission Team objectives Record keeping, IT, Personal Plans etc. Colleague support – mentoring etc. Admin Audits and quality assurance P&P adherence Meeting attendance	Clinical/Practice Issues Amendments or changes to care Risk assessments & positive risk management Personal Planning Service user feedback Colleague feedback Evidence-based practice Safeguarding, mental capacity and consent considerations Family/advocate input Clinical decision making Reflective practice and learning	
Regulation, Legislation, Monitoring CIW Inspection Framework and preparing for inspection New laws and ways of working NHS and contracts monitoring New policies and procedures Complaints, compliments, suggestions	Core Care Skills Tissue viability Nutrition and hydration Medication management Falls Medical conditions End of life care Dementia care Continence management	



Thu 03/09/2020 09:21

Agenda

To [REDACTED]

Cc [REDACTED], Carys Francis; [REDACTED], [REDACTED]

Follow up. Completed on 07 September 2020.

Morning All

I readiness for next week's FY 20/21 Budget meeting, I have detailed below an agenda to assist you in presenting your individual business areas performance. I would anticipate each presentation will take no longer than 15 minutes.

Can all Rm's have their presentations available in a format that we can utilise on the screen in the training room (send to [REDACTED]/Carys Thursday 10th so we can set up before hand).

AGENDA

1. **Budget Forecast FY 20/21** – *These are the core hours you will deliver November '20 – October '21 (excel).*
2. **Stretch Forecast FY 20/21** - *These are the additional hours you will deliver over and above core budget, if you were to outperform expectation November '20 – October '21 (excel).*
3. **Recruitment / Staffing Requirements** - *These are the staff numbers required to deliver both Core and Stretch hours respectively. Further detail number of new recruits required over and above what preexists.*
4. **S.W.O.T. Analysis**
5. **Outline Additional Opportunities To Diversify Aside From Standard Core Business**
6. **Team Training Requirements FY 20/21**

I trust this assists.

Kind Regards

[REDACTED]

Director

S.W.O.T. Analysis

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
• Great Culture • Committed senior team • Good quality of service with minimal complaints & safeguarding's • Good Recruitment • Good Retention • Fully Compliant (Supervisions, reviews) • Rota's well organised and prepared	• Lack of experience within senior team • Out of hours • Remote working / Laptops / IT Equipment • 1 vacant senior post • Quick hires • Paper use • Communication and recording • ECM	• Development opportunities within the team • Additional business within the area • COVID earning opportunities • Increase productivity within the team	• Competitors • Lack of packages of care in Swansea • Past and future COVID restrictions • Sickness / Absences • Changes within the senior team

EV26 - WITNESS TESTIMONY



'Sustaining Independence'

To whom it may concern,

1st August 2020

Dear Sir/Madam,

Carys advises me on a daily basis in relation to performance management. I had an issue where a member of staff was underperforming in their role. The staff member was a support worker and the role included providing care and support for service users living in the community. I needed support and intervention from the Human Resource Department and received guidance from Carys, HR manager.

Carys advised that we follow the workforce policy and implement the informal stage of capability to ensure a consistent approach and support the staff member with the expectation of improvement.

I was advised to devise a management plan to establish performance issues. A meeting with the staff member helped identify training needs and also gave an opportunity to set out clear objectives and expectations. The management plan documented how to support the staff member with mentoring and supervision and learning opportunities. A timeframe was set in order to monitor and review progress and if no improvement was noted I was advised to escalate this to a formal stage of capability.

Carys supported me with regular phone calls, feedback and attendance at meetings. I was able to discuss any concerns and identify solutions to overcome any barriers throughout the process. I was advised to ensure appropriate documentation and perform regular reviews to ensure progress.

Yours Sincerely,

Registered Manager

CDA Care Limited

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3.1, 3.2, 3.3

CDA Care's approach to Performance Management

Management at CDA focus on creating a positive working environment for all employees. CDA Care's mission statement (EV13) states "it is our mission to be recognised and most admired for its people, performance and to create value by making a difference". To achieve this, CDA ensure that the processes that are implemented are ones that promote commitment, engagement and provide employees with motivation.

Performance Management processes, High Performance Working, and Sustained Organisational Performance

According to Personnel Today (2015) there are six factors in performance management processes that contribute to high performance working: clarity on employees purpose; setting challenging but realistic goals; providing feedback; progression opportunities; reward and recognition; employee involvement.

Comparing these six factors to the processes at CDA Care:

Employee purpose

The employee's responsibilities and organisational goals are clearly set out from the start of employment at induction training. By doing this, it prevents employees from 'starting off on the wrong foot' and ensures all staff are working towards the same organisational goals and objectives.

Employee goals and objectives

CDA recognises that realistically each employee's goals will differ depending on their personal circumstances, therefore individual goals and objectives are discussed at each supervision and the annual appraisal. It is now mandatory for all care staff to work towards at least a level 2 QCF in Health and Social Care, and continuous development is part of their professional registration. CDA support staff in their continuous development by encouraging staff to complete new qualifications whilst working and providing extra training specialising in certain topics such as dementia care.

Feedback

Feedback is given to employees on both an individual basis and as a team at supervisions, team meetings, and on an ad-hoc basis. Giving regular feedback can keep employees motivated, if given correctly. According to Indeed (2020) giving too much negative feedback decreases morale within the business. Eventually this would affect performance in a negative way. Line managers at CDA are encouraged to give

positive feedback, not just criticism, which keeps the employees feeling motivated leading to better performance.

Progression opportunities

The performance management processes at CDA promote employee engagement and commitment by offering lots of progression and development opportunities to new and existing staff. This includes promotion opportunities and gaining new qualifications whilst working.

CDA is a fast-growing organisation, constantly presenting new opportunities to new and existing staff. This is something that is advertised to all employees and when recruiting for new staff, giving employees the motivation to continue to work at a high standard.

Reward and recognition

Unfortunately a reward and recognition scheme is something that does not currently exist at CDA Care. Although CDA is able to maintain high performance working by implementing other performance management systems, a reward and recognition scheme would benefit the overall organisational performance by avoiding the possibility of employees feeling de-motivated and un-recognised for the work that they complete. According to Indeed (2020) employee recognition can improve performance by 15%, or up to 30% when implemented alongside effective feedback.

Employee involvement and participation

Employees are more likely to feel valued within their workplace if they are involved in decision-making. At CDA, management aim to promote an environment where employees can give their input into decisions that are going to affect them. In some situations this may not always be possible due to confidentiality reasons, however, management always ensure that employees are able to input their opinions wherever possible.

By creating an open and honest environment, employees at CDA continue to feel valued and committed – resulting in sustained organisational performance.

Recommendations to enhance performance at CDA Care

As discussed above, there are many positive factors influencing high performance and organisational performance at CDA Care however, I believe that there is room for improvement. I gathered opinions from line managers at CDA Care, and put these into a spider diagram (EV27). My aim was to hold a focus group with line managers however due to the COVID-19 pandemic this has not been possible. There seemed to be a trend with manager's opinions, with almost all line managers wanting to introduce an employee reward and recognition scheme.

Recommendations based on the opinions from line managers at CDA Care and current trends:

- Introduce a reward and recognition scheme such as 'sage employee benefits' (Sage, 2020)
- 360 degree feedback
- Create an employee survey specific to the performance management process at CDA Care
- Develop Key Performance Indicators that are relevant to CDA Care's mission statement and values
- Introduce a buddy/mentor scheme for new members of staff until fully competent in role

References

Indeed (2020) *why is feedback important?* [online article]. Available at: <https://www.indeed.com/career-advice/career-development/positive-feedback-examples> (Accessed: 15th August 2020)

Personnel Today (2015) *performance management: the "six conditions" of high performance* [online article]. Available at: <https://www.personneltoday.com/hr/performance-management-six-conditions-high-performance/> (Accessed: 15th August 2020)

Sage (2020) *sage employee benefits* [website]. Available at: [https://www.sage.com/en-gb/products/sage-employee-benefits/?utm_medium=paidsearch&utm_source=google&utm_campaign=uk%7Cgoogle%7Cpayroll%7Cgeneric_seb\(b\)_payr_&ppc_keyword=%2Bemployee%20%2Brecognition&ds_rl=1287636&ds_rl=1287636&gclid=EAlaIqobChMI1bnpktLm6wIVTOd3Ch1NsA_OEAAYBCAAEgIK_PD_BwE&gclsrc=aw.ds#seepricing](https://www.sage.com/en-gb/products/sage-employee-benefits/?utm_medium=paidsearch&utm_source=google&utm_campaign=uk%7Cgoogle%7Cpayroll%7Cgeneric_seb(b)_payr_&ppc_keyword=%2Bemployee%20%2Brecognition&ds_rl=1287636&ds_rl=1287636&gclid=EAlaIqobChMI1bnpktLm6wIVTOd3Ch1NsA_OEAAYBCAAEgIK_PD_BwE&gclsrc=aw.ds#seepricing) (Accessed: 17th August 2020)

Evidence

- CDA Care's mission statement (EV13)
- Spider diagram of recommendations

