

Qualification: CIPD Diploma in Applied Human Resources

Module Name:

Contributing to Improving Organisational Performance

Word Count: 3305

Student Name: Chloe Tickle

Student Number: 1909409

CIPD Membership Number: 52076810

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 V Tickle

Date: 21 September 2020

Contents

Evidence Matrix	3
Personal Statement – LO1	4
1.1 Explain performance management policies and processes in the organisation and the roles and responsibilities of those involved in them.	4
1.2 Explain key sources of information, including legislative information, which underpin performance management activities.	4
1.3 Provide timely and accurate information to colleagues regarding performance management activities.	5
Evidence – LO1	6
Personal Statement – LO2	7
2.1 Analyse the types of support line managers in the organisation need from HR, in relation to performance management activities.	7
2.2 Support line managers capability to deliver performance management activities.	7
2.3 work in conjunction with line managers in the provision of employee performance and development reviews.	8
Evidence – LO2	9
Personal Statement – LO3	10
3.1 Evaluate the organisations approach to performance management, including employee performance and development reviews.	10
3.3 Recommend ways for developing performance management processes to enhance their impact on organizational performance.	10
Evidence – LO3	12
References – LO1	13

CIPD Candidate evidence matrix (EXAMPLE)

(CEM1)

Candidate name: Chloe Tickle				CIPD Membership/registration No.:52076810			(CEM)
Qualification title: CIPD Level 5				Unique Learner No. (ULN):1909409			
Unit code	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	Care Tutor Online Training Portal Screen Shot	Appendix 1			
	Contributing to Improving Organisational Performance	1.1	New Starter Induction Schedule	Appendix 2			
	Contributing to Improving Organisational Performance	1.1	New Starter Policies	Appendix 3			
	Contributing to Improving Organisational Performance	1.1	Support Worker Interview Questions	Appendix 4			
	Contributing to Improving Organisational Performance	1.1	New Starter Information Pack	Appendix 5			
	Contributing to Improving Organisational Performance	1.1	Probation Pack & Supervision Contract	Appendix 6 & 10			
	Contributing to Improving Organisational Performance	1.1	Supervision Form	Appendix 7			
	Contributing to Improving Organisational Performance	1.1	Appraisal Form	Appendix 8			
	Contributing to Improving Organisational Performance	1.1	Support Worker Job Description	Appendix 9			
	Contributing to Improving Organisational Performance	1.1	Capability & Grievance Policy	Appendix 11			
	Contributing to Improving Organisational Performance	1.1	Email outlining plan of action for managing poor performance.	Appendix 12			
	Contributing to Improving Organisational Performance	1.1	Capability Meeting Agenda Example	Appendix 13			
	Contributing to Improving Organisational Performance	1.1	Email with informal advice & guidance on staffing performance issues	Appendix 14			
	Contributing to Improving Organisational Performance	1.2	ACAS Best Practice for Managing Capability & Disciplinary Procedures	Appendix 15			

Contributing to Improving Organisational Performance	1.2	Disciplinary & Capability Policy	Appendix 11
Contributing to Improving Organisational Performance	1.2	CQC Standards	Appendix 17
Contributing to Improving Organisational Performance	1.2	Social Care Wales Code of Professional Practice	Appendix 18
Contributing to Improving Organisational Performance	1.2	ACAS Report: 'Building Productivity in the UK'	Appendix 19
Contributing to Improving Organisational Performance	1.3	Email to manager with informal advice on managing capability issues	Appendix 20
Contributing to Improving Organisational Performance	1.3	Formal Performance Management Plan	Appendix 21
Contributing to Improving Organisational Performance	2.1	Supervision and Probation Meeting Report Example	Appendix 31
Contributing to Improving Organisational Performance	2.2	Email regarding ongoing Capability procedure and advice to extend current warning	Appendix 22
Contributing to Improving Organisational Performance	2.2	Email to RM regarding above employee & process	Appendix 23
Contributing to Improving Organisational Performance	2.3	ACAS Best Practice for Managing Capability & Disciplinary Procedures	Appendix 15
Contributing to Improving Organisational Performance	2.3	Email to manager highlighting capability process	Appendix 25
Contributing to Improving Organisational Performance	3.1	Supervision template	Appendix 7
Contributing to Improving Organisational Performance	3.1	Appraisal template	Appendix 8
Contributing to Improving Organisational Performance	3.1	Supervision & Appraisal Policy	Appendix 28
Contributing to Improving Organisational Performance	3.1	Capability Policy	Appendix 11
Contributing to Improving Organisational Performance	3.1	Example of a toolbox talk on supervisions	Appendix 30

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:

Chloe

Date:

21/09/20

Notes on candidate evidence matrices

Candidates should be encouraged to develop a matrix indicating how their evidence relates to each unit/module and learning outcomes/assessment criteria. This helps advisors and assessors to support candidates to draw links between units and encourage cross-referencing and the possible multi-use of evidence.

Evidence matrices can be developed using the unit/module and learning outcomes/assessment criteria, giving candidates an opportunity to link their evidence to each outcome.

Another approach is to have a more generic form where candidates list evidence and tick relevant boxes to show coverage.

Whatever approach is employed candidates should be encouraged to complete these forms themselves and not expect assessors to do this for them.

Personal Statement – LO1

1.1 Explain performance management policies and processes in the organisation and the roles and responsibilities of those involved in them.

Improving and seeking to improve and maintain levels of performance are a key feature of Human Resource Management (Taylor, 2016), especially given that in the 21st century, the main objective of most organisations is to survive and thrive.

A “Paradigm shift” in economy to a more versatile and agile model heralds a need for an adapted way of approaching performance management with an increase in innovation, collaboration and value. It is important that we are able to harness the strengths of our employees and manage areas of weakness to support this shift and enhance organizational performance (De Smet, et al., 2018).

My organisation takes a fairly robust approach to performance management. New employees are subject to a 6-month probationary period where their performance is closely monitored. New employees will be expected to complete online and classroom training (Appendix 1) and an induction program which lasts for around the first 2 weeks of employment (Appendix 2) where new starters will be familiarized with the companies policies and procedures, values and objectives (Appendix 3). Applicants are informed about these values within their interview (Appendix 4) and within the new starter information pack (Appendix 5). Probationary meetings are held every 2 months with targets and achievements documented on the probation pack (Appendix 6). A robust induction period is critical as it ensures that the employee is the right fit for the organisation, reduces turn over, absenteeism and increases employee commitment (Taylor, 2016).

Supervisions are a regulatory requirement within the care industry and are held every 12 weeks as a minimum (Appendix 7) and an annual appraisal (Appendix 8). Managers will set performance objectives, monitor ongoing levels of performance, address poor performance and encourage high performance. Competency framework is also included within these documents and within job descriptions and person specifications (Appendix 9). Our approach to performance management is documented within the organisations supervision and appraisal contract (Appendix 10), Disciplinary, Capability & Grievance Policy (Appendix 11).

A ‘top down’ approach to appraisals and supervisions is taken and managers are required to supervise their peers as part of their managerial duties. Managers are required to provide constructive feedback on an ongoing basis and provide support and feedback. When necessary, the Disciplinary, Capability & Grievance policy may be implemented to address and manage unsatisfactory performance. Managers will approach the HR department with these details for further review, and a plan of action will be drawn up (Appendix 12). An example of a capability meeting agenda can be seen in appendix 13 and an email with informal advice and guidance can be seen in appendix 14.

1.2 Explain key sources of information, including legislative information, which underpin performance management activities.

It is the duty of employers to analyze the performance of its employees. Performance management is the term used to describe the process of the management of staff, however it is more commonly referred to as the process used to manage the underperformance of staff.

The activities of a formal management procedure are covered within ACAS best practice for Disciplinary and Capability procedures (Appendix 15) which is mirrored within my organisations Disciplinary and Capability procedure (Appendix 11). Performance management would be implemented in the event that employees were incapable of performing their duties, rather than a refusal to do so, which would then be covered under the disciplinary procedure.

The capability of employees is also benchmarked through the CQC (Care and Quality Commission) that provide the fundamental standards that Care workers must never fall below (Appendix 17) as well as the Code of Professional Practice for Social Care Workers as set out by Social Care Wales (Appendix 18).

A recent report by ACAS titled 'Building Productivity in the UK' (ACAS, 2015) (Appendix 19) highlighted the need to review the effectiveness of workplace organisations after evidence shows a low output of performance within the UK including long working hours, and slower increases in pay rates despite a high level of well-educated individuals and qualified jobs on offer (ACAS, 2015).

As a result of the report, ACAS developed '7 levers of productivity' which can be used by organisations and managers to be aware of and develop productivity by providing advice and guidance on how to approach each area (Figure 1) (ACAS, 2015).

Figure 1



(ACAS, 2015).

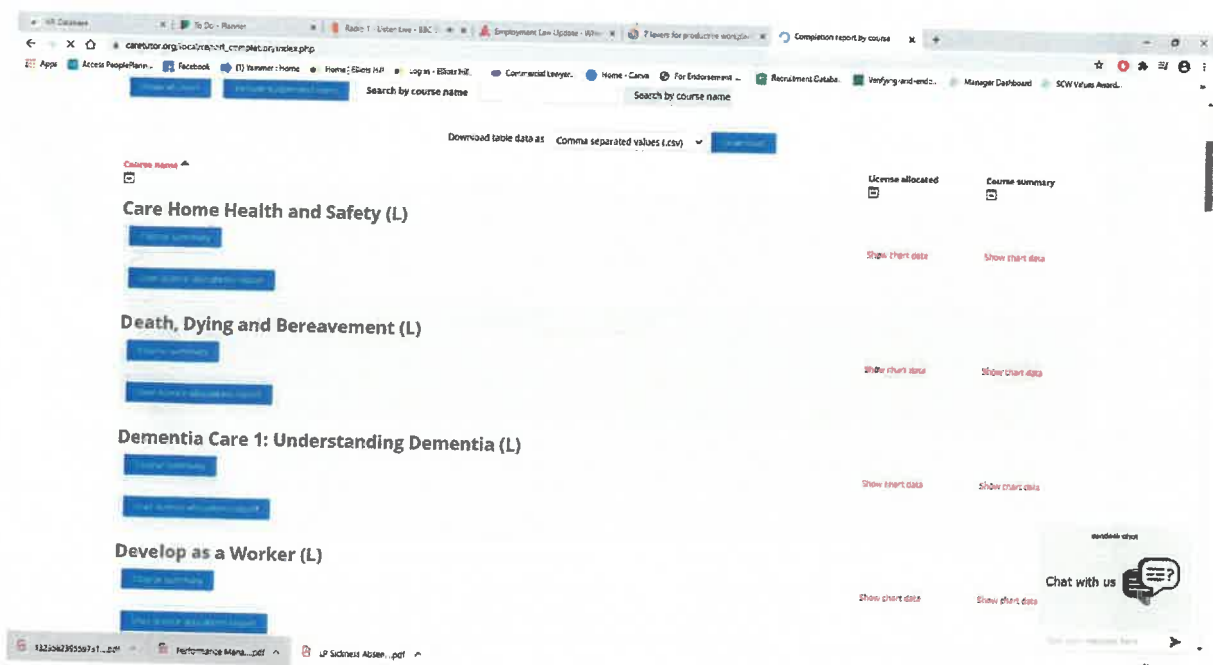
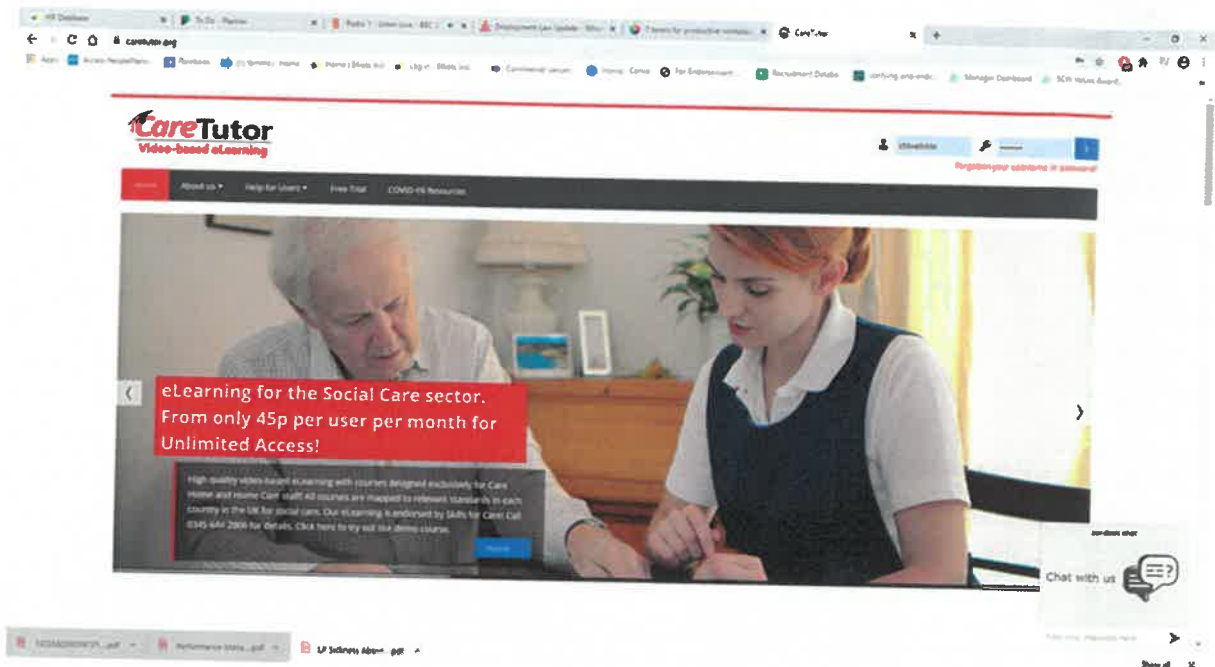
1.3 Provide timely and accurate information to colleagues regarding performance management activities.

It is important that timely and accurate information is provided to colleagues regarding performance management activities. This could be in relation to provide managers with information as well as providing timely communications to employees. Appendix 20 is an example of an email sent to a manager in relation to performance matters which have not yet progressed to formal stages, advising on the correct process to follow, and Appendix 21 is an example of a performance management document which was shared with a colleague during an ongoing capability procedure which highlighted review dates and timeframes.

Employers have a duty to inform employees straight away if there is cause to invoke the disciplinary or capability procedure (ACAS, 2020).

Evidence – LO1

Appendix 1



New Starter Checklist – Residential Setting

Name:		Area Manager:	Donna Beavis
Start Date:		Area:	
Care Tutor Password:			

<u>Task</u>	<u>Y/N</u>
Yammer link sent & added to appropriate groups and 'new starter group'	
Contract received	
Holiday booking system link sent and activated	

Week 1

<u>Day 1 Monday</u>	<u>Facilitator</u>	<u>Time</u>
Introduction - Welcome & Office introductions / familiarisation - Yammer set up & familiarisation - Uniform	HR	09.30am – 11am
Care Tutor Online Training: - Care Home Health & Safety - Death, Dying and Bereavement - Dementia Care 1: Understanding Dementia - Develop as a Worker - Dignity and Respect - Effective Communication	Care Tutor - Online	12.30pm – 3.30pm
Induction presentation	Yammer	3.30pm – 4.30pm
Policies & Procedures (handbook)	Yammer	4.30pm – 5pm
		<u>7.5 hours</u>
<u>Day 2 Tuesday</u>		
Care Tutor Online Training: - Effective Communication 2 - Emergency First Aid for Care Workers - Moving & Handling Practical - Moving & Handling Theory	Care Tutor - Online	9am – 11am
Moving & Handling Classroom Training	<u>Location:</u> Great Elliots Hill, Crowhill Road, Haverfordwest SA62 6HT	11am – 3pm
		<u>6 hours</u>

1891	Jan 1 - 1891
1892	Jan 1 - 1892
1893	Jan 1 - 1893
1894	Jan 1 - 1894
1895	Jan 1 - 1895
1896	Jan 1 - 1896
1897	Jan 1 - 1897
1898	Jan 1 - 1898
1899	Jan 1 - 1899
1900	Jan 1 - 1900
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1905	Jan 1 - 1905
1906	Jan 1 - 1906
1907	Jan 1 - 1907
1908	Jan 1 - 1908
1909	Jan 1 - 1909
1910	Jan 1 - 1910
1911	Jan 1 - 1911
1912	Jan 1 - 1912
1913	Jan 1 - 1913
1914	Jan 1 - 1914
1915	Jan 1 - 1915
1916	Jan 1 - 1916
1917	Jan 1 - 1917

Day 3 Wednesday		
First Aid Classroom Training	Location – Training Centre, Residential Care Home, Crow Hill, Haverfordwest	9am – 3pm
Care Tutor Online Training: 11. Principles of Person-Centered Care 12. Raising Concerns & Whistleblowing 13. Infection Prevention and Control in the Care Home	Care Tutor - Online	3pm – 5pm
		8 hours
Day 4 Thursday		
Shadow shift	Location:	[8 HOURS – INPUT TIME & CONFIRM WITH AM]
Day 5 Friday		
Care Tutor Online Training: 14. Role of the Care Worker 15. Safeguarding Adults in the Care Home 16. Safeguarding Children in Social Care Settings Equality, Diversity and Inclusion 17. Fire Safety 1: Hazards & Prevention 18. Fire Safety 2: Drills & Evacuation 19. Food Safety and Hygiene in the Care Home	Online	8 hours 9am – 5pm
		8 Hours
		Total: 37.5 Hours

Week 2

HR support to confirm shifts with AM and input shifts into box below

[illegible]

(

CODE OF CONDUCT

Policy Statement

Elliot's Hill Care Ltd believes that all staff working in the home should act at all times in a professional and competent manner and with the best interests of the home's service users in mind.

Aim of the Policy

This policy is intended to set out the values, principles and policies underpinning this home's approach to the staffing of the home and the conduct of staff therein.

Code of Conduct Policy

Elliot's Hill Care Ltd has a duty to service users to ensure that the staff who work at Elliot's Hill Care Ltd act at all times in a professional and competent manner with their best interests in mind.

Therefore, in this home, when acting in the course of our employment, all staff must:

- treat all service users, other staff, relatives, volunteers and visitors to the home with respect and courtesy
- behave honestly and with integrity
- act with care and diligence
- comply with all applicable UK laws, health and safety legislation, employment law legislation and other relevant codes of conduct
- comply with any lawful and reasonable direction given by a superior or member of the home's management
- maintain appropriate standards of confidentiality and data protection
- take reasonable steps to avoid any conflict of interest (real or apparent) in connection with home employment
- use home resources in a proper manner
- not provide false or misleading information in response to a request for information that is made for official purposes in connection with employment
- not make improper use of the employee's duties, status, power or authority, in order to gain, or seek to gain, a benefit or advantage for the employee or for any other person
- at all times behave in a way that upholds the home's values, integrity and good reputation
- not give or disclose, directly or indirectly, any information about the home's business interests
- not accept casual gifts or favours from service users, relatives or visitors
- show no favouritism in awarding contracts (eg to businesses run by employees, ex-employees, friends or relatives)
- ensure that acceptance of commercial sponsorship does not influence work at the home.

Review

This policy will be reviewed on an annual basis to ensure it is being effectively implemented.

Signed (Employee):

Date:



MEMORANDUM

TO: [Name]

FROM: [Name]
SUBJECT: [Subject]

1. [Text]

2. [Section Header]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

[Text]

3. [Text]

[Text]

[Text]

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[Text]

elliotshill
We **Care** About People



POLICY ON CONFIDENTIALITY

Elliots Hill Care Ltd's Policy on Confidentiality

Elliots Hill Care Ltd believes that it has a duty of confidentiality to its service users. Elliots Hill Care Ltd regards this as being of the utmost importance and a key part in building a trusting, caring environment where service users can live safe in the knowledge that their confidences will be kept **and where information about them will be protected safely. It is the home's policy that all the information we receive about or from service users is confidential and that only those people who need to know the information will have access to it. Elliots Hill Care Ltd seeks to always ask permission before we share information service users have given us with anyone else.**

Procedures

Staff should:

- **ensure that all files or written information of a confidential nature are stored in a secure manner in a locked filing cabinet and are only accessed by staff who have a need and a right to access them**
 - **wherever practical or reasonable fill in all care records and service users' notes in the presence of and with the co-operation of the resident concerned**
 - **ensure that all care records and service users' notes, including care plans, are signed and dated.**
- Rare situations may arise which give rise to exceptions to this duty where confidential information may relate to harm to other service users or harm to the person sharing the confidence. In such circumstances the home reserves the right for staff to break their duty of confidentiality and to take the information to a senior member of staff. In such rare circumstances:
- **the relevant service user will be informed of the home's position and full details will be discussed with the service user**
 - **appropriate notes will be made in the service user plan and these notes will be open to inspection by the service user**
 - **the information will only be given to those who absolutely need to know and wider issues of confidentiality of that information will still apply**
 - **the service user will be free to make a complaint through the home's complaints procedure.**

Initial Assessment Policy

New service users and prospective service users should be shown a copy of this confidentiality policy on initial assessment. Every effort should be made by staff to ensure that service users fully understand the implications of that policy. The member of staff performing the assessment should ensure that the new service user understands and has read the following statement.

"To help us make an assessment of your needs, we will need to ask you for personal information about your circumstances and to record this information. We will not share this information with anyone without your agreement and it will be kept in a confidential file which will be kept in a locked filing cabinet. Only care home staff with permission to see the file will be able to access it. Care staff will record in the file on a daily basis information relevant to your care in the home and will pass on information relevant to your day-to-day care to your key worker or to whoever is in charge of each shift. You may have access to your notes at any time to see what is actually being recorded. It is the home's policy that all the information we receive about or from service users is confidential and that only those people who need to know the information will have access to it. The home will always ask your permission before we share information service users have given us with anyone else. In certain circumstances, however, we may need to share information in your best interests and reserve the right to do so."

1. Introduction

(Continued from page 1)

The following is a summary of the results of the study.

The study was conducted in a laboratory setting. The subjects were 10 healthy adults, 5 males and 5 females, aged between 20 and 30 years. They were all right-handed and had no history of neurological or psychiatric disorders. The study was approved by the local ethics committee.

The results of the study are presented in the following sections.

The first section describes the experimental design and procedures. The second section presents the results of the study, including the mean values and standard deviations for each condition. The third section discusses the results in relation to the hypotheses and previous research. The fourth section presents the conclusions of the study and the implications for future research.

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Requests for Information

The home will not provide information to relatives, spouses, friends or advocates without the consent of the individual resident concerned. All enquiries for information, even if they are from close relatives, should be referred back to the service user or the service user's permission sought before disclosure.

The home is also often asked for reports by insurance companies, solicitors, employers, etc. Before providing these reports we shall require written consent from the resident concerned and will never divulge information without consent unless obliged to by law.

Record Keeping

We keep files on all our service users but only keep relevant information to ensure that the care we offer as an organisation is of the highest quality. The files are only available to staff who need to use them. We keep very personal letters or notes in a secure place.

This home believes the following.

- **Records required for the protection of service users and for the effective and efficient running of the home are maintained, are up to date and are accurate.**
- **Service users have access to their records and information about them held by the home, as well as opportunities to help maintain their personal records.**
- **Individual records and home records are kept in a secure fashion, are up to date and in good order; and are constructed, maintained and used in accordance with the Data Protection Act 1998 and other statutory requirements.**

The home believes that access to information and security and privacy of data is an absolute right of every service user and that service users are entitled to see a copy of all personal information held about them and to correct any error or omission in it.

Under the **Data Protection Act 1998** the home should have a nominated data user/data controller. The data user/data controller for this home is Senior Care responsible for each unit

Training

All new staff should be encouraged to read the policies on data protection and on confidentiality as part of their induction process. Existing staff will be offered training to National Training Organisation standards covering basic information about confidentiality, data protection and access to records. Training in the correct method for entering information in service users' records should be given to all care staff. The nominated data user/data controller for the home should be trained appropriately in the Data Protection Act 1998. All staff that need to use the computer system should be thoroughly trained in its use.

Signed (employee):

Date:

1911

The year 1911 was a year of great change and progress. It was a year when the world was beginning to see the fruits of the scientific revolution. It was a year when the world was beginning to see the fruits of the industrial revolution. It was a year when the world was beginning to see the fruits of the social revolution.

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Disclosure and Barring Service Enhanced Disclosure

Name:

I confirm that it is a condition of my employment that Elliots Hill Care Limited obtain and receive a satisfactory enhanced DBS disclosure to enable me to work with vulnerable adults.

I understand that Elliots Hill Care Limited will pay for the cost of the disclosure before I commence my employment.

I agree that the sum of £.....56..... can be deducted from my wages in accordance with the terms and conditions of my employment and that (delete as appropriate):

- I will pay the amount in full today;
- the deduction will take place in full on the next wages payment date

Signed (employee):

Date:

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2011-2012

2011-2012

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Elliot's Hill Care Ltd

THE DATA PROTECTION ACT 1998 AND GENERAL DATA PROTECTION REGULATIONS (GDPR) POLICY

THE DATA PROTECTION ACT 1998 AND GENERAL DATA PROTECTION REGULATIONS (GDPR)

Elliot's Hill takes the security and privacy of your data seriously. We need to gather and use information or 'data' about you as part of our business and to manage our relationship with you. We intend to comply with our legal obligations under the Data Protection Act 1998 and any subsequent data protection legislation that may come in to force and the EU General Data Protection Regulation ('GDPR') in respect of data privacy and security. We have a duty to notify you of the information contained in this policy.

This policy applies to current and former employees, workers, volunteers, apprentices and consultants. If you fall into one of these categories then you are a 'data subject' for the purposes of this policy. You should read this policy alongside your contract of employment (or contract for services) and any other notice we issue to you from time to time in relation to your data.

The Company has a separate privacy notice in place in respect of job applicants, service users, suppliers and other categories of data subject. A copy of these can be obtained from our Data Protection Officer Jo Swift.

Elliot's Hill is a 'data controller' for the purposes of your personal data. This means that we determine the purpose and means of the processing of your personal data.

This policy explains how we will hold and process your information. It explains your rights as a data subject. It also explains your obligations when obtaining, handling, processing or storing personal data in the course of working for, or on behalf of, the Company.

This policy does not form part of your contract of employment and can be amended by the Company at any time. It is intended that this policy is fully compliant with the Data Protection Act 1998 Act and the GDPR. If any conflict arises between those laws and this policy, the Company intends to comply with the Data Protection Act and the GDPR.

You are asked to sign Appendix 4 to confirm that you have received a copy of this policy and have read and understood this policy, constituting a privacy notice under GDPR and the relevant Data Protection Act.

GDPR principles

Personal data must be processed in accordance with six 'Data Protection Principles.' It must:

- (a) be processed fairly, lawfully and transparently
- (b) be collected and processed only for specified, explicit and legitimate purposes;
- (c) be adequate, relevant and limited to what is necessary for the purposes for which it is processed;
- (d) be accurate and kept up to date. Any inaccurate data must be deleted or rectified without delay;
- (e) not be kept for longer than is necessary for the purposes for which it is processed; and
- (f) be processed securely and confidentially.

We are accountable for these principles and must be able to show that we are compliant.

Any questions in relation to these principles should be directed to Jo Swift, Data Protection Officer.

GDPR - What is personal data?

'Personal data' means information which relates to a living person who can be identified from that data (a 'data subject') on its own, or when taken together with other information which is likely to come into our possession. It includes any expression of opinion about the person

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and an indication of the intentions of us or others, in respect of that person. It does not include anonymised data.

This policy applies to all personal data whether it is stored electronically, on paper or on other materials.

This personal data might be provided to us by you, or someone else (such as a former employer, your doctor, or a credit reference agency), or it could be created by us. It could be provided or created during the recruitment process or during the course of the contract of employment (or services) or after its termination. It could be created by your manager or other colleagues.

We will collect and use the following types of personal data about you:

- (a) recruitment information such as your application form and CV, references, qualifications and membership of any professional bodies and details of any pre-employment assessments;
- (b) your contact details and date of birth;
- (c) the contact details for your emergency contacts;
- (d) your gender;
- (e) your marital status and family details;
- (f) information about your contract of employment (or services) including start and end dates of employment, role and location, working hours, details of promotion, salary (including details of previous remuneration), pension, benefits and holiday entitlement;
- (g) your bank details and information in relation to your tax status including your national insurance number;
- (h) your identification documents including passport and driving licence and information in relation to your immigration status and right to work for us;
- (i) information relating to disciplinary or grievance investigations and proceedings involving you (whether or not you were the main subject of those proceedings);
- (j) information relating to your performance and behaviour at work;
- (k) training records;
- (l) electronic information in relation to your use of IT systems/swipe cards/telephone systems;
- (m) your images (whether captured on CCTV, by photograph or video);
- (n) and
- (o) any other category of personal data which we may notify you of from time to time.

GDPR Special Types of Personal Data

Special categories of personal data' are types of personal data consisting of information as to:

- (a) your racial or ethnic origin;
- (b) your political opinions;
- (c) your religious or philosophical beliefs;
- (d) your trade union membership;
- (e) your genetic or biometric data;
- (f) your health;
- (g) your sex life and sexual orientation; and
- (h) any criminal convictions and offences.

Processing of these types of data is only permitted if one of the following conditions applies:

The data subject has given explicit consent to the processing for one or more specific purposes, except where EU or member state law provides that the data subject may not consent to this particular type of processing.

It is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social

Abstract

Page 1 of 1

The purpose of this study was to investigate the effect of a 12-week training program on the physical and psychological health of sedentary adults. The study was conducted in a laboratory setting and involved 30 participants who were randomly assigned to either a training or control group.

The training group participated in a 12-week program consisting of three sessions per week, each lasting 45 minutes. The sessions included a combination of cardiovascular and strength training exercises. The control group remained sedentary throughout the study.

Physical health was assessed using a variety of measures, including heart rate, blood pressure, and body mass index (BMI). Psychological health was assessed using a standardized questionnaire that measured levels of stress, anxiety, and depression.

Results of the study showed that the training group experienced significant improvements in physical health measures compared to the control group. Specifically, heart rate and blood pressure decreased, and BMI increased in the training group.

Psychological health measures also improved in the training group. Levels of stress, anxiety, and depression decreased significantly compared to the control group. These findings suggest that a 12-week training program can have a positive impact on both physical and psychological health.

The study has several limitations, including a small sample size and a lack of long-term follow-up. Future research should investigate the effects of longer training programs and larger sample sizes to confirm the findings of this study.

In conclusion, the results of this study suggest that a 12-week training program can have a positive impact on both physical and psychological health. This finding has important implications for public health and suggests that regular physical activity may be a useful strategy for improving overall health and well-being.

Keywords: 12-week training program, physical health, psychological health, sedentary adults, heart rate, blood pressure, BMI, stress, anxiety, depression.

The study was funded by a grant from the National Institutes of Health. The authors would like to thank the participants who made this study possible and the research assistants who helped with data collection.

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Received: 15 January 2023; Accepted: 15 February 2023; Published: 15 March 2023

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protection law, insofar as it is authorised by EU or member state law or a collective agreement pursuant to member state law providing for adequate safeguards for the fundamental rights and the interests of the data subject.

Processing is necessary to protect the vital interests of the data subject or of another natural person, where the data subject is physically or legally incapable of giving consent.

Processing is carried out by a not-for-profit entity with a political, philosophical, religious or trade union aim in the course of its legitimate activities; with appropriate safeguards; and solely with regard to members or former members of that entity to persons who have regular contact with it in connection with its purposes.

Personal data must not be disclosed to anyone outside that entity without the data subject's consent.

Processing relates to personal data which is manifestly made public by the data subject.

Processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity

Processing is permitted where it is necessary for reasons of substantial public interest, on the basis of EU or member state law which must:

- (a) be proportionate to the aim pursued;
- (b) respect the essence of the right to data protection; and
- (c) provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.

Processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services. It must be carried out on the basis of EU or member state law or pursuant to contract with a health professional and subject to the conditions and safeguards referred to in Law

Processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices. It must be carried out on the basis of EU or member state law which provides for suitable and specific measures to safeguard the rights and freedoms of the data subject, in particular professional secrecy.

Processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes. Processing must be based on EU or member state law, which must be proportionate to the aim pursued, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the data subjects' fundamental rights and interests.

GDPR Processing

'Processing' means any operation which is performed on personal data such as:

- (a) collection, recording, organisation, structuring or storage;
- (b) adaption or alteration;
- (c) retrieval, consultation or use;
- (d) disclosure by transmission, dissemination or otherwise making available;
- (e) alignment or combination; and
- (f) restriction, destruction or erasure.

This includes processing personal data which forms part of a filing system and any automated processing.

The Company will process your personal data (including special categories of personal data) in accordance with our obligations under data protection legislation.

We will use your personal data for:

- (a) performing the contract of employment (or services) between us;
- (b) complying with any legal obligation; or

1. The first part of the report deals with the general situation of the company and the results of the audit. It is divided into two main sections: the first section deals with the general situation of the company and the second section deals with the results of the audit.

2. The second part of the report deals with the specific findings of the audit. It is divided into three main sections: the first section deals with the findings related to the financial statements, the second section deals with the findings related to the internal control system, and the third section deals with the findings related to the management of the company.

3. The third part of the report deals with the conclusions and recommendations of the audit. It is divided into two main sections: the first section deals with the conclusions of the audit and the second section deals with the recommendations of the audit.

4. The fourth part of the report deals with the annexes of the audit. It is divided into three main sections: the first section deals with the annexes related to the financial statements, the second section deals with the annexes related to the internal control system, and the third section deals with the annexes related to the management of the company.

5. The fifth part of the report deals with the index of the report. It is divided into two main sections: the first section deals with the index of the financial statements and the second section deals with the index of the internal control system.

6. The sixth part of the report deals with the list of abbreviations and acronyms used in the report. It is divided into two main sections: the first section deals with the abbreviations and acronyms related to the financial statements and the second section deals with the abbreviations and acronyms related to the internal control system.

7. The seventh part of the report deals with the list of references used in the report. It is divided into two main sections: the first section deals with the references related to the financial statements and the second section deals with the references related to the internal control system.

8. The eighth part of the report deals with the list of figures and tables used in the report. It is divided into two main sections: the first section deals with the figures and tables related to the financial statements and the second section deals with the figures and tables related to the internal control system.

9. The ninth part of the report deals with the list of appendices used in the report. It is divided into two main sections: the first section deals with the appendices related to the financial statements and the second section deals with the appendices related to the internal control system.

10. The tenth part of the report deals with the list of annexes used in the report. It is divided into two main sections: the first section deals with the annexes related to the financial statements and the second section deals with the annexes related to the internal control system.

- (c) if it is necessary for our legitimate interests (or for the legitimate interests of someone else). However, we can only do this if your interests and rights do not override ours (or theirs). You have the right to challenge our legitimate interests and request that we stop this processing. See details of your rights below.

We can process your personal data for these purposes without your knowledge or consent. We will not use your personal data for an unrelated purpose without telling you about it and the legal basis that we intend to rely on for processing it.

If you choose not to provide us with certain personal data you should be aware that we may not be able to carry out certain parts of the contract between us. For example, if you do not provide us with your bank account details we may not be able to pay you. It might also stop us from complying with certain legal obligations and duties which we have such as to pay the right amount of tax to HMRC or to make reasonable adjustments in relation to any disability you may suffer from.

GDPR When will we process your data

We have to process your personal data in various situations during your recruitment, employment (or engagement) and even following termination of your employment (or engagement).

For example:

- (a) To decide whether to employ (or engage) you
- (b) to decide how much to pay you, and the other terms of your contract with us;
- (c) to check you have the legal right to work for us;
- (d) to carry out the contract between us including where relevant, its termination;
- (e) training you and reviewing your performance;
- (f) to decide whether to promote you;
- (g) to decide whether and how to manage your performance, absence or conduct;
- (h) to carry out a disciplinary or grievance investigation or procedure in relation to you or someone else;
- (i) to determine whether we need to make reasonable adjustments to your workplace or role because of your disability;
- (j) to monitor diversity and equal opportunities;
- (k) to monitor and protect the security (including network security) of the Company, of you, our other staff, customers and others;
- (l) to monitor and protect the health and safety of you, our other staff, customers and third parties;
- (m) to pay you and provide pension and other benefits in accordance with the contract between us;
- (n) paying tax and national insurance;
- (o) to provide a reference upon request from another employer;
- (p) to pay trade union subscriptions;
- (q) monitoring compliance by you, us and others with our policies and our contractual obligations;
- (r) to comply with employment law, immigration law, health and safety law, tax law and other laws which affect us;
- (s) to answer questions from insurers in respect of any insurance policies which relate to you;
- (t) running our business and planning for the future;
- (u) the prevention and detection of fraud or other criminal offences;
- (v) to defend the Company in respect of any investigation or litigation and to comply with any court or tribunal orders for disclosure; and
- (w) for any other reason which we may notify you of from time to time.

We will only process special categories or sensitive personal data (see above) in certain situations in accordance with the law. For example, we can do so if we have your explicit consent. If we asked for your consent to process a special category of personal data then we would explain the reasons for our request. You are not obliged to consent and can withdraw consent later if you choose to do so by contacting Jo Swift, Data Protection Officer.

We do not need your consent to process special categories of your personal data when we are processing it for the following purposes, which we may do:

- (a) where it is necessary for carrying out rights and obligations under employment law;
- (b) where it is necessary to protect your vital interests or those of another person where you/they are physically or legally incapable of giving consent;
- (c) where you have made the data public;
- (d) where processing is necessary for the establishment, exercise or defence of legal claims; and
- (e) where processing is necessary for the purposes of occupational medicine or for the assessment of your working capacity.
- (f) We will only collect criminal convictions data where it is appropriate given the nature of your role and where the law permits us. This data will usually be collected at the recruitment stage, however, it may also be collected during your employment in accordance with CIW requirements. If you are employed by us we will store this data in accordance with CIW requirements.

We might process special categories of your personal data for the purposes in paragraph 62.31 above. In particular, we will use information in relation to:

- (a) your race, ethnic origin, religion, sexual orientation or gender to monitor equal opportunities;
- (b) your sickness absence, health and medical conditions to monitor your absence, assess your fitness for work, to pay you benefits, to comply with our legal obligations under employment law including to make reasonable adjustments and to look after your health and safety; and
- (c) your trade union membership to pay any subscriptions and to comply with our legal obligations in respect of trade union members.
- (d) In order to protect yours or someone else's interests.

We do not take automated decisions about you using your personal data or use profiling in relation to you.

GDPR Sharing Personal Data

Sometimes we might share your personal data with group companies or our contractors and agents to carry out our obligations under our contract with you or for our legitimate interests.

We require those companies to keep your personal data confidential and secure and to protect it in accordance with the law and our policies. They are only permitted to process your data for the lawful purpose for which it has been shared and in accordance with our instructions.

We do not send your personal data outside the European Economic Area. If this changes you will be notified of this and the protections which are in place to protect the security of your data will be explained.

GDPR Your Obligations

Everyone who works for, or on behalf of, the Company has some responsibility for ensuring data is collected, stored and handled appropriately, in line with this policy and any other policies set out in this Handbook including our policies on IT and Social Media.

The Company's Data Protection Officer, Jo Swift is responsible for reviewing this policy and updating the board of directors and management team on the Company's data protection responsibilities and any risks in relation to the processing of data. You should direct any questions in relation to this policy or data protection to this person.

You should only access personal data covered by this policy if you need it for the work you do for, or on behalf of the Company and only if you are authorised to do so. You should only use the data for the specified lawful purpose for which it was obtained.

You should not share personal data informally.

You should keep personal data secure and not share it with unauthorised people.

Where possible data will be encrypted before being transferred electronically.

You should regularly review and update personal data which you have to deal with for work. This includes telling us if your own contact details change.

You should not make unnecessary copies of personal data and should keep and dispose of any copies securely.

You should use strong passwords.

You should lock your computer screens when not at your desk.

All data must be stored on the server and not on computer hard drives.

Consider anonymising data or using separate keys/codes so that the data subject cannot be identified.

Do not save personal data to your own personal computers or other devices.

Personal data should never be transferred outside the European Economic Area except in compliance with the law and authorisation of the Data Protection Officer Jo Swift.

You should lock drawers and filing cabinets. Do not leave paper with personal data lying about.

You should not take personal data away from Company's premises without authorisation from your line manager or Data Protection Officer.

Personal data should be shredded and disposed of securely when you have finished with it.

You should ask for help from our Data Protection Officer/Data Protection Manager if you are unsure about data protection or if you notice any areas of data protection or security we can improve upon.

Any deliberate or negligent breach of this policy by you may result in disciplinary action being taken against you in accordance with our disciplinary procedure.

It is a criminal offence to conceal or destroy personal data which is part of a subject access request (see below). This conduct would also amount to gross misconduct under our disciplinary procedure, which could result in your dismissal.

GDPR Breaches

We have robust measures in place to minimise and prevent data breaches from taking place. Should a breach of personal data occur (whether in respect of you or someone else) then we must take notes and keep evidence of that breach. If the breach is likely to result in a risk to the rights and freedoms of individuals then we must also notify the Information Commissioner's Office within 72 hours.

If you are aware of a data breach you must contact Jo Swift immediately and keep any evidence you have in relation to the breach.

GDPR Subject Access Requests

Data subjects can make a 'subject access request' ('SAR') to find out the information we hold about them. This request must be made in writing. If you receive such a request you should forward it immediately to the Data Protection Officer/Data Protection Manager who will coordinate a response.

If you would like to make a SAR in relation to your own personal data you should make this in writing to Jo Swift. We must respond within one month unless the request is complex or numerous in which case the period in which we must respond can be extended by a further two months.

There is no fee for making a SAR. However, if your request is manifestly unfounded or excessive we may charge a reasonable administrative fee or refuse to respond to your request.

GDPR Your Rights

You have the right to information about what personal data we process, how and on what basis as set out in this policy.

You have the right to access your own personal data by way of a subject access request (see above).

You can correct any inaccuracies in your personal data. To do so you should contact Jo Swift.

You have the right to request that we erase your personal data where we were not entitled under the law to process it or it is no longer necessary to process it for the purpose it was collected. To do so you should contact Jo Swift.

While you are requesting that your personal data is corrected or erased or are contesting the lawfulness of our processing, you can apply for its use to be restricted while the application is made. To do so you should contact Jo Swift.

You have the right to object to data processing where we are relying on a legitimate interest to do so and you think that your rights and interests outweigh our own and you wish us to stop.

You have the right to object if we process your personal data for the purposes of direct marketing.

You have the right to receive a copy of your personal data and to transfer your personal data to another data controller. We will not charge for this and will in most cases aim to do this within one month.

With some exceptions, you have the right not to be subjected to automated decision-making.

You have the right to be notified of a data security breach concerning your personal data.

In most situations we will not rely on your consent as a lawful ground to process your data. If we do however request your consent to the processing of your personal data for a specific purpose, you have the right not to consent or to withdraw your consent later. To withdraw your consent, you should contact the Data Protection Officer, Jo Swift.

You have the right to complain to the Information Commissioner. You can do this by contacting the Information Commissioner's Office directly. Full contact details including a helpline number can be found on the Information Commissioner's Office website (www.ico.org.uk). This website has further information on your rights and our obligations.

Data Retention

These guidelines support the Company's Data Protection and General Data Protection Regulations (GDPR) Policy and adopt its definitions.

The guidelines are intended to ensure that the Company's processes personal data in the form of employment records in accordance with the personal data protection principles, in particular that:

- Personal data must be collected only for specified, explicit and legitimate purposes. It must not be further processed in any manner incompatible with those purposes.
- Personal data must be adequate, relevant and limited to what is necessary in relation to the purposes for which it is processed. When personal data is no longer needed for specified purposes, it is deleted or anonymised as provided by these guidelines.
- Personal data must be accurate and, where necessary, kept up to date. It must be corrected or deleted without delay when inaccurate.
- Personal Data must not be kept in an identifiable form for longer than is necessary for the purposes for which the data is processed.
- Personal Data must be secured by appropriate technical and organisational measures against unauthorised or unlawful processing, and against accidental loss, destruction or damage.

The Data Protection Officer is responsible for overseeing these guidelines. Any questions about the operation of the guidelines should be submitted to the Data Protection Officer.

Location of Employment Records

The Data Protection Officer is responsible for overseeing these guidelines. Any questions about the operation of the guidelines should be submitted to the Data Protection Officer.

27043

The Company's HR department holds employment records and can be contacted with any enquiries relating to your personal data.

Keeping Information up to date

The Company needs to ensure that your personal details are up to date and accurate.

When you first start working for us we record your name address next of kin and contact telephone details. In the event that any of these change you should update your details by notifying the HR department. You will be invited to review and update personal information on a regular basis.

These provisions are intended to complement the data subject rights referred to in the Data Protection and General Data Protection Regulations (GDPR) Policy.

General Principles on Retention and Erasure

Our approach to retaining employment records is to ensure that it complies with the data protection principles referred to in these guidelines and, in particular, to ensure that:

- Employment records are regularly reviewed to ensure that they remain adequate, relevant and limited to what is necessary to facilitate you working for the Company.
- Employment records are kept secure and are protected against unauthorised or unlawful processing and against accidental loss, destruction or damage. Where appropriate the Company uses anonymization to prevent identification of individuals.
- When records are destroyed, whether held as paper records or in electronic format, the Company will ensure that they are safely and permanently erased.

Retention and Erasure of Recruitment Documents

The Company will inform candidates about what it will do regarding their personal data.

The Company retains personal information following recruitment exercises to demonstrate, if required, that candidates have not been discriminated against on prohibited grounds and that recruitment exercises are conducted in a fair and transparent way.

The Company's candidate privacy notice advises candidates how long we expects to keep their personal information for, once a recruitment decision has been communicated to them. This is likely to be for six months from the communication of the outcome of the recruitment exercise which takes account of both the time limit to bring claims and for claims to be received by the Company.

Information relating to successful candidates will be transferred to their employment record with the Company. This will be limited to that information necessary for the working relationship and, where applicable, that required by law.

Following a recruitment exercise information, in both paper and electronic form, will be held by the HR department. Destruction of that information will take place in accordance with these guidelines.

Retention and Erasure Periods

The Company has regard to recommended retention periods for particular employment records set out in legislation, referred to in the table below. However, it also has regard to legal risk and may keep records for up to seven years (and in some instances longer) after your employment or work with us has ended. In any event, we will comply with recommendations and guidance from the Information Commissioner and will ensure that our retention periods are proportionate and, in the absence of a statutory requirement, designed using a risk analysis approach. Records will only be retained for a particular purpose and will not be kept for longer than is necessary for that purpose unless required to protect against legal risk.

Type of employment record	Retention period
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Recruitment records These may include: Completed online application forms or CVs. Equal opportunities monitoring forms. Assessment exercises or tests. Notes from interviews and short-listing exercises. Pre-employment verification of details provided by the successful candidate. For example, checking qualifications and taking up references. (These may be transferred to a successful candidate's employment file.) Criminal records checks. (These may be transferred to a successful candidate's employment file if they are relevant to the ongoing relationship.)	Six months after notifying candidates of the outcome of the recruitment exercise.
Immigration checks	Three years after the termination of employment.
Contracts These may include: Written particulars of employment. Contracts of employment or other contracts. Documented changes to terms and conditions.	While employment continues and for seven years after the contract ends.
Collective agreements	
Collective workforce agreements and past agreements that could affect present employees.	Any copy of a relevant collective agreement retained on an employee's record will remain while employment continues and for seven years after employment ends.
Payroll and wage records Details on overtime.	These must be kept for at least three years after the end of the tax year to which they relate. Some information for example

Bonuses. Expenses. Benefits in kind.	expenses will be kept for 6 years.
Current bank details	Bank details will be deleted as soon after the end of employment as possible once final payments have been made
PAYE records	These must be kept for at least three years after the end of the tax year to which they relate.
Records in relation to hours worked and payments made to workers	These must be kept for three years beginning with the day on which the pay reference period immediately following that to which they relate ends.
Travel and subsistence.	While employment continues and for seven years after employment ends.
Record of advances for season tickets and loans to employees	While employment continues and for seven years after employment ends.
Personnel records These include: Qualifications/references. Consents for the processing of special categories of personal data. Annual leave records. Annual assessment reports. Disciplinary procedures. Grievance procedures. Death benefit nomination and revocation forms. Resignation, termination and retirement.	While employment continues and for seven years after employment ends.

Records in connection with working time	Three years from the date on which they were made.
Working time opt-out	Three years from the date on which they were entered into.
Records to show compliance, including: Time sheets for opted-out workers. Health assessment records for night workers.	Three years after the relevant period.
Maternity records These include: Maternity payments. Dates of maternity leave. Period without maternity payment. Maternity certificates showing the expected week of confinement.	Four years after the end of the tax year in which the maternity pay period ends.
Accident records These are created regarding any reportable accident, death or injury in connection with work.	For at least four years from the date the report was made.

Type of service user record	Retention period
Care plan	Current and 3 years from date of update
Emergency Evacuation Plan	
Handover and finance sheets	
Incident reports	3 years
Body maps	
Outcomes	
Misc. medical info e.g. letters	
Accident reports	4 years/until aged 21
Reviews	3 years from end of service
Activity planners	Current and 3 years from date of update
Passport	

Index

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100	101	102	103	104	105	106	107	108	109	110	111	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	127	128	129	130	131	132	133	134	135	136	137	138	139	140	141	142	143	144	145	146	147	148	149	150	151	152	153	154	155	156	157	158	159	160	161	162	163	164	165	166	167	168	169	170	171	172	173	174	175	176	177	178	179	180	181	182	183	184	185	186	187	188	189	190	191	192	193	194	195	196	197	198	199	200	201	202	203	204	205	206	207	208	209	210	211	212	213	214	215	216	217	218	219	220	221	222	223	224	225	226	227	228	229	230	231	232	233	234	235	236	237	238	239	240	241	242	243	244	245	246	247	248	249	250	251	252	253	254	255	256	257	258	259	260	261	262	263	264	265	266	267	268	269	270	271	272	273	274	275	276	277	278	279	280	281	282	283	284	285	286	287	288	289	290	291	292	293	294	295	296	297	298	299	300	301	302	303	304	305	306	307	308	309	310	311	312	313	314	315	316	317	318	319	320	321	322	323	324	325	326	327	328	329	330	331	332	333	334	335	336	337	338	339	340	341	342	343	344	345	346	347	348	349	350	351	352	353	354	355	356	357	358	359	360	361	362	363	364	365	366	367	368	369	370	371	372	373	374	375	376	377	378	379	380	381	382	383	384	385	386	387	388	389	390	391	392	393	394	395	396	397	398	399	400	401	402	403	404	405	406	407	408	409	410	411	412	413	414	415	416	417	418	419	420	421	422	423	424	425	426	427	428	429	430	431	432	433	434	435	436	437	438	439	440	441	442	443	444	445	446	447	448	449	450	451	452	453	454	455	456	457	458	459	460	461	462	463	464	465	466	467	468	469	470	471	472	473	474	475	476	477	478	479	480	481	482	483	484	485	486	487	488	489	490	491	492	493	494	495	496	497	498	499	500	501	502	503	504	505	506	507	508	509	510	511	512	513	514	515	516	517	518	519	520	521	522	523	524	525	526	527	528	529	530	531	532	533	534	535	536	537	538	539	540	541	542	543	544	545	546	547	548	549	550	551	552	553	554	555	556	557	558	559	560	561	562	563	564	565	566	567	568	569	570	571	572	573	574	575	576	577	578	579	580	581	582	583	584	585	586	587	588	589	590	591	592	593	594	595	596	597	598	599	600	601	602	603	604	605	606	607	608	609	610	611	612	613	614	615	616	617	618	619	620	621	622	623	624	625	626	627	628	629	630	631	632	633	634	635	636	637	638	639	640	641	642	643	644	645	646	647	648	649	650	651	652	653	654	655	656	657	658	659	660	661	662	663	664	665	666	667	668	669	670	671	672	673	674	675	676	677	678	679	680	681	682	683	684	685	686	687	688	689	690	691	692	693	694	695	696	697	698	699	700	701	702	703	704	705	706	707	708	709	710	711	712	713	714	715	716	717	718	719	720	721	722	723	724	725	726	727	728	729	730	731	732	733	734	735	736	737	738	739	740	741	742	743	744	745	746	747	748	749	750	751	752	753	754	755	756	757	758	759	760	761	762	763	764	765	766	767	768	769	770	771	772	773	774	775	776	777	778	779	780	781	782	783	784	785	786	787	788	789	790	791	792	793	794	795	796	797	798	799	800	801	802	803	804	805	806	807	808	809	810	811	812	813	814	815	816	817	818	819	820	821	822	823	824	825	826	827	828	829	830	831	832	833	834	835	836	837	838	839	840	841	842	843	844	845	846	847	848	849	850	851	852	853	854	855	856	857	858	859	860	861	862	863	864	865	866	867	868	869	870	871	872	873	874	875	876	877	878	879	880	881	882	883	884	885	886	887	888	889	890	891	892	893	894	895	896	897	898	899	900	901	902	903	904	905	906	907	908	909	910	911	912	913	914	915	916	917	918	919	920	921	922	923	924	925	926	927	928	929	930	931	932	933	934	935	936	937	938	939	940	941	942	943	944	945	946	947	948	949	950	951	952	953	954	955	956	957	958	959	960	961	962	963	964	965	966	967	968	969	970	971	972	973	974	975	976	977	978	979	980	981	982	983	984	985	986	987	988	989	990	991	992	993	994	995	996	997	998	999	1000	1001	1002	1003	1004	1005	1006	1007	1008	1009	1010	1011	1012	1013	1014	1015	1016	1017	1018	1019	1020	1021	1022	1023	1024	1025	1026	1027	1028	1029	1030	1031	1032	1033	1034	1035	1036	1037	1038	1039	1040	1041	1042	1043	1044	1045	1046	1047	1048	1049	1050	1051	1052	1053	1054	1055	1056	1057	1058	1059	1060	1061	1062	1063	1064	1065	1066	1067	1068	1069	1070	1071	1072	1073	1074	1075	1076	1077	1078	1079	1080	1081	1082	1083	1084	1085	1086	1087	1088	1089	1090	1091	1092	1093	1094	1095	1096	1097	1098	1099	1100	1101	1102	1103	1104	1105	1106	1107	1108	1109	1110	1111	1112	1113	1114	1115	1116	1117	1118	1119	1120	1121	1122	1123	1124	1125	1126	1127	1128	1129	1130	1131	1132	1133	1134	1135	1136	1137	1138	1139	1140	1141	1142	1143	1144	1145	1146	1147	1148	1149	1150	1151	1152	1153	1154	1155	1156	1157	1158	1159	1160	1161	1162	1163	1164	1165	1166	1167	1168	1169	1170	1171	1172	1173	1174	1175	1176	1177	1178	1179	1180	1181	1182	1183	1184	1185	1186	1187	1188	1189	1190	1191	1192	1193	1194	1195	1196	1197	1198	1199	1200	1201	1202	1203	1204	1205	1206	1207	1208	1209	1210	1211	1212	1213	1214	1215	1216	1217	1218	1219	1220	1221	1222	1223	1224	1225	1226	1227	1228	1229	1230	1231	1232	1233	1234	1235	1236	1237	1238	1239	1240	1241	1242	1243	1244	1245	1246	1247	1248	1249	1250	1251	1252	1253	1254	1255	1256	1257	1258	1259	1260	1261	1262	1263	1264	1265	1266	1267	1268	1269	1270	1271	1272	1273	1274	1275	1276	1277	1278	1279	1280	1281	1282	1283	1284	1285	1286	1287	1288	1289	1290	1291	1292	1293	1294	1295	1296	1297	1298	1299	1300	1301	1302	1303	1304	1305	1306	1307	1308	1309	1310	1311	1312	1313	1314	1315	1316	1317	1318	1319	1320	1321	1322	1323	1324	1325	1326	1327	1328	1329	1330	1331	1332	1333	1334	1335	1336	1337	1338	1339	1340	1341	1342	1343	1344	1345	1346	1347	1348	1349	1350	1351	1352	1353	1354	1355	1356	1357	1358	1359	1360	1361	1362	1363	1364	1365	1366	1367	1368	1369	1370	1371	1372	1373	1374	1375	1376	1377	1378	1379	1380	1381	1382	1383	1384	1385	1386	1387	1388	1389	1390	1391	1392	1393	1394	1395	1396	1397	1398	1399	1400	1401	1402	1403	1404	1405	1406	1407	1408	1409	1410	1411	1412	1413	1414	1415	1416	1417	1418	1419	1420	1421	1422	1423	1424	1425	1426	1427	1428	1429	1430	1431	1432	1433	1434	1435	1436	1437	1438	1439	1440	1441	1442	1443	1444	1445	1446	1447	1448	1449	1450	1451	1452	1453	1454	1455	1456	1457	1458	1459	1460	1461	1462	1463	1464	1465	1466	1467	1468	1469	1470	1471	1472	1473	1474	1475	1476	1477	1478	1479	1480	1481	1482	1483	1484	1485	1486	1487	1488	1489	1490	1491	149
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IT POLICY

This Policy is intended to promote effective communication and working practices. This Policy deals with the use (and misuse) of computer equipment, e-mail, the internet, telephones, voicemail, fax machines, copiers, scanners, CCTV, and electronic key fobs and cards.

You are expected to protect our electronic communications systems and equipment from unauthorised access and harm at all times. Failure to do so may be dealt with under our Disciplinary Procedure and, in serious cases, may be treated as gross misconduct leading to summary dismissal.

Equipment security and passwords

If you are authorised to access our computer equipment you are responsible for the security of the equipment allocated to or used by you, and must not allow it to be used by anyone other than as permitted.

Systems and data security

You should not delete, destroy or modify existing systems, programs, information or data which could have the effect of harming our business or that of our customers or exposing us or them to risk.

You are prohibited from downloading or installing software from external sources. This includes software programs, instant messaging programs, screensavers, photos, video clips and music files. Incoming files and data should always be virus-checked by you before they are downloaded. The following must never be accessed from Company computers unless specifically required for business purposes: online radio, audio and video streaming, instant messaging and webmail (such as Hotmail or Yahoo) and social networking sites (such as Facebook, Bebo, Second Life, YouTube, Twitter). This list may be modified from time to time.

We may monitor e-mails passing through our system for viruses. You should exercise caution when opening e-mails from unknown external sources or where, for any reason, an e-mail appears suspicious. We should be informed immediately if a suspected virus or any corrupted information is received. We reserve the right to block access to attachments to e-mails. We also reserve the right not to transmit any e-mail message.

E-mail etiquette and content

We do not in any circumstances permit use of our email to send personal emails.

E-mail is a vital business tool, but an informal means of communication, and should be used with great care and discipline. Correspondence sent by e-mail should be written as professionally as a letter or fax. You should ensure that the content of your email is factually correct.

You should not send abusive, obscene, discriminatory, racist, harassing, derogatory or defamatory e-mails. Anyone who feels that they have been harassed or bullied, or are offended by material received from a colleague via e-mail should inform us immediately.

You should take care with the content of e-mail messages, as incorrect or improper statements can give rise to claims for discrimination, harassment, defamation, breach of confidentiality or breach of contract. You should assume that e-mail messages may be read by others and not include anything which would offend or embarrass you or any reader if it found its way into the public domain.

In general, you should not:

- Send or forward private e-mails at work which you would not want a third party to read;
- Send or forward chain mail, junk mail, cartoons, jokes or gossip;
- Agree to terms, enter into contractual commitments or make representations by e-mail;
- Download or e-mail text, music and other content on the internet subject to copyright protection;

Send messages from someone else's computer or under an assumed name unless specifically authorised (and you should take adequate precautions to prevent this); or

Send confidential messages via e-mail or the internet, or by other means of external communication which are known not to be secure.

Failure to comply with our email code of conduct may amount to gross misconduct and summary dismissal.

Use of the internet

Use of the internet is restricted to work use only.

You should not access any web page or any files (whether documents, images or other) downloaded from the internet which could, in any way, be regarded as illegal, offensive, in bad taste or immoral or be of a kind described in paragraph 61.4. While content may be legal in the UK, it may be in sufficient bad taste to fall within this prohibition. As a general rule, if any person (whether intended to view the page or not) might be offended by the contents of a page, or if the fact that our software has accessed the page or file might be a source of embarrassment if made public, then viewing it will be a breach of our IT Policy. Such actions may also, in certain circumstances, amount to a criminal offence.

You should not under any circumstances without consent use our systems to participate in any internet chat room, post messages on any internet message board or set up or log text or information on a blog or wiki, even in your own time.

You must not discuss the Company, or our service users or their families, or our staff, or your work, or any confidential information or trade secrets, or make derogatory or detrimental comments about your work, your colleagues our customers, or publish any unauthorised photographs of our customers on Facebook, Bebo, Twitter or any other social networking sites or media or to the public generally.

Company telephones

Land line telephones are essential for our business. Incoming personal calls are allowed only in the case of an emergency. Personal outgoing (non-business) calls should be avoided and, where this is not possible, such calls should be kept short. You should discourage your friends and relatives from either calling on you in person or by telephone except in an emergency.

Mobile telephones

Mobile telephones and the use of text messages should only be used in the performance of your duties. Mobile telephones must not be used for personal reasons during working time.

Any breach of this policy may render you liable to our Disciplinary Procedure and may be considered as gross misconduct.

Use of mobile phones whilst driving

You should not use a mobile phone whilst driving even if hands-free equipment is available. You should either switch off the phone whilst driving or let your message service answer all calls. If accompanied, a colleague can answer all calls. If you wish to make or receive calls whilst driving a vehicle, you should pull over to the side of the road, park the vehicle and switch off the engine before using the mobile phone.

Friends and relatives contact

You should discourage your friends and relatives from either calling on you in person or by telephone except in an emergency.

Personal mobiles

If you bring your personal mobile into work you should ensure that it is kept switched off or turned to silent during working hours and that it is only used during authorised work breaks. During working hours the use of personal mobiles for any purpose is strictly prohibited. Any breach may be considered as gross misconduct.

APPENDIX 4

Elliot's Hill are committed to putting data privacy and protection at the front and centre of the business.

We reserve the right to update The Data Protection and General Data Protection Regulations (GDPR) policy at any time, and we will provide you with an updated version of the policy which constitutes the privacy policy when we make any substantial updates. We also notify you in other ways from time to time about the processing of your personal information.

If you have any questions about the privacy notice contained in The Data Protection and General Data Protection Regulations (GDPR), please contact **Jo Swift, Data Protection Officer**.

Signed (employee):

Date:

History

The history of the world is a long and complex one, spanning thousands of years and encompassing a wide range of cultures and civilizations.

One of the earliest and most influential civilizations was the Mesopotamian, which gave rise to the first written language, cuneiform, and the first cities.

The ancient Greeks and Romans were also major contributors to the history of the world, with their philosophies, laws, and art influencing the modern world.

The Middle Ages saw the rise of the European empires, which expanded their influence across the world, leading to the discovery of the Americas and the establishment of global trade routes.

The modern world is a product of the Industrial Revolution, which brought about unprecedented technological and social changes.

The 20th century has been a period of great conflict and change, with the world facing the challenges of war, nuclear weapons, and environmental degradation.

The future of the world is uncertain, but it is clear that we must work together to address the challenges we face and create a better world for all.

The history of the world is a testament to the resilience and creativity of the human spirit, and it is a source of inspiration and hope for the future.

The history of the world is a story of progress and achievement, and it is a story that we must continue to write.

The history of the world is a story of the human experience, and it is a story that we must all share.

The history of the world is a story of the human race, and it is a story that we must all be proud of.

The history of the world is a story of the human soul, and it is a story that we must all cherish.

The history of the world is a story of the human heart, and it is a story that we must all love.

The history of the world is a story of the human mind, and it is a story that we must all explore.

The history of the world is a story of the human body, and it is a story that we must all understand.

The history of the world is a story of the human spirit, and it is a story that we must all embrace.

The history of the world is a story of the human race, and it is a story that we must all be proud of.

elliotshill
We **Care** About People



REPAYMENT OF TRAINING COSTS

1. If you are provided with training in the course of your employment, you undertake that on termination of your employment for whatever reason, you may be required (except with the consent of a Director) to repay the Company as follows:
 - a. 100% of the initial mandatory training costs, up to a maximum of £750, if your employment terminates during the period of 12 months immediately after any training has been completed;
 - b. 50% of the initial mandatory training costs, up to a maximum of £375, if your employment terminates more than 12 but no more than 18 months after any training has been completed; or
 - c. Thereafter, no repayment will be required.
2. You may be required to repay up to 100% of any costs, up to a maximum of £180, incurred by the Company on your behalf at any time if you are registered for, or provided with training, or are required to train, for the Diploma in Health and Social Care, or Advanced Certificate in Positive Behavioural Support, or internal training, but do not attend or complete the course.
3. When your line manager informs you that a place has been booked for you on a training course, it is your responsibility to ensure that you attend. If you are unable to attend, you must inform your line manager, giving as much notice as possible. Your line manager will cancel the booking and arrange for you to attend the training on an alternative date.

If you fail to attend a training course that has been booked for you without giving your line manager prior notice, you will be charged a £35.00 administration fee, which will be deducted from your next salary payment.

Signed (employee):

Date:

Stolle

Stolle, Hans

Hans Stolle, geb. am 1. März 1894 in Berlin, ist ein deutscher Schriftsteller und Dramatiker. Er ist der Sohn des bekannten Schauspielers Hans Stolle.

Stolle studierte zunächst Rechtswissenschaften an der Universität Berlin, wechselte jedoch später zur Literaturwissenschaft. Er war Mitglied der Dada-Bewegung und des Expressionismus.

Seine bekanntesten Werke sind die Dramen "Die Nacht der Wölfe" (1920) und "Die Wölfe von Berlin" (1921). Er war auch als Übersetzer tätig.

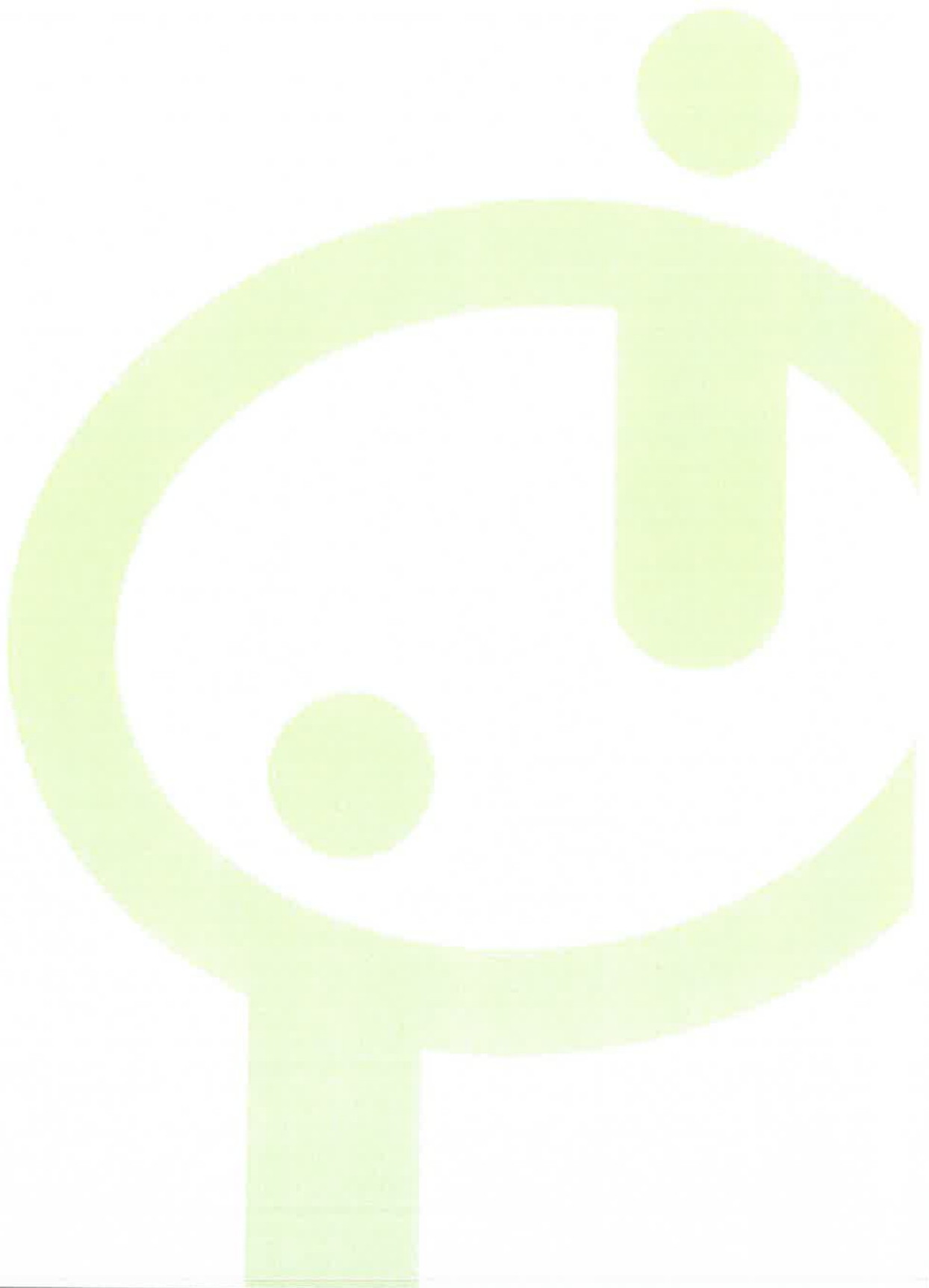
Stolle starb am 1. März 1974 in Berlin.

Stolle war ein wichtiger Vertreter der literarischen Avantgarde in Deutschland. Seine Werke sind heute noch in der Theaterwelt und in der Literaturkritik präsent.

Seine Dramen sind bekannt für ihre radikale Form und ihre gesellschaftskritischen Aussagen. Stolle war ein wichtiger Vertreter der literarischen Avantgarde in Deutschland.

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1. étoile

(S31/2) POLICY ON PROFESSIONAL BOUNDARIES

1. Introduction

- 1.1. The purpose of this policy is to identify the principles and values guiding the professional relationship of Elliots Hill Care Ltd and its staff towards our customers and their relatives, friends, visitors and representatives.
- 1.2. Elliots Hill Care Ltd is committed to complying fully with the requirements of *The National Minimum Standards for Care Homes for Younger Adults 2002*, specifically Standards 22, 27, 23 and 31.
- 1.3. This policy should also be read in conjunction with The Care Council for Wales "Codes of Practice" for social care workers and for the employers of social care workers.

2. Policy Statement

- 2.1. Elliots Hill Care Ltd strives to ensure that staff at all levels behave in a manner that observes professional boundaries in relationships with our customers and their relatives, friends, visitors and representatives. It is our belief that behaviour outside of these boundaries should be regarded as abusive and a reason for disciplinary action.
- 2.2. The company recognises that it is often difficult to draw precise lines defining appropriate behaviour, so we encourage staff to be transparent in their dealings with service users and others and to discuss with managers any ambiguities which arise.
- 2.3. The starting point is that the needs of our customers should be at the centre of our care practice; any relationship which might threaten that objective should be questioned.

3. The Parties Involved

- 3.1. **Staff**
This policy applies to all staff of Elliots Hill Care Ltd, including temporary staff and volunteers, not only those who have regular contact with service users in a care-giving capacity.
- 3.2. **Customers**
The term service user is used in this policy to include current service users, past service users and anyone whose contact with Elliots Hill Care Ltd is concerned with their being or having been a user or potential user of services.

3.3. People associated with customers

This policy includes relationships with people directly associated with customers in a personal capacity – their relatives, friends, visitors and representatives.

4. Professional Boundaries

- 4.1. Professional relationships must be distinguished from personal relationships. Although we believe that staff can quite properly gain satisfaction from developing and sustaining relationships with customers, the key consideration should always be the needs of the customer rather than the personal or mutual satisfactions which characterise personal relationships.
- 4.2. Putting the needs of the customer first will on occasions require staff to avoid allowing a relationship to develop a dimension or to a degree which they personally would find satisfying, in order to safeguard the interests of customer, which must remain paramount.
- 4.3. Any member of staff who feels that a relationship is developing which might be judged inappropriate, should discuss the situation with their manager. The action to be taken may include varying the staff member's duties in order to limit contact with that person, discussing the situation frankly with the person in order to re-establish appropriate boundaries, or in extreme circumstances controlling an individual's visits to the home or moving the staff member to another setting.

5. Professional Codes of Practice

- 5.1. All staff should be familiar with and comply with the code of conduct and practice of the Care Council for Wales (CCW) copies of which are supplied to all staff on commencing employment.
- 5.2. The Code of Professional Practice for Social Care provides criteria to guide everyday practice and the standards that support workers are expected to meet.
- 5.3. As an employer of social care workers, Elliots Hill Care Ltd will promote the Code of Professional Practice for Social Care and take it into account in making decisions about the conduct and practice of our staff.
- 5.4. Staff registered with other professional bodies related to social care may also be subject to the codes of practice of those organisations.
- 5.5. Breaches of these codes by staff employed by Elliots Hill Care Ltd will be subject to disciplinary action and Elliots Hill Care Ltd will cooperate with any action taken by a regulatory body.

24/11/15

Dear Sir,
I am writing to you regarding the matter of the 24/11/15.

Yours faithfully,

I am writing to you regarding the matter of the 24/11/15.

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6. Action outside the Work Situation

- 6.1. Although Elliots Hill Care Ltd does not in general seek to regulate the private behaviour of staff, we recognise that on occasions a staff member's behaviour away from work may call into question their suitability to work in social care services.
- 6.2. It is therefore the responsibility of all staff to behave, both at work and outside, in ways which uphold their own credibility and Elliots Hill Care Ltd's reputation. Actions or behaviour that may cause damage to the reputation of Elliots Hill Care Ltd may be subject to action under the Disciplinary Policy.

7. Training

- 7.1. All staff will be provided with training in maintaining professional boundaries as part of their induction programme. Further training will be carried out in the workplace and subject to individual and organisational needs identified.

This policy will be reviewed annually.

Signed (employee):

Date:

et al.

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**AGREEMENT TO DISAPPLY THE
TELEPHONE AGREEMENT**

This Agreement is made between:

Elliot's Hill Care Ltd
Great Elliot's Hill
Crowhill Road
Haverfordwest
SA62 6HT

and hereby states as follows:

Following recent European rulings on the law of privacy and the rights of the individual, the practice of phoning staff either at their home or on personal mobiles may be construed as an invasion of privacy.

The nature of the work undertaken sometimes means a member of staff has to contact another to ensure a care service is provided or provided.

In order that the practice of making relevant and pertinent phone calls may continue would you be kind enough to sign the attached giving your consent.

Signed (employee):

Date:

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**AGREEMENT TO DISAPPLY THE
48 HOUR WORKING WEEK**

This Agreement is made between:

Elliot's Hill Care Ltd
Great Elliot's Hill
Crowhill Road
Haverfordwest
SA62 6HT

and hereby states as follows:

The Working Time Regulations 1998 provide that an employer is required to take all reasonable steps to ensure that workers do not work more than an average of 48 hours a week over a 17 week period. However, a worker may choose to agree to work more than the 48 hour average weekly limit.

The Company and the Employee hereby agree that the 48 hour average weekly limit shall not apply to the Employee. This Agreement will remain indefinitely. The Employee [or the Company] may terminate this Agreement at any time by giving not less than [three months] written notice to the Company (or) [to the other].

Signed (employee):

Date:

Chlorine

Atomic Weight: 35.453
Atomic Number: 17

Chlorine is a chemical element with the symbol Cl and atomic number 17. It is a halogen and is found in the periodic table in group 17. Chlorine is a yellow-green gas at room temperature and is highly reactive. It is used in a variety of applications, including the production of bleach, disinfectants, and plastics. Chlorine is also an essential nutrient for many organisms, particularly for the synthesis of certain amino acids and nucleic acids. The element was first discovered by Carl Wilhelm Scheele in 1774, and its name is derived from the Greek word 'chloros', meaning green.

Chlorine is a highly reactive element, and it is found in nature as a diatomic molecule (Cl₂). It is a strong oxidizing agent and is used in a variety of industrial processes. Chlorine is also used in the production of many common household products, such as bleach and disinfectants. The element is also used in the production of plastics, particularly polyvinyl chloride (PVC). Chlorine is an essential nutrient for many organisms, and it is found in a variety of biological processes.

PERSONAL INFORMATION SHEET

1. DETAILS OF WORKER

Surname:	First Names:
Address:	
Post Code:	Marital Status:
Passport Number:	Email Address:
Date of Birth:	NI Number:
Home Telephone:	Mobile Telephone:
Nationality:	Ethnic Origin: White European / Afro Caribbean / Asian / Other

2. DETAILS OF WIFE/ HUSBAND/ PARTNER/ NEXT OF KIN

Surname:	First Names:
Address:	
Post Code:	Relationship to you:
Home Telephone:	Mobile Telephone:

3. DETAILS OF MEDICAL PRACTITIONER

Name:	Practice:
Address:	
Telephone:	

4. IN EMERGENCY PLEASE NOTIFY

Please fully complete both sections, bearing in mind that the second nominee will only be contacted should the first nominee be unobtainable)

FIRST	SECOND
Mr/Mrs/Miss/Ms:	Mr/Mrs/Miss/Ms:
Whose relationship to me is:	Whose relationship to me is:
Address:	Address:
Daytime Telephone:	Daytime Telephone:
Evening Telephone:	Evening Telephone:

5. BANK DETAILS

Name of Bank:	Name account held in:
Sort Code:	Account Number:

6. NVQ

Do you hold an NVQ Level 2 or other similar qualification? (please detail)

7. PAYROLL DETAILS

Student Loan Type (if applicable):	
☐ Type 1 (If you lived in Scotland or NI when you started your course, or if you lived in England or Wales and started before Sept 2012)	
☐ Type 2 (If you lived in England or Wales and started your course after 1st Sept 2012)	
Do you have a current P45?	Y / N If yes, please enclose with this form. If no, please complete attached form P46

WORKER'S	DATE:
-----------------	--------------

2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

10/10/2011

SIGNATURE:



Interview Questions – Support Worker

Name:

Date:

1. Tell us about a little bit about you, your hobbies, interests and what you have been doing in the last six months.
2. What do you have to offer our company and the people we support? Please tell us some of your strengths and weaknesses.
3. Can you tell us about a time when you've contributed to effective team working and what was your role in this?
4. What do you think are the most important factors to ensure successful team work?
5. Firstly, do you understand what we mean by Challenging Behaviour? If so, please could you give us some example as to what Challenging Behaviour might be?
6. Sometimes the individuals we support show behaviour that challenges. Will you be able to cope with individual's difficult and sometimes aggressive behaviour, and how would you deal with an individual in this situation?
7. Tell me about a time when you had to work under pressure, how did this pressure situation arise, what did you do?
8. What is your understanding of confidentiality?
9. What sort of customer information do you think should be kept confidential and in what circumstances might you need to disclose information that a customer tells you?
10. Sometimes in this role you will need to work with the minimum of supervision. Describe a recent example which proves your ability to work on your own to achieve an end goal.
11. Have you any experience in supporting people with personal care? If not, would you have any problems with supporting people with personal care?
12. What steps would you need to take to maintain a customer's dignity whilst carrying out personal care?

13. Some of the individuals that we support have difficulty in communicating, how would you go about trying to communicate with someone who has communication barriers?
14. As a support worker what would you do if you saw a work colleague doing something that you thought was bad practice?
15. Scenario – Reporting Abuse
16. What do you know about our Company, and what has attracted you to apply here?
17. Do you currently possess any of the following-?
- 3 Years Care experience- (only valid until 31/03/20)
 - NVQ Level 2/3/5 in Health and Social Care (adults), or Level 2/3 Diploma in Health and Social Care
18. If you have not completed the Diploma Level 2, you will be required to complete an online Principles and Values Award in order to allow you to register. This award consists of completing one workbook and a multiple choice test. There is a small fee of £20 per year for registration with SCW. All new starters must also complete induction training, made up of classroom based and online training. The online training consists of 24 modules that take up to an hour each and must be completed within 12 weeks.
19. Do you own a Smart phone/Android and are confident using it?
(Once we enforce our new app all Support Workers will be using their personal Phones to access service user's details and complete daily records)

elliots^{hill}

Appendix 5

CELEBRATING 30 YEARS

NEW STARTER INFORMATION PACK

Penfynnon
Hawthorn Rise
Haverfordwest
Pembrokeshire
SA61 1SB

01437 764720

2020 VERSION 1



Contents

Welcome

Our Values

Organisational Chart

Employee Directory

Useful Information

Yammer

BVS Online Training

Policies & Procedures

Pay

Pension

About Us

Welcome to Elliots Hill Care Ltd. We are pleased to have you as part of our team. The work we do is important, as it is life changing for many of our customers. This pack is set out to give you some helpful information as a 'new starter' and to ease you into your new role at Elliots Hill.

Elliots Hill Care Ltd provides care and support for people who require some assistance to look after themselves. We can support children, young people and adults. We can meet the needs of adults with a range of needs, including physical disabilities, frailty, learning disabilities, acquired brain injury and mental health issues. We can manage the changing needs of people, including palliative care.

Our Values



Caring

Our principle focus is on the people that receive and deliver our care



Happiness

Being happy makes the lives of our service users and the people around us better



Integrity

We act with integrity at all times and will always do the right thing, no matter how difficult that may be



Learning

We embrace change and always want to learn more



Pride

We know we are good at what we do and are proud to be part of an organisation that pursues excellence

Employee Directory

**Registered Manager
Domiciliary**

Office Number
01437 764720

 dave.massey@elliottshill.co.uk

**Registered Manager
Residential**

**Residential Care
Home - Crow Hill**
01437 767975

 donna.beavis@elliottshill.co.uk

Area Managers

 laura.bues@elliottshill.co.uk

 sarah.lumsden@elliottshill.co.uk

 mikinda.Hawkins@elliottshill.co.uk

 neil.roberts@elliottshill.co.uk

Human Resources

 hrrsupport@elliottshill.co.uk

Training

 jo.swift@elliottshill.co.uk

Yammer

Yammer is a social networking service used for private communications within an organisation. Yammer also allows Elliots Hill Care Ltd to improve:

- Team communication
- Productivity
- Knowledge sharing
- Employee engagement
- An area for staff to ask questions.

Yammer will enable you to send direct messages to members of the management team, and will keep you informed of any changes, job opportunities and general good practice around the company.

How to create your Yammer account

- Provide email address on new starter paperwork
- HR Support will email you a Yammer invitation once employment has commenced
- Open your email on internet browser, not email app. This email may be in your junk/spam inbox. (Please note that for the app to work the initial invitation must be opened via the web browser)
- Open Yammer via link in email on internet browser not app
- Input information
- Download Yammer app either the Play store (android phone) or App store (iPhone)
- Log in using account details you just set up.
- Once you have been set up on Yammer, you will be invited to join the relevant Yammer group for your working area.

BVS- Online Training

When you commence work with Elliots Hill, you will need to complete a range of online training modules on the BVS website. These modules form part of the induction training for social care workers.

You will need to complete these modules within 3 months of commencing work. Modules can be completed during work time by using the designated computer, or additionally if this is not possible and training is completed outside of working hours, you will be paid for 45 minutes to complete each module.

BVS User Guide

Website: <https://bvs.kineoportal.co.uk/>

Username: firstnamesurname (all in lower case).

Password: Care123

Please change your password to something memorable for you when you log in for the first time.

BVS Modules

- Death, dying and bereavement
- Develop as a worker
- Dignity and respect
- Effective communication 1
- Effective communication 2
- Emergency first aid in the workplace
- Equality, diversity and inclusion
- Home care 1 – The principles of person centred care
- Home care 10 – Infection prevention and control
- Home care 2 – Role of the home carer
- Home care 4 – Moving and handling
- Home care 5 – Health and safety
- Home care 6 – Fire safety
- Home care 7 – Food hygiene
- Home care 8 – Medication
- Home care 9 – Safeguarding others
- Mental capacity act in practice
- Nutrition and well-being
- Pressure ulcer prevention
- Raising concerns and whistle-blowing
- Safeguarding children in social care settings
- Understanding dementia

Social Care Wales Registration

As of April 2020, it is a requirement for Social Care Workers working in Wales to be registered with Social Care Wales (SCW).

There are two ways to register with SCW.

1. Register with a qualification

For workers who have a Level 2 or 3 qualification in Adult health and social care (Diploma, QCF or NVQ) or equivalent.

What you need to do:

- Check that your qualification is accepted for registration
- Apply to register on SCWonline
- Provide us with a copy of the relevant certificate

2. Register if you don't have a qualification or the required experience

For workers who do not hold the above qualifications and have not worked in a relevant social care role for three of the past five years.

What you need to do:

- Complete the online Social Care Wales Principles and Values Award course and assessment (adults or children and young people). The new course and assessment are based on the first two sections of the all-Wales induction framework for health and social care. We will invite you to complete this via email upon commencing employment with us.
- When you have successfully completed the assessment, use your certificate as evidence to support your application to register.
- Once registered, you will need to complete a required qualification by the time you have to renew your registration in three years' time.

Social Care Wales Registration

What is the registration fee?

The registration fee is £20 and is to be paid by the employee. There will be a fee increase for the following years:

£25 in 2020/21

£30 in 2021/22.

For further information please visit: <https://socialcare.wales/registration>

Policies & Procedures

Elliot's Hill Ltd policies and procedures can be located within the employee handbook which can be accessed on Yammer under 'Network Resources', or alternatively as a hard copy within each area of work or on the designated staff computer. Please ensure that you familiarise yourselves with these policies at your earliest convenience. A hard copy of the handbook can also be located within the main office.

Pay

You will be paid four weekly and on the fourth Friday of every month. Once your employment has commenced, you will receive an email from payroll (payroll@elliottshill.co.uk). Your payslip will be sent as a PDF attachment, to access this you will need to enter your date of birth in the following format: DD/MM/YY (8 characters including forward slashes). As per government requirements, your payslip is itemised.

Rates of Pay

- Unqualified Support Worker (Probation Rate) - £8.72
- Qualified Support Worker (Probation Rate) - £8.77
- Unqualified Support Worker (Standard Rate) - £8.77
- Qualified Support Worker (Level 2/3)- £9.01
- Waking nights – Probation £8.28 p/h / Standard £8.42 p/h / Qualified £8.66 p/h
- Sleepovers:
 - 1 - £69.76
 - 2 - £78.48
 - 3 - £87.20
- Training -£8.72
- Mileage - 35p per mile
- Customer Holiday - £8.72

Pension

We provide a company pension scheme with a company called NOW Pensions. The employee pays 5% into the pension, and the employer pays 3%.

PROBATION REVIEW FORM FOR SUPPORT STAFF

MANAGERS PLEASE NOTE:

You are required to submit a copy of this form to HR to keep on the personnel file of the employee. You **MUST** seek the advice of HR as soon as possible if difficulties arise during the probationary period which mean that extending the probationary period and/or non-confirming the employee in post are possible outcomes. Non-reporting will result in the assumption that the employee's probation period is progressing satisfactorily.

Please have Job Description available at each meeting.

The line manager should ensure that the employee is given a copy of this document at each stage of their probation and should retain the original to monitor progress against set objectives at follow-up meetings.

Probation Record

Employee name:		
Job Title:		
Department / Section:		
Start Date:		
Line Manager:		
	Date Due	Please tick when completed
Initial Meeting		
2-month review:		
4-month review:		
6-month review:		

PART 1: Initial meeting

This section should be completed by the line manager within a week of the employee commencing their employment.

SECTION A: Objectives

The line manager should identify specific objectives for the employee (for 2, 4 and 6 months, as appropriate) These will be statements of what should be achieved during the probationary period, including indicators of success and timescales for achievement.

Week 1

- Day One/ Induction Checklist Completed
- Customer Specific Training Booked By Line Manager (if required)

2 Months

- Attend Induction Day
- Attend all Training

4 Months

- Attend all Training
- Complete Induction Portfolio

6 Months

- Attend all Training
- Enrol on Diploma After Induction Portfolio Is Completed and Submitted (only applies if employee passes probation)

At All Times

- Good attendance
- Punctual

- Follow sickness and absence reporting procedure
- Attend training as required

SECTION B: Development Plan

To support the employee in achieving these objectives, the line manager should identify any training and development needs and specify how and when these needs will be addressed during the probationary period.

2 Months

- Attend Induction Day– Training schedule with dates on is provided to line manager and employee
- Attend Training – Training schedule with dates on is provided to line manager and employee

4 Months

- Attend Training - Training schedule with dates on is provided to line manager and employee
- Complete Induction Portfolio **within 12 weeks** – Supported by line manager and Jo Swift

6 Months

- Attend Training - Training schedule with dates on is provided to line manager and employee
- Enrol on Diploma After Induction Portfolio - Form issued on completion of probation. Speak to line manager and Jo Swift

Employee's Signature:	
Manager's Signature:	
Date:	

PART 2 – First review (2 months)

To be completed by the Line Manager in discussion with the employee.

<i>(please tick)</i>	Improvement required	Satisfactory	Good	Excellent
Customer Care				
Administration				
Attendance				
Time Keeping				
Work relationships (team work and interpersonal communication skills)				
Competency in the role				

If any areas of performance, conduct or attendance require improvement please provide details below.

Where concerns have been identified, please summarise how these will be addressed during the remaining period of probation.

Summarise the employee's performance and progress over the period

Have the objectives identified for this period of the probation been met?	YES / NO	If NO, what further action is required?	Review Date
Have the training / development needs identified for this period of the probation been addressed?	YES / NO		
Employee's Signature:			
Manager's Signature:			
Date:			

PART 3 – Second review (4 months)

To be completed by the Line Manager in discussion with the employee.

(please tick)	Improvement required	Satisfactory	Good	Excellent
Customer Care				
Administration				
Attendance				
Time Keeping				
Work relationships (team work and interpersonal communication skills)				
Competency in the role				
If any areas of performance, conduct or attendance require improvement please provide details below.				
Where concerns have been identified, please summarise how these will be addressed during the remaining period of probation.				
Summarise the employee's performance and progress over the period				

Have the objectives identified for this period of the probation been met?	YES / NO	If NO, what further action is required?	Review Date
Have the training / development needs identified for this period of the probation been addressed?	YES / NO		
Employee's Signature:			
Manager's Signature:			
Date:			

PART 4 – Final Review (6 months)

To be completed by Line Manager in discussion with the employee.

(please tick)	Improvement required	Satisfactory	Good	Excellent
Customer Care				
Administration				
Attendance				
Time Keeping				
Work relationships (team work and interpersonal communication skills)				
Competency in the role				
Have the objectives identified for the probationary period been met?	YES / NO	If NO, please provide details		
Have the training / development needs identified for the probationary period been addressed?	YES / NO			
Summarise the employee's performance and progress over the period				
Is the employee's appointment to be confirmed?				YES / NO
If NO, please provide reasons below and summarise what action has been taken to address any difficulties which have arisen during the probationary period.				
The employee may provide any comments about their experience of the probationary process here.				
Should the employee's probationary period be extended?				YES / NO

If YES, please provide reasons and, where appropriate, specify any areas of improvement required and how these will be monitored.

Length of the extension (max 3 months):	
New Probation Period completion date:	
Employee's signature:	
Manager's signature:	
Date:	

PLEASE NOTE: At the final review meeting, the line manager should confirm verbally whether or not the employee has successfully completed their probationary period. HR will **ONLY** issue a letter to confirm the outcome of a probationary period where this follows an extension of the probationary period or where significant difficulties have arisen during the probationary period. **You are required to submit the completed copy of this form to HR to keep on the personnel file of the employee**

Supervision Contract

Between Team Leader/Manager: _____
and Team Member : _____

- Supervision sessions will be organised every _____ week/month.
- If a supervision session is not held/attended then another will be organised within _____
- The Supervisor and the Supervisee will prepare for supervision.

The key areas to be addressed are:

1. to enable the worker to perform to the standards specified by the organisation
2. to ensure that the worker is clear about his/her roles and responsibilities
3. to ensure accountability for the work undertaken by the worker
4. to assist in the worker's professional development
5. to be a primary source of support for the worker
6. to provide regular and constructive feedback to the worker on their performance
7. to review the supervision contract annually

Arrangements agreed for supervision:

Frequency _____

Length _____

Location _____

Recording of supervision _____

Purpose for which the supervisory record may be used? _____

Storage of supervision record? _____

How will we agree the agenda for sessions? _____

Permissions that we have agreed:

If the Supervisee does not agree with an item, it should be recorded:

What will we do if there are difficulties working together?

Signed: _____

Date: _____

This agreement to be reviewed at (frequency): _____

Supervision Form - Administrators

Employee Name:		Supervisor Name:	
Date of this supervision:			
1. Actions from last supervision – use this section to write down what actions you agreed together last time. What progress has been made to achieve the actions? What else needs to be done?			
Action	Progress so far	What else needs to be done? By whom?	By when?
2. Wellbeing			
How have you been since your last supervision?			



3. Feedback

Value = Pride. We know we are good at what we do and are proud to be part of an organisation that pursues excellence.

3.1 What has gone well for you since the last time we met?	
3.2 Record what the person being supervised has done well since the last supervision.	
4. Work – ask if there are any issues to discuss with any of the following:	
4.1 Working hours	
4.2 Relationships with colleagues and other professionals	
4.3 Workload	
4.4 Place of work	
4.5 Other	
4.6 Record dates of any sickness absence since the last supervision	



5. Current Projects

5.1 List current projects and discuss progress.

[illegible]

6.2 Have there been any accidents or incidents to you or an individual in your care since the last supervision? Check these have been recorded and reported.	
7. Training <i>Value = Learning. We embrace change and always want to learn more.</i>	
7.1 What training have you attended since your last supervision?	
7.2 How has this training helped you in your job role?	N
7.3 Record dates and times of any upcoming training between now and the next supervision and remind the person being supervised. Highlight any outstanding training and book it in.	
7.4 Is there any training that you feel would help you in your job role?	
8. Annual leave	

10. Updates – record any information that you have given the person being supervised about changes to their work.



HR COORDINATOR APPRAISAL PREPARATION - APPRAISER

NAME			
JOB ROLE			
BRIEF DESCRIPTION OF JOB ROLE			
APPRAISAL PERIOD FROM:		TO:	
MANAGER			

	Comments	5 Exceptional	4 Above Average	3 Acceptable	2 Below Average	1 Failure to Meet Standards (action immediately required)
A. Administration What do you think are the main strengths and weaknesses of the administration skills and processes of the appraisee?		☐	☐	☐	☐	☐
B. Staff Management and Development What steps have been taken since the last appraisal to maintain and improve performance, knowledge and skills of the appraisee or their staff?		☐	☐	☐	☐	☐
C. Quality Management What steps have been taken to ensure the work area meets the required standards?		☐	☐	☐	☐	☐

	Comments	5 Exceptional	4 Above Average	3 Acceptable	2 Below Average	1 Failure to Meet Standards (action immediately required)
D. Advisory Support What has been done to maintain and improve the standard of advisory support provided?		☐	☐	☐	☐	☐

Preferred Action Plan

Include any training and development requirements you feel you may need

Area for development (i.e. A – Volume of work)	Action	By Whom	How	By When

General Comments

Job Description: Support Worker**Job Title: Support Worker****Reporting to: Team Leader****Location: As designated**

1.0 PURPOSE.....	2
2.0 ROLE RESPONSIBILITIES	3
2.1 CUSTOMER CARE	3
2.2 ADMINISTRATION	4
2.3 STAFF DEVELOPMENT	4
2.4 QUALITY MANAGEMENT	4
2.5 FINANCIAL MANAGEMENT	4
2.6 PLACE OF WORK.....	4
2.7 BUSINESS DEVELOPMENT	5
3.0 PERSON SPECIFICATION: SUPPORT WORKER	6
3.1 EDUCATION:	6
3.2 SKILLS:	6
3.3 EXPERIENCE:	6
3.4 COMPETENCIES:	6
3.4.1 Job Knowledge	6
3.4.2 Managing the Service (Work Effectiveness)	6
3.4.3 Communication.....	6
3.4.4 Effective Teams.....	6
3.4.5 People Management.....	6
3.4.6 Customer Focus.....	7

1.0 Purpose

The primary purpose of a Support Worker is to deliver a high quality service in accordance with the organisation's strategic objectives, policies and procedures and those of the Care and Social Services Inspectorate for Wales (CIW).

This role reports directly to the Team Leader.

The Support Worker has a responsibility and is contractually obliged to ensure they adhere to the Elliots Hill Care Ltd Staff Handbook and Care Council for Wales code of practice.

This job description details the key responsibilities of the role. However, it is expected that you will undertake additional tasks and take on additional responsibilities, appropriate to the role, in order to support the delivery of care and the business activities of Elliots Hill Care Ltd as directed by the line manager and the Senior Management Team.

2.0 Role Responsibilities

2.1 Customer Care

2.1.1 To maintain a caring environment for customers through high standards of professional practice that are conducive to the physical, emotional, social, intellectual and spiritual needs of the customer.

2.1.2 To ensure that each customer receives care appropriate to their individual need as dictated by the care plan and inform the Team Leader of any changes / improvements that could be made.

2.1.3 To ensure that customers' medications are administered as prescribed by the appropriate professional and recorded as required.

2.1.4 To contribute to the assessment of the needs of individual customers and to the formation of programmes to meet those needs. These programmes will include educational, social, vocational, physical, life skills and therapeutic activities. Support Workers are to support these activities and assist in recording and evaluating them.

2.1.5 To ensure all verbal and written complaints are reported to the Team Leader promptly and accurately in line with the complaints policy.

2.1.6 To ensure that all necessary records are complete, accurate, legible, filed and available for inspection by authorised persons when required.

2.1.7 To maintain a safe environment for customers in conjunction with Elliots Hill Care Ltd policies and procedures, including the Fire and Health and Safety regulations. To adhere to all control measures implemented as part of the risk assessment process.

2.1.8 To support other team members in developing an ethos that reflects customers' individual needs and that celebrates their individual differences and diversity, in accordance with equal opportunities legislation. To respect the customers dignity and rights of privacy as far as possible.

2.1.9 To attend internal and/or external case conferences, reviews and meetings as required.

2.1.10 To use only prescribed Positive Behaviour Management (PBM) techniques when carrying out physical interventions or removal of customers from potentially difficult and/or hazardous situations.

2.1.11 To undertake waking nights as required and/or sleep-over duties.

2.1.12 To ensure high standards of care practice are maintained throughout the service, it will be necessary to undertake a range of normal domestic, self-care and/or social skills tasks with customers, which may include: cooking; cleaning; washing; ironing; vacuuming; personal care and driving vehicles.

2.1.13 To carry out customers' personal care as required.

2.2 Administration

2.2.1 To carry out delegated administrative functions as and when required. These may include:

- 2.2.1.1 Customer's case records;
- 2.2.1.2 Financial records – including customers' personal money, clothing allowances, petty cash;
- 2.2.1.3 Medication records;
- 2.2.1.4 Vehicle checks;
- 2.2.1.5 Safety checks;
- 2.2.1.6 Other relevant functions;
- 2.2.1.7 Accurate completion of timesheets as required within the specified time

2.2.2 Maintain confidentiality for all areas of Elliotts Hill Care Ltd, its staff and work. The nature of the work within the service entrusts people with confidential information about customers their families/support workers and staff. Any breach of confidentiality will constitute gross misconduct.

2.3 Staff Development

2.3.1 To undertake appropriate professional training and development.

2.3.2 Participate in regular Supervision sessions with your Line Manager.

2.4 Quality Management

2.4.1 To work with the Quality Audit team to implement the quality assurance systems, procedures, policies and practices necessary to meet the required standards and regulations.

2.4.2 To assist with managerial spot checks, including out of hours, as dictated by the Registered Manager.

2.4.3 To ensure that all potential and actual issues and hazards are reported to the appropriate authority and Team Leader promptly, accurately and in writing.

2.5 Financial Management

2.5.1 To adhere to company policy on customer finances.

2.5.2 To monitor day-to-day expenditure within specified budgets.

2.6 Place of Work

2.6.1 In conjunction with the Team Leader, ensure the maintenance and security of the place of work in order to comply with regulations and standards of CIW, fire safety, environmental health, infection control, building control, planning and health and safety.

2.6.2 To report any hazards to the Team Leader

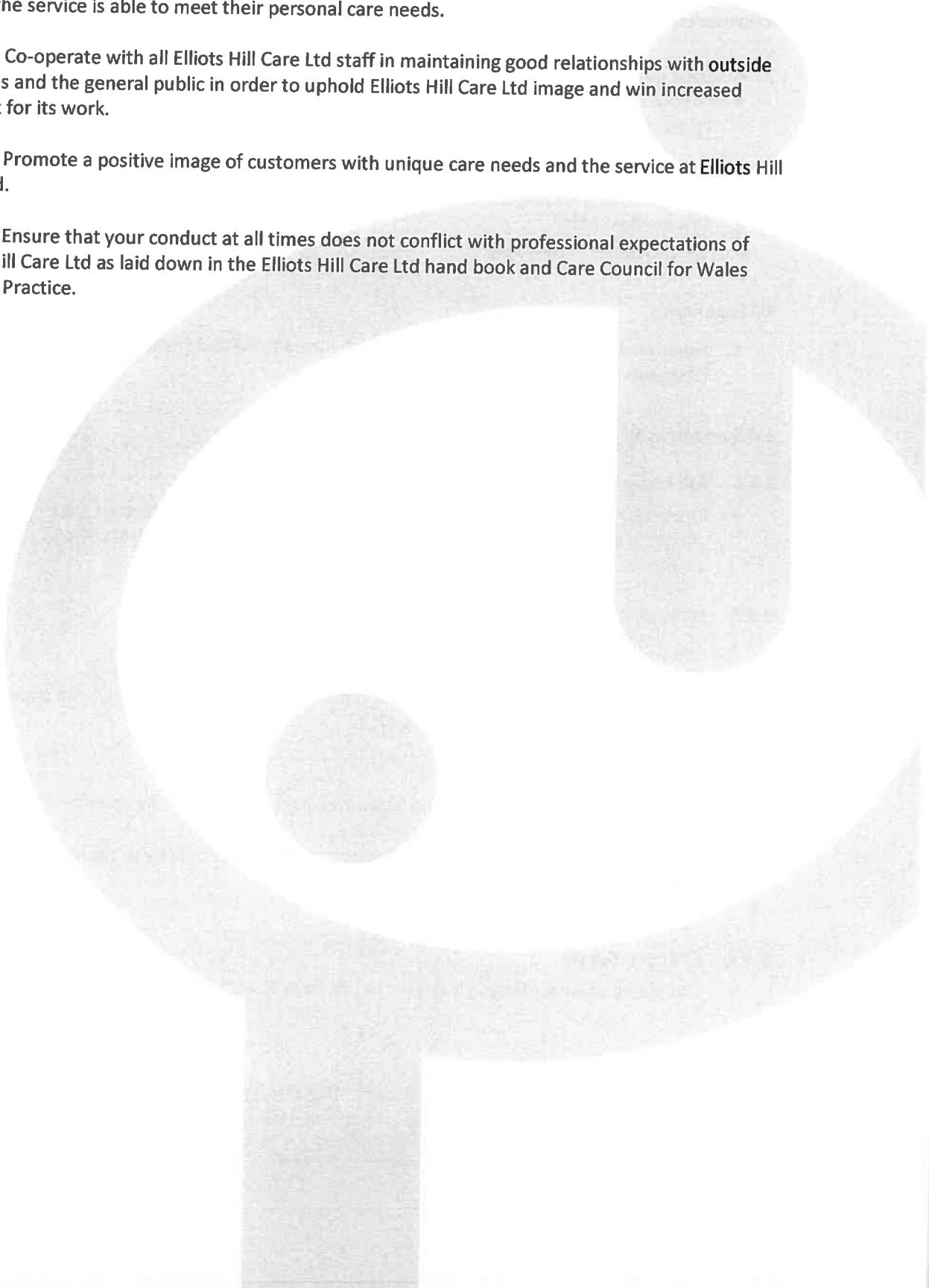
2.7 Business Development

2.7.1 To assist with introductory visits and meetings for prospective customers to enable them to make informed choices and decisions about the service suitability. All in order to evaluate whether or not the service is able to meet their personal care needs.

2.7.2 Co-operate with all Elliots Hill Care Ltd staff in maintaining good relationships with outside agencies and the general public in order to uphold Elliots Hill Care Ltd image and win increased support for its work.

2.7.3 Promote a positive image of customers with unique care needs and the service at Elliots Hill Care Ltd.

2.7.4 Ensure that your conduct at all times does not conflict with professional expectations of Elliots Hill Care Ltd as laid down in the Elliots Hill Care Ltd hand book and Care Council for Wales Code of Practice.



3.0 Person Specification: Support Worker

3.1 Education:

You will ideally hold:

- NVQ 2 Social Care
- Level 2 Diploma in Health & Social Care (Adults)
- Or be committed towards achieving one of the above within 18 months of employment

3.2 Skills:

- Driver - Desirable.
- Welsh speaker – Desirable

3.3 Experience:

- Experience of person centred planning, supported living and challenging behavioural needs - Desirable

3.4 Competencies:

3.4.1 Job Knowledge

- The ability to perform role responsibilities, demonstrating an understanding of technical, administrative and organisational requirements effectively applying knowledge and experience.

3.4.2 Managing the Service (Work Effectiveness)

- The ability to accept responsibility for all aspects of the role.
- The ability to ensure deadlines are met, anticipating and planning ahead.
- The ability to make sound and practical decisions which deal effectively with issues and are based on thorough analysis and diagnosis.

3.4.3 Communication

- The ability to communicate clearly, accurately and concisely, orally and in writing, to listen, comprehend and to check understanding.
- The ability to present ideas and information clearly and succinctly to superiors and peers.
- The ability to request clarification when needed.

3.4.4 Effective Teams

- The ability to work effectively as part of the team to achieve objectives.

3.4.5 People Management

- The ability to create and maintain open and constructive relationships with others, to listen carefully, respond helpfully and be sensitive to their needs.

3.4.6 Customer Focus

- The ability to look after the interests of all customers, internal and external (customers and their families, regulating and purchasing authorities) to ensure their wants, needs and expectations are met or exceeded.



SECTION F: DISCIPLINARY, GRIEVANCE, CAPABILITY AND WHISTLEBLOWING POLICIES AND PROCEDURES

80. DISCIPLINARY RULES

80.1 While working for us you should at all times maintain professional and responsible standards of conduct. In particular you should:

- (a) Observe the terms and conditions of your Contract of Employment;
- (b) Observe all our policies, procedures and regulations which are included in this Handbook or notified to you from time to time by any means;
- (c) Comply with our Health and Safety policy;
- (d) Comply with all reasonable instructions given to you;
- (e) Act at all times in good faith and in the best interests of the Company and our services users;
- (f) Comply with the Social Care Wales' Code of Professional Practice for Social Care Workers.

80.2 Failure to maintain satisfactory standards of conduct may result in action being taken under our Disciplinary Procedure.

Misconduct

80.3 The following are examples of matters that will normally be regarded as misconduct and will be dealt with under our Disciplinary Procedure:

- (a) Minor breaches of our policies;
- (b) Minor breaches of your Contract of Employment;
- (c) Damage to, or unauthorised use of, our property or our customers', their families' or employees' property;
- (d) Poor timekeeping;
- (e) Time wasting;
- (f) Persistent absenteeism without good reason;
- (g) Unauthorised absence from work;
- (h) Refusal to follow instructions;
- (i) Use of our telephones without our permission for personal calls;
- (j) Personal e-mail or internet usage without our permission;
- (k) Obscene, offensive or abusive language or other offensive or rude behaviour or objectionable or insulting behaviour to, or in the presence of, your colleagues, our customers, their families, or members of the public;
- (l) Negligence in the performance of your duties;
- (m) Unsatisfactory standards or output of work;
- (n) Failure to devote the whole of your time, attention and abilities to the Company and its affairs during your normal working hours; and
- (o) Failure to report immediately any damage to property or premises caused by you.

This list is intended as a guide and is not exhaustive.

Gross misconduct

80.4 Gross misconduct is a serious breach of contract and includes misconduct which, in our opinion, is likely to prejudice our Company or our reputation or irreparably damage the working relationship and trust between us. Gross misconduct will be dealt with under our Disciplinary Procedure and will normally lead to immediate dismissal without notice or pay in lieu of notice (summary dismissal).

80.5 The following are examples of matters that are normally regarded as gross misconduct:

- (a) Theft of money or property or unauthorised removal of our property or the property of a customer or colleague;

- (b) Fraud or forgery or other dishonesty;
- (c) Physical violence, assault, dangerous behaviour, bullying, abuse or intimidating behaviour including actual or threatened violence or behaviour which provokes violence;
- (d) Obscene language or seriously offensive or rude behaviour to colleagues, customers or their families;
- (e) Deliberate, malicious or serious damage to our property or to our buildings, fittings, equipment, or the property of a colleague, customer, your family or member of the public;
- (f) Serious misuse of our property, equipment, facilities e.g. vehicles, telephones, internet or misuse of our name;
- (g) Deliberately accessing internet sites containing pornographic, offensive or obscene material;
- (h) Serious insubordination or repeated or serious failure to obey instructions;
- (i) Deliberate or serious breaches of our standards/rules/regulations;
- (j) Grossly indecent or immoral behaviour or behaviour that brings us into serious disrepute;
- (k) Discrimination or harassment;
- (l) Having on your possession, being under the influence of, consuming, supplying or attempting to supply whilst at work or on work premises any alcohol or drugs;
- (m) Causing loss, damage or injury through serious negligence;
- (n) Serious or repeated breach or failure or wilful failure to comply with our health and safety rules or serious misuse of safety equipment or any serious act or omission which is likely to endanger your health and safety or that of our customers or their families;
- (o) Abandoning duty without notification or sleeping during working hours;
- (p) Serious breach of confidence, or unauthorised use or disclosure of confidential information or documentation or other business data of the Company's or our employees or customers to third parties, the press, media or the public generally or failure to ensure that confidential information in your possession is kept secure;
- (q) Conviction of a criminal offence that in our opinion may affect our reputation or our relationships with our staff, customers, their families or the public, or otherwise affects your suitability or legality to continue to work for us;
- (r) Serious neglect or dereliction of duties, or a serious or deliberate breach of your Contract of Employment or policies contained within this Handbook;
- (s) Knowing breach of statutory rules affecting your work or abuse of safety permit regulations or smoking prohibitions;
- (t) Failing to report knowledge of having an infectious, contagious or reportable disease or illness which might seriously endanger the health of other employees, customers or their families;
- (u) Unauthorised use, processing or disclosure of personal data contrary to our Data Protection Policy;
- (v) Giving or taking of any bribe in any form or by any manner or secret commission or favour whether in cash or in kind;
- (w) Accepting any gifts from our customers or their families without our prior approval save that inexpensive gifts as an occasional courtesy may be accepted;
- (x) Refusal to disclose any information required by your employment or any other information that may have a bearing on the performance of your duties;
- (y) Giving false information as to qualifications or entitlement to work in order to gain employment or other benefits;

- (z) Carrying out private work on our premises during working hours;
- (aa) Making untrue allegations in bad faith against a colleague or customer;
- (bb) Victimising a colleague who has raised concerns, made a complaint or given evidence or information under our Anti-harassment and Bullying Policy, Equal Opportunities Policy, Grievance Procedure, Disciplinary Procedure or otherwise;
- (cc) Serious misuse of our information technology systems contrary to our I.T. Policy;
- (dd) Undertaking unauthorised paid or unpaid employment during your working hours or working in competition with us;
- (ee) Taking part in activities which result in adverse publicity to ourselves, or which cause us to lose faith in your integrity; and
- (ff) Failure to disclose a criminal conviction/caution within the provisions of the Rehabilitation of Offenders Act.

This list is intended as a guide and is not exhaustive and in addition there may be other offences of similar gravity which would constitute gross misconduct. This list may be amended at any time.

81. DISCIPLINARY PROCEDURE

- 81.1 This procedure does not form part of your Contract of Employment. It is our policy to ensure that any disciplinary matter is dealt with fairly and that steps are taken to establish the facts and to give you the opportunity to respond before taking any formal action.
- 81.2 We reserve the right, during the first 24 months of your continuous service to take action without recourse, in full or in part, to the Disciplinary and Dismissal Procedure.
- 81.3 These rules ensure that disciplinary action is enforced in a uniform and consistent manner.
- 81.4 Minor conduct issues can often be resolved informally. Discussions will be held in private and without undue delay whenever there is cause for concern. Where appropriate, a note of any such informal discussions may be placed on your personnel file but will be ignored for the purposes of any future hearings.
- 81.5 In some cases an informal verbal warning may be given, which will not form part of your disciplinary records. Any decision to proceed in this way however is a matter for our discretion and will depend entirely on the circumstances in each case. Formal steps will be taken under this procedure if the matter is not resolved, or if informal discussion is not appropriate.
- 81.6 You will not normally be dismissed for a first act of misconduct, unless we decide it amounts to gross misconduct or you have not yet completed your probationary period.
- Confidentiality**
- 81.7 Our aim is to deal with disciplinary matters sensitively and with due respect for the privacy of any individuals involved. You must treat as confidential any information communicated to you in connection with an investigation or disciplinary matter.
- Investigations**
- 81.8 The purpose of an investigation is for us to establish a fair and balanced view of the facts relating to any disciplinary allegations against you, before deciding whether to proceed with a disciplinary hearing. The amount of investigation required will depend on the nature of the allegations and will vary from case to case. It may involve interviewing and taking statements from you and any witnesses, and/or reviewing relevant documents.
- 81.9 Investigative interviews are solely for the purpose of fact-finding and no decision on disciplinary action will be taken until after a disciplinary hearing has been held.
- 81.10 You do not have the right to bring a companion to an investigative interview.
- 81.11 You must co-operate fully and promptly in any investigation. This will include informing us of the names of any relevant witnesses, disclosing any relevant documents to us and attending investigative interviews if required.

- 81.12 If you fail to attend an investigatory disciplinary meeting without notice or good reason the investigation may proceed in the absence of any information provided by you and this could be taken into account in any future disciplinary decision.
- Criminal charges**
- 81.13 Where your conduct is the subject of a criminal investigation, charge or conviction we will investigate the facts before deciding whether to take formal disciplinary action.
- 81.14 We will not usually wait for the outcome of any prosecution before deciding what action, if any, to take.
- 81.15 A criminal investigation, charge or conviction relating to conduct outside work may be treated as a disciplinary matter if we consider that it is relevant to your employment or if the authorities consider it is relevant to the performance of your duties.
- Suspension**
- 81.16 In some circumstances we may need to suspend you from work. The suspension will be for no longer than is necessary, to investigate the allegations. We will confirm the arrangements to you in writing. While suspended you should not visit our premises or contact any of our customers, their families or our staff and if you do so you may be subject to further disciplinary action.
- 81.17 Suspension of this kind is not a disciplinary penalty and does not imply that any decision has already been made about the allegations. You will continue to receive your full basic salary and benefits during the period of suspension and you will remain bound by your Contract of Employment.
- 81.18 You must be available to attend investigations or disciplinary meetings at our request as part of the disciplinary process. You should also refer to our SOVA policy.
- Notification of a hearing**
- 81.19 Following any investigation, if we consider there are grounds for disciplinary action, you will be required to attend a disciplinary hearing. We will inform you in writing of the allegations against you, the basis for those allegations, and what the likely range of consequences will be if we decide after the hearing that the allegations are true. We will also include the following where appropriate:
- (a) A summary of relevant information gathered during the investigation;
 - (b) A copy of any relevant documents which will be used at the disciplinary hearing; and
 - (c) A copy of any witness statements. If any witnesses wish to remain anonymous you will be given an edited version of their witness statement.
- 81.20 We will give you written notice of the date, time and place of the disciplinary hearing. The hearing will be held as soon as possible, but you will be given a reasonable amount of time to prepare your case based on the information we have given you.
- The right to be accompanied**
- 81.21 You may bring a companion to any disciplinary hearing or appeal hearing under this procedure. The companion may be either a trade union representative or a colleague. You must tell us who your chosen companion is, in good time before the hearing.
- Procedure at disciplinary hearings**
- 81.22 If you or your companion cannot attend the hearing you should inform us immediately and we will arrange an alternative time. You must make every effort to attend the hearing. Failure to attend without good reason may be treated as misconduct in itself and we may have to take a decision based on the available evidence in your absence.
- 81.23 We may, at our discretion, postpone the hearing at your reasonable request if you require further time to prepare your case. Only 1 postponement or adjournment will be granted and only in cases where notice and a good reason have been given.

- 81.24 At the disciplinary hearing we will go through the allegations against you and the evidence that has been gathered. You will be able to respond and present any evidence of your own. Your companion may make representations and ask questions, but should not answer questions on your behalf.
- 81.25 You may ask relevant witnesses to appear at the hearing, provided you give us sufficient advance notice to arrange their attendance. You will be given the opportunity to respond to any information given by a witness. Where a thorough investigation has taken place and all witnesses have been interviewed as part of the investigation and those witness statements have been supplied to you in advance of the disciplinary hearing there will generally be no need to ask those witnesses to attend the disciplinary hearing.
- 81.26 We may adjourn the disciplinary hearing if we need to carry out any further investigations such as re-interviewing witnesses in light of any new points you have raised at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.
- 81.27 We will inform you in writing of our decision and our reasons for it, usually within one week of the disciplinary hearing. If we cannot make a decision in that time we will write to you to confirm that and with an estimated time scale to conclude matters.
- Disciplinary penalties**
- 81.28 **Stage 1 - First written warning.** A first written warning will usually be appropriate for a first act of misconduct where there are no other active written warnings on your disciplinary record.
- 81.29 **Stage 2 - Final written warning.** A final written warning will usually be appropriate for:
- (a) Misconduct where there is already an active written warning on your record; or
 - (b) Where there is already an active written warning on your record and you have failed to make the necessary adjustments or improvements to your performance or conduct; or
 - (c) Misconduct that we consider sufficiently serious to warrant a final written warning even though there are no other active warnings on your record.
- 81.30 **Stage 3 - Dismissal.** Dismissal will usually only be appropriate for:
- (a) Any misconduct during your probationary period; or
 - (b) Further misconduct where there is an active final written warning on your record; or
 - (c) Any gross misconduct regardless of whether there are active warnings on your record. Gross misconduct will usually result in immediate dismissal without notice or payment in lieu of notice (summary dismissal).
- 81.31 **Alternatives to dismissal.** In some cases we may at our discretion consider alternatives to dismissal. These will usually be accompanied by a final written warning. Examples include:
- (a) Demotion.
 - (b) A period of suspension without pay for a period not exceeding 14 days.
 - (c) Loss of seniority.
 - (d) Reduction in pay.
 - (e) A move to a different place of work.
- The effect of a warning**
- 81.32 Written warnings will set out the nature of the misconduct, the change in behaviour required, the period for which the warning will remain active, and the likely consequences of further misconduct in that active period.
- 81.33 A verbal warning will usually remain active for 6 months and a final written warning will usually remain active for 12 months. In exceptional cases verging on gross misconduct, a final written warning may state that it will remain active indefinitely. Your conduct may be

reviewed at the end of a warning's active period and if it has not improved sufficiently we may decide to extend the active period.

- 81.34 After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future disciplinary proceedings.

Appeals against disciplinary action

- 81.35 If you feel that disciplinary action taken against you is wrong or unjust you should appeal in writing, stating your full grounds of appeal, including whether you are appealing against the conduct of the hearing, its findings, the penalties imposed or a combination of these together with supporting evidence and/or reasons to a Director within 7 days of the date on which you were informed of the decision.
- 81.36 If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if your appeal is successful you will be reinstated with no loss of continuity or pay.
- 81.37 If you raise any new matters in your appeal, we may need to carry out further investigation. If any new information comes to light we will provide you with a summary including, where appropriate, copies of additional relevant documents and witness statements. You will have a reasonable opportunity to consider this information before the appeal hearing.
- 81.38 We will give you written notice of the date, time and place of the appeal hearing.
- 81.39 We reserve the right to call in a third party who has not been involved in the original disciplinary decision to hear your appeal.
- 81.40 The appeal hearing may be a complete re-hearing of the matter or it may be a review of the fairness of the original decision in the light of the procedure that was followed and any new information that may have come to light. This will be at our discretion depending on the circumstances of your case. In any event the appeal will be dealt with as impartially as possible.
- 81.41 We may adjourn the appeal hearing if we need to carry out any further investigations in light of any new points you have raised in appeal. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.
- 81.42 Following the appeal hearing we may:
- (a) Confirm the original decision;
 - (b) Revoke the original decision; or
 - (c) Substitute a different penalty.
- 81.43 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. There will be no further right of appeal.

82. CAPABILITY PROCEDURE

- 82.1 We aim to ensure that concerns over performance are dealt with fairly and that steps are taken to establish the facts and to give you the opportunity to respond at a hearing before any formal action is taken.
- 82.2 Performance issues will normally be dealt with informally first as part of day-to-day management. Where appropriate, a note of any such informal discussions may be placed on your personnel file but will be ignored for the purposes of any future capability hearings. The formal procedure will be used for more serious cases, or in any case where an earlier informal discussion has not resulted in a satisfactory improvement.
- 82.3 You will not normally be dismissed for performance reasons without previous warnings. However, in serious cases of gross negligence, or in any case where you have not yet completed your probationary period, dismissal without previous warnings may be appropriate. You may however be dismissed under this procedure where you no longer have the right to remain working in the sector or fail to obtain the relevant qualification or registration to do so in accordance with paragraph 7.

Notification of a capability hearing

- 82.4 If we consider that there are grounds for taking formal action over alleged poor performance, you will be required to attend a capability hearing. We will notify you in writing of our concerns over your performance, the reasons for those concerns, and the likely outcome if we decide after the hearing that your performance has been unsatisfactory.
- 82.5 We will also include any relevant documents, information or witness statements where appropriate.
- 82.6 We will give you written notice of the date, time and place of the capability hearing. The hearing will be held as soon as reasonably practicable, but you will be given a reasonable amount of time to prepare your case based on the information we have given you.

Right to be accompanied at hearings

- 82.7 You may bring a companion to any capability hearing or appeal hearing under this procedure. The companion may be either a trade union representative or a colleague. You must tell us who your chosen companion is in advance.
- 82.8 Your companion will not be allowed to answer questions on your behalf but you may confer privately with your companion at any time during the hearing.
- 82.9 If you or your companion cannot attend the hearing you should inform us immediately and we will usually arrange an alternative time. Only one postponement will be granted. You must make every effort to attend the hearing, and failure to attend without good reason and notice may be treated as misconduct in itself. If you fail to attend without good reason and notice we may have to take a decision based on the available evidence.

Procedure at capability hearings

- 82.10 At the hearing you may ask relevant witnesses to appear, provided you advise us in advance. You will be given the opportunity to respond to any information given by a witness.
- 82.11 The aims of a capability hearing will usually include:
- (a) Setting out the required standards that we believe you may have failed to meet, and going through any relevant evidence that we have gathered.
 - (b) Establishing the likely causes of poor performance including any reasons why any measures taken so far have not led to the required improvement.
 - (c) Identifying whether there are further measures which may improve performance.
 - (d) Where appropriate, discussing targets for improvement and a time-scale for review.
 - (e) If dismissal is a possibility, establishing whether there is any likelihood of a significant improvement being made within a reasonable time and whether there is any practical alternative to dismissal.
- 82.12 A hearing may be adjourned if we need to gather any further information or give consideration to matters discussed at the hearing. You will be given a reasonable opportunity to consider any new information obtained before the hearing is reconvened.
- 82.13 We will inform you in writing of our decision and our reasons for it, usually within one week of the capability hearing.

Stage 1 hearing: first written warning

- 82.14 Following a Stage 1 capability hearing, if we decide that your performance is unsatisfactory, we will give you a first written warning, setting out:
- (a) The areas in which you have not met the required performance standards.
 - (b) Targets for improvement.
 - (c) Any measures which will be taken with a view to improving performance.
 - (d) A period for review.
 - (e) The consequences of failing to improve within the review period, or of further unsatisfactory performance.

- 82.15 Your performance will be monitored during the review period and we will write to inform you of the outcome. If we are satisfied with your performance, no further action will be taken. If however, we are not satisfied, the matter may be progressed to a Stage 2 capability hearing or the review period may be extended.
- Stage 2 hearing: final written warning**
- 82.16 If your performance does not improve within the review period set out in a first written warning, or if there is further evidence of poor performance while your first written warning is still active, we may decide to hold a Stage 2 capability hearing. We will send you written notification as set out above.
- 82.17 Following a Stage 2 capability hearing, if we decide that your performance is unsatisfactory, we will give you a final written warning, setting out the same information as contained in a first written warning.
- 82.18 Your performance will be monitored during the review period and we will write to inform you of the outcome. If we are satisfied with your performance, no further action will be taken. If however, we are not satisfied, the matter may be progressed to a Stage 3 capability hearing or at our discretion the review period may be extended.
- Warnings**
- 82.19 Warnings will normally remain active for six months from the end of the review period, after which time they will be disregarded for the purposes of the capability procedure. After the active period, the warning will remain permanently on your personnel file but will be disregarded in deciding the outcome of future capability proceedings.
- Stage 3 hearing: dismissal**
- 82.20 We may decide to hold a Stage 3 capability hearing if we have reason to believe:
- (a) your performance has not improved sufficiently within the review period set out in a final written warning; or
 - (b) your performance is unsatisfactory while a final written warning is still active; or
 - (c) your performance has been grossly negligent such as to warrant dismissal without the need for a final written warning.
- 82.21 We will send you written notification of the hearing as set out above.
- 82.22 Following the hearing, if we find that your performance is unsatisfactory, we may consider a range of options including:
- (a) Dismissing you.
 - (b) Extending an active final written warning and setting a further review.
 - (c) Giving a final written warning (where no final written warning is currently active).
- 82.23 Dismissal will normally be with full notice or payment in lieu of notice, unless your performance has been so negligent as to amount to gross misconduct, in which case we may dismiss you immediately without notice or any pay in lieu.
- Appeals against action for poor performance**
- 82.24 If you feel that a decision about poor performance under this procedure is wrong or unjust you should appeal in writing, stating your full grounds of appeal, to a Director within five days of the date on which you were informed in writing of the decision.
- 82.25 If you are appealing against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if your appeal is successful you will be reinstated with no loss of continuity or pay.
- 82.26 We will give you written notice of the date, time and place of the appeal hearing. You may bring a companion with you to the appeal hearing as set out above.
- 82.27 Following the appeal hearing we may:
- (a) confirm the original decision;
 - (b) revoke the original decision; or
 - (c) substitute a different penalty.

- 82.28 We will inform you in writing of our final decision as soon as possible, usually within one week of the appeal hearing. There will be no further right of appeal.
- 82.29 We retain discretion in respect of capability procedures to take account of your length of service and to vary procedures accordingly. If you have a short amount of service, you may not be in receipt of any warnings before dismissal but you will retain the right to a hearing and you will have the right to appeal.

83. GRIEVANCE PROCEDURE

Who is covered by the procedure?

- 83.1 It is our policy that you should have a ready means of presenting complaints and grievances so that you can be assured of fair and equitable treatment.
- 83.2 This procedure does not form part of your Contract of Employment. It may be amended at any time and we may depart from it depending on the circumstances of any case.

Using the grievance procedure

- 83.3 Most grievances can be resolved quickly and informally through discussion. If this does not resolve the problem you should initiate the formal procedure.

Step 1: written grievance

- 83.4 You should put your grievance in writing and submit it, without unreasonable delay, to a Registered Manager unless the grievance is about a Registered Manager in which case you may submit it to a director.
- 83.5 The written grievance should set out the nature of the complaint, including any relevant facts, dates and names of individuals involved so that we can investigate it.

Step 2: meeting

- 83.6 We will arrange a grievance meeting after receiving your written grievance. You should make every effort to attend.
- 83.7 You may bring a companion to the grievance meeting provided that you tell us the name of your chosen companion in advance. The companion may be either a trade union representative or a colleague.
- 83.8 If you or your companion cannot attend at the time specified you should let us know as soon as possible and we will try, within reason, to agree an alternative time. Only one postponement will be granted.
- 83.9 We may adjourn the meeting if we need to carry out further investigations, after which the meeting will usually be reconvened.
- 83.10 We will write to you, usually within one week of the last grievance meeting, to confirm our decision and notify you of any further action that we intend to take to resolve the grievance. We will also advise you of your right of appeal.

Step 3: appeals

- 83.11 If the grievance has not been resolved to your satisfaction you may appeal in writing to a director, stating your full grounds of appeal, within one week of the date on which the decision was sent or given to you.
- 83.12 We will hold an appeal meeting, normally within one week of receiving the appeal. This will be dealt with impartially. We reserve the right at our discretion to ask an independent third party to hear the appeal. You have a right to bring a companion as set out above.
- 83.13 We will confirm our final decision in writing, usually within one week of the appeal hearing. There is no further right of appeal.

84. WHISTLEBLOWING

- 84.1 We are committed to conducting our business with honesty and integrity and we expect all staff to maintain high standards in accordance with our policies and procedures. However,

all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is essential in order to prevent such situations occurring or to address them when they do occur.

84.2 The aims of this policy are:

- (a) To encourage you to report suspected wrongdoing as soon as possible, in the knowledge that your concerns will be taken seriously and investigated as appropriate, and that your confidentiality will be respected.
- (b) To provide you with guidance as to how to raise those concerns.
- (c) To reassure you that you should be able to raise genuine concerns without fear of reprisals, even if they turn out to be mistaken (as long as those concerns are not malicious).

84.3 This policy does not form part of your Contract of Employment and it may be amended at any time.

Who is covered by this policy?

84.4 This policy applies to all individuals working at all levels of the organisation, including senior managers, officers, directors, employees, consultants, contractors, trainees, home workers, part-time and fixed-term workers, casual and agency staff and volunteers (collectively referred to as staff in this policy).

What is whistleblowing?

84.5 Whistleblowing is the disclosure of information which relates to suspected wrongdoing or dangers at work. This may include:

- (a) criminal activity;
- (b) miscarriages of justice;
- (c) danger to health and safety;
- (d) damage to the environment;
- (e) failure to comply with any legal or professional obligation or regulatory requirements;
- (f) financial fraud or mismanagement;
- (g) negligence;
- (h) breach of our internal policies and procedures including our Code of Conduct;
- (i) conduct likely to damage our reputation;
- (j) unauthorised disclosure of confidential information; or
- (k) the deliberate concealment of any of the above matters.

84.6 A whistleblower is a person who raises a genuine concern relating to any of the above. If you have any genuine concerns related to suspected wrongdoing or danger affecting any of our activities (a whistleblowing concern) you should report it under this policy.

84.7 This policy should not be used for complaints relating to your own personal circumstances. In those cases you should use the Grievance Procedure or Anti-harassment and Bullying Policy as appropriate.

84.8 If you are uncertain whether something is within the scope of this policy you should seek advice from us.

Raising a whistleblowing concern

84.9 We hope that in many cases you will be able to raise any concerns with your line manager or supervisor. You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively.

84.10 However, where the matter is more serious, or you feel that your line manager or supervisor has not addressed your concern, or you prefer not to raise it with them for any reason, you should contact a Registered Manager directly.

84.11 We will arrange a meeting with you as soon as possible to discuss your concern. You may bring a colleague or union representative to any meetings under this policy. Your companion must respect the confidentiality of your disclosure and any subsequent investigation.

84.12 We will take down a written summary of your concern and provide you with a copy after the meeting. We will also aim to give you an indication of how we propose to deal with the matter.

Confidentiality

84.13 We hope that you will feel able to voice whistleblowing concerns openly under this policy. However, if you want to raise your concern confidentially, we will make every effort to keep your identity secret. If it is necessary for anyone investigating your concern to know your identity, we will discuss this with you.

84.14 We do not encourage you to make disclosures anonymously. Proper investigation may be more difficult or impossible if we cannot obtain further information from you. It is also more difficult to establish whether any allegations are credible. Whistleblowers who are concerned about possible reprisals if their identity is revealed should come forward to a Registered Manager and appropriate measures can then be taken to preserve confidentiality.

External disclosures

84.15 The law recognises that in some circumstances it may be appropriate for you to report your concerns to an external body such as a regulator. It will very rarely if ever be appropriate to alert the media. We strongly encourage you to seek advice before reporting a concern to anyone external and you are reminded of your confidentiality obligations.

84.16 Whistleblowing concerns usually relate to the conduct of our staff, but they may sometimes relate to the actions of a third party. In some circumstances the law will protect you if you raise the matter with the third party directly. However, we encourage you to report such concerns internally first.

Investigation and outcome

84.17 Once you have raised a concern, we will carry out an initial assessment to determine the scope of any investigation. We will inform you of the outcome of our assessment. You may be required to attend additional meetings in order to provide further information.

84.18 In some cases we may appoint an investigator or team of investigators to make recommendations for change to enable us to minimise the risk of future wrongdoing.

84.19 We will aim to keep you informed of the progress of the investigation and its likely timescale. However, sometimes the need for confidentiality may prevent us giving you specific details of the investigation or any disciplinary action taken as a result. You should treat any information about the investigation as confidential.

84.20 If we conclude that a whistleblower has made false allegations maliciously or with a view to personal gain, the whistleblower may be subject to disciplinary action.

84.21 While we cannot always guarantee the outcome you are seeking, we will try to deal with your concern fairly and in an appropriate way. By using this policy you can help us to achieve this.

84.22 If you are not happy with the way in which your concern has been handled, we will inform you of who you can raise it with.

Protection and support for whistleblowers

84.23 It is understandable that whistleblowers are sometimes worried about possible repercussions. We aim to encourage openness and will support you if you raise genuine concerns under this policy, even if they turn out to be mistaken.

84.24 You will not suffer any detrimental treatment as a result of raising a concern. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavourable treatment connected with raising a concern. If you believe that you have suffered any such detrimental

treatment, you should inform a Registered Manager immediately. If the matter is not remedied you should raise it formally using our Grievance Procedure.

- 84.25 You must not threaten or retaliate against whistleblowers in any way. Anyone involved in such conduct may be subject to disciplinary action.

85. ANTI-CORRUPTION AND BRIBERY POLICY

- 85.1 It is our policy to conduct all of our business in an honest and ethical manner. We take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our business dealings and relationships wherever we operate and to implement and enforce effective systems to counter bribery.

- 85.2 Bribery and corruption are punishable for individuals by up to ten years' imprisonment and if we are found to have taken part in corruption we could face an unlimited fine, be excluded from tendering for public contracts and face damage to our reputation. We therefore take our legal responsibilities very seriously.

- 85.3 In this policy, third party means any individual or organisation you come into contact with during the course of your work for us, and includes actual and potential customers, suppliers, business contacts, agents, advisers, and government and public bodies, including their advisors, representatives and officials, politicians and political parties.

- 85.4 This policy applies to all individuals working at all levels and grades.

What is bribery?

- 85.5 A bribe is an inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage.

Examples:

Offering a bribe

- 85.6 You offer a potential customer tickets to a major sporting event, but only if they agree to do business with us.

- 85.7 This would be an offence as you are making the offer to gain a commercial and contractual advantage. We may also be found to have committed an offence because the offer has been made to obtain business for us. It may also be an offence for the potential customer to accept your offer.

Receiving a bribe

- 85.8 A supplier gives your nephew a job, but makes it clear that in return they expect you to use your influence in our organisation to ensure we continue to do business with them.

- 85.9 It is an offence for a supplier to make such an offer. It would be an offence for you to accept the offer as you would be doing so to gain a personal advantage.

What is not acceptable?

- 85.10 It is not acceptable for you (or someone on your behalf) to:

- (a) Give, promise to give, or offer, a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given.
- (b) Give, promise to give, or offer, a payment, gift or hospitality to a government official, agent or representative to "facilitate" or expedite a routine procedure.
- (c) Accept payment from a third party that you know or suspect is offered with the expectation that it will obtain a business advantage for them.
- (d) Accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return.
- (e) Threaten or retaliate against another worker who has refused to commit a bribery offence or who has raised concerns under this policy.
- (f) Engage in any activity that might lead to a breach of this policy.

Facilitation payments and kickbacks

- 85.11 We do not make, and will not accept, facilitation payments or "kickbacks" of any kind. Facilitation payments are typically small, unofficial payments made to secure or expedite a routine government action by a government official. Kickbacks are typically payments made in return for a business favour or advantage. All workers must avoid any activity that might lead to, or suggest, that a facilitation payment or kickback will be made or accepted by us.

Donations

- 85.12 We do not make contributions to political parties and we only make charitable donations that are legal and ethical under local laws and practices.

Your responsibilities

- 85.13 You must ensure that you read, understand and comply with this policy.
- 85.14 The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for us or under our control. All workers are required to avoid any activity that might lead to, or suggest, a breach of this policy.
- 85.15 You must notify us immediately if you believe or suspect that a conflict with this policy has occurred, or may occur in the future.
- 85.16 Any employee who breaches this policy will face disciplinary action, which could result in dismissal for gross misconduct. We reserve our right to terminate our contractual relationship with other workers if they breach this policy.

Record-keeping

- 85.17 You must declare and keep a written record of all hospitality or gifts accepted or offered, which will be subject to managerial review.
- 85.18 You must ensure all expenses claims relating to hospitality, gifts or expenses incurred to third parties are submitted to management and specifically record the reason for the expenditure.
- 85.19 All accounts, invoices, memoranda and other documents and records relating to dealings with third parties, such as clients, suppliers and business contacts, should be prepared and maintained with strict accuracy and completeness.

How to raise a concern

- 85.20 You are encouraged to raise concerns about any issue or suspicion of malpractice at the earliest possible stage. Concerns should be reported by following our grievance procedure.

What to do if you are a victim of bribery or corruption

- 85.21 It is important that you tell us as soon as possible if you are offered a bribe by a third party, are asked to make one, suspect that this may happen in the future, or believe that you are a victim of another form of unlawful activity.

Protection

- 85.22 We aim to encourage openness and will support anyone who raises genuine concerns in good faith under this policy, even if they turn out to be mistaken.
- 85.23 We are committed to ensuring no one suffers any detrimental treatment as a result of refusing to take part in bribery or corruption, or because of reporting in good faith their suspicion that an actual or potential bribery or other corruption offence has taken place, or may take place in the future. If you believe that you have suffered any detrimental treatment, you should inform us immediately. If the matter is not remedied, and you are an employee, you should raise it formally using our Grievance Procedure.

Human Resources

Subject: [REDACTED] Supervision

Start: Thu 18/10/2018 11:00

End: Thu 18/10/2018 12:00

Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Human Resources

Required Attendees: [REDACTED]

Hi [REDACTED]

Please can you arrange to have a supervision with [REDACTED] for this day?.

Within this meeting you will need to do a usual supervision as normal, and I will prepare a performance management plan for you to go over with [REDACTED]. I will email this across to you on Monday afternoon but it includes extra training for meds such as day 1 checklist again, assistance with meal planners and healthy eating and going over the cleaning rota.

Please can you also meet with [REDACTED] on a two weekly basis to monitor his performance. This is important if we are to implement the capability procedure correctly, and especially given that Scott is on a final written warning.

Have you arranged for [REDACTED] to transfer to a different unit?

Thanks

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Capability Meeting Minutes

DATE AND TIME: 22nd September 2019, 3pm.

VENUE: EH Meeting Room

IN ATTENDANCE:

Preliminaries

- This is a capability hearing held in accordance with our Capability Procedure to consider concerns that we have about your ongoing performance.
- I will chair the meeting will be present to take notes.

EITHER

You have the right to be accompanied at this meeting by a colleague or trade union representative. Are you happy to continue with the meeting without being accompanied?

OR

[NAME] has accompanied you today. They have the right to address the hearing and to confer with you during the hearing. There is however, no right for them to answer questions on your behalf.

Background

- Medication practice, including:
 - failure to sign MAR charts on administering medication to a client and failing to report medication concerns to your Team Leader.
- Record keeping errors, including:
 - incorrectly documenting that medication had been administered when it had not;
 - failing to complete appropriate paperwork such as daily handover sheets, incident reports, cleaning sheets and finance paperwork;
- Failing to ensure appropriate standard with housekeeping duties, including:
 - failing to wash dirty dishes prior to going off shift;
 - failing to wash unclean bedding;
 - leaving faeces on the floor.
- Speaking inappropriately, including:
 - speaking to supported individuals in an inappropriate way.
- Reporting and adhering to policies, including:
 - failing to report concerns regarding supported individuals behaviours to your Team Leader;
 - failing to keep accurate records of supported individuals behaviours.
 - taking supported individuals out for meals without receiving prior authorisation from your Team Leader/Area Manager in accordance with the company 'Staff Food' policy.
- Following care plans, including:
 - Failing to monitor supported individuals' portion sizes in accordance with their care plans.

I would like to ask you the following questions:

- Medication Practice
- Do you understand the reasons for our concerns about your medication practice?

- Do you recall failing to sign a MAR chart after administering medication to a client?
- Do you understand that medication concerns should be reported to your Team Leader?
- Is there a reason for you not complying with our [Medication Practice] policy and procedures?
- When did you last receive training on medication practice?
- Do you consider you need further training or support with it?
- Any other questions?
- Record keeping
- Do you recall documenting that you had administered medication when you in fact hadn't done so?
- Do you understand when and why you should be completing such paperwork as daily handover sheets, incident reports, cleaning sheets and finance paperwork?
- Is there a reason why you do not complete them?
- Do you acknowledge that you have failed to keep accurate records of supported individuals' behaviours?
- Do you know where this should be documented?
- Have you received any training on completing these documents?
- Do you consider you need any further training or support to complete these?
- Any other questions?
- Housekeeping
- Do you acknowledge that you have failed to maintain appropriate standards when it comes to housekeeping duties?
- Is there a reason for that?
- Do you acknowledge that you have failed to wash dirty dishes? If so, why?
- Do you understand that this is part of your responsibility?
- Do you acknowledge that you have failed to wash unclean bedding? If so, why?
- Is there anything else you would like to add or clarify?
- Do you understand that this is part of your responsibility?
- Do you acknowledge that you have previously left faeces on the floor? If so, why?
- Do you understand that this is part of your responsibility?
- Any other questions?
- Speaking inappropriately
- Do you recall speaking with supported individuals in an inappropriate way?
- Do you acknowledge that this is inappropriate?
- Do you understand why this causes us concern?
- Why do you speak with supported individuals in that way?
- Do you consider there to be any training or additional support we can give you to assist with this?
- Any other questions?
- Reporting and adhering to staff policies
- Do you acknowledge that you have failed to report concerns regarding supported individuals' behaviours to your team leader?
- If so, why?
- Do you acknowledge that such concerns should be reported to your team leader?
- Do you know how to go about doing that?
- Do you acknowledge that you have failed to keep accurate records of supported individuals' behaviours as already discussed?
- Are there any reasons for that?
- Do you acknowledge that you know that you should be doing so?
- Do you acknowledge taking supported individuals out for meals without prior authorisation from your team leader or area manager?
- Why do you do this?
- Are you aware that this is in contravention of our policies?
- Do you recall this previously being discussed with you?

- Do you understand why this causes us concern?
- Any other questions?
- Failing to follow care plans
- Do you acknowledge failing to monitor supported individual's' portion sizes in accordance with their care plans?
- Do you acknowledge the importance of following care plans?
- Do you understand why this causes us concern?
- Do you understand why this individual has this specific requirement in their care plan?
- Is there a reason you have not followed it?
- Do you consider you need any further training in this?
- Any other questions?

Conclusion

I provided a recap of the meeting.

I will consider what has been discussed today and will provide you with the written outcome within 7 days.

[DURING THE MEETING NO MENTION SHOULD BE MADE OF US AS YOUR EMPLOYMENT ADVISORS. IF YOU ARE UNSURE OF HOW TO ANSWER A QUESTION OR DON'T KNOW HOW TO RESPOND JUST EXPLAIN THAT EVERY THING SAID IN TODAY'S MEETING WILL BE CONSIDERED AND TAKEN INTO ACCOUNT BEFORE A DECISION IS MADE.]

Human Resources

From: Sarah Lumsden
Sent: 06 August 2020 14:16
To: Human Resources
Subject: Re: File note

Follow Up Flag: Follow up
Flag Status: Completed

Can I put this on a file note or write something up ?

From: Human Resources <human.resources@elliottshill.co.uk>
Sent: 06 August 2020 11:57
To: Sarah Lumsden <sarah.lumsden@elliottshill.co.uk>
Subject: RE: File note

Historically there have been issues in relation to Robbie and medication administration and housekeeping duties so keep an eye out.

I would issue with an informal verbal warning documented, in case it happens again.



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From: Sarah Lumsden <sarah.lumsden@elliottshill.co.uk>
Sent: 06 August 2020 11:14
To: Human Resources <human.resources@elliottshill.co.uk>
Subject: Fw: File note

1

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Coronavirus (COVID-19): latest advice for employers and employees

[Home](#) [Acas codes of practice](#)

[Acas Code of Practice on disciplinary and grievance procedures](#)

Code of Practice 1

Code of Practice on disciplinary and grievance procedures

Published 11 March 2015

Contents

[Foreword](#)

[Legal decision affecting section 16](#)

[The Code of Practice](#)

[Discipline: Keys to handling disciplinary issues in the workplace](#)

[Grievance: Keys to handling grievances in the workplace](#)

[Notes](#)

[Print](#)

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Foreword

The Acas statutory Code of Practice on discipline and grievance procedures is set out in paragraphs 1 to 47 below. It provides basic practical guidance to employers, employees and their representatives and sets out principles for handling disciplinary and grievance situations in the workplace.

The Code does not apply to dismissals due to redundancy or the non-renewal of fixed-term contracts on their expiry. [See advice on redundancy.](#)

The Code is issued under section 199 of the Trade Union and Labour Relations (Consolidation) Act 1992 and was laid before both Houses of Parliament on 16 January 2015. It comes into effect by order of the Secretary of State on 11 March 2015 and replaces the Code issued in 2009.

A failure to follow the Code does not, in itself, make a person or organisation liable to proceedings. However, employment tribunals will take the Code into account when considering relevant cases.

Tribunals will also be able to adjust any awards made in relevant cases by up to 25 per cent for unreasonable failure to comply with any provision of the Code. This means that if the tribunal feels that an employer has unreasonably failed to follow the guidance set out in the Code they can increase any award they have made by up to 25 per cent. Conversely, if they feel an employee has unreasonably failed to follow the guidance set out in the Code they can reduce any award they have made by up to 25 per cent.

Employers and employees should always seek to resolve disciplinary and grievance issues in the workplace. Where this is not possible employers and employees should consider using an independent third party to help resolve the problem. The third party need not come from outside the organisation but could be an internal mediator, so long as they are not involved in the disciplinary or grievance issue. In some cases, an external mediator might be appropriate.

Many potential disciplinary or grievance issues can be resolved informally. A

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issue cannot be resolved informally then it may be pursued formally. This Code sets out the basic requirements of fairness that will be applicable in most cases; it is intended to provide the standard of reasonable behaviour in most instances.

Employers would be well advised to keep a written record of any disciplinary or grievances cases they deal with.

Organisations may wish to consider dealing with issues involving bullying, harassment or whistleblowing under a separate procedure.

More comprehensive advice and guidance on dealing with disciplinary and grievance situations is contained in [Discipline and grievances at work: the Acas guide](#) (PDF, 841KB, 79 pages). The booklet also contains sample disciplinary and grievance procedures.

Unlike the Code employment tribunals are not required to have regard to the Acas guidance booklet. However, it provides more detailed advice and guidance that employers and employees will often find helpful both in general terms and in individual cases.

Legal decision affecting section 16

When dealing with requests to postpone a disciplinary hearing to accommodate the attendance of a worker's companion, readers of the Code will wish to be aware of the Employment Appeal Tribunal judgement in the case of *Talon Engineering Ltd v Smith*. Guidance on this issue is contained in [Discipline and grievances at work: the Acas guide](#) (PDF, 841KB, 79 pages).

The Code of Practice

Introduction

1. This Code is designed to help employers, employees and their representatives deal with disciplinary and grievance situations in the workplace

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- Disciplinary situations include misconduct and/ or poor performance. If employers have a separate capability procedure they may prefer to address performance issues under this procedure. If so, however, the basic principles of fairness set out in this Code should still be followed, albeit that they may need to be adapted.
- Grievances are concerns, problems or complaints that employees raise with their employers. The Code does not apply to redundancy dismissals or the non-renewal of fixed-term contracts on their expiry.

2. Fairness and transparency are promoted by developing and using rules and procedures for handling disciplinary and grievance situations. These should be set down in writing, be specific and clear. Employees and, where appropriate, their representatives should be involved in the development of rules and procedures. It is also important to help employees and managers understand what the rules and procedures are, where they can be found and how they are to be used.

3. Where some form of formal action is needed, what action is reasonable or justified will depend on all the circumstances of the particular case. Employment tribunals will take the size and resources of an employer into account when deciding on relevant cases and it may sometimes not be practicable for all employers to take all of the steps set out in this Code.

4. That said, whenever a disciplinary or grievance process is being followed it is important to deal with issues fairly. There are a number of elements to this:

- Employers and employees should raise and deal with issues promptly and should not unreasonably delay meetings, decisions or confirmation of those decisions.
- Employers and employees should act consistently.
- Employers should carry out any necessary investigations, to establish the facts of the case.
- Employers should inform employees of the basis of the problem and give them an opportunity to put their case in response before any decisions are made.

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- Employers should allow employees to be accompanied at any formal disciplinary or grievance meeting.
- Employers should allow an employee to appeal against any formal decision made.

Discipline: Keys to handling disciplinary issues in the workplace

Establish the facts of each case

5. It is important to carry out necessary investigations of potential disciplinary matters without unreasonable delay to establish the facts of the case. In some cases this will require the holding of an investigatory meeting with the employee before proceeding to any disciplinary hearing. In others, the investigatory stage will be the collation of evidence by the employer for use at any disciplinary hearing.

6. In misconduct cases, where practicable, different people should carry out the investigation and disciplinary hearing.

7. If there is an investigatory meeting this should not by itself result in any disciplinary action. Although there is no statutory right for an employee to be accompanied at a formal investigatory meeting, such a right may be allowed under an employer's own procedure.

8. In cases where a period of suspension with pay is considered necessary, this period should be as brief as possible, should be kept under review and it should be made clear that this suspension is not considered a disciplinary action.

Inform the employee of the problem

9. If it is decided that there is a disciplinary case to answer, the employee should be notified of this in writing. This notification should contain sufficient information about the alleged misconduct or poor performance and its

any written evidence, which may include any witness statements, with the notification.

10. The notification should also give details of the time and venue for the disciplinary meeting and advise the employee of their right to be accompanied at the meeting. Hold a meeting with the employee to discuss the problem.

11. The meeting should be held without unreasonable delay whilst allowing the employee reasonable time to prepare their case.

12. Employers and employees (and their companions) should make every effort to attend the meeting. At the meeting the employer should explain the complaint against the employee and go through the evidence that has been gathered. The employee should be allowed to set out their case and answer any allegations that have been made. The employee should also be given a reasonable opportunity to ask questions, present evidence and call relevant witnesses. They should also be given an opportunity to raise points about any information provided by witnesses. Where an employer or employee intends to call relevant witnesses they should give advance notice that they intend to do this.

Allow the employee to be accompanied at the meeting

13. Workers have a statutory right to be accompanied by a companion where the disciplinary meeting could result in:

- a formal warning being issued; or
- the taking of some other disciplinary action
- the confirmation of a warning or some other disciplinary action (appeal hearings)

14. The statutory right is to be accompanied by a fellow worker, a trade union representative, or an official employed by a trade union. A trade union representative who is not an employed official must have been certified by their union as being competent to accompany a worker. Employers must agree to a worker's request to be accompanied by any companion from one of these

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15. To exercise the statutory right to be accompanied workers must make a reasonable request. What is reasonable will depend on the circumstances of each individual case. A request to be accompanied does not have to be in writing or within a certain timeframe. However, a worker should provide enough time for the employer to deal with the companion's attendance at the meeting. Workers should also consider how they make their request so that it is clearly understood, for instance by letting the employer know in advance the name of the companion where possible and whether they are a fellow worker or trade union official or representative.

17. The companion should be allowed to address the hearing to put and sum up the worker's case, respond on behalf of the worker to any views expressed at the meeting and confer with the worker during the hearing. The companion does not, however, have the right to answer questions on the worker's behalf, address the hearing if the worker does not wish it or prevent the employer from explaining their case.

18. After the meeting decide whether or not disciplinary or any other action is justified and inform the employee accordingly in writing.

11. The following table shows the number of people who have been convicted of a crime in the United States since 1970, by race and sex.

<https://www.acas.org.uk/acas-code-of-practice-for-disciplinary-and-grievance-procedures/html>

20. If an employee's first misconduct or unsatisfactory performance is sufficiently serious, it may be appropriate to move directly to a final written warning. This might occur where the employee's actions have had, or are liable to have, a serious or harmful impact on the organisation.

21. A first or final written warning should set out the nature of the misconduct or poor performance and the change in behaviour or improvement in performance required (with timescale). The employee should be told how long the warning will remain current. The employee should be informed of the consequences of further misconduct, or failure to improve performance, within the set period following a final warning. For instance that it may result in dismissal or some other contractual penalty such as demotion or loss of seniority.

22. A decision to dismiss should only be taken by a manager who has the authority to do so. The employee should be informed as soon as possible of the reasons for the dismissal, the date on which the employment contract will end, the appropriate period of notice and their right of appeal.

23. Some acts, termed gross misconduct, are so serious in themselves or have such serious consequences that they may call for dismissal without notice for a first offence. But a fair disciplinary process should always be followed, before dismissing for gross misconduct.

24. Disciplinary rules should give examples of acts which the employer regards as acts of gross misconduct. These may vary according to the nature of the organisation and what it does, but might include things such as theft or fraud, physical violence, gross negligence or serious insubordination.

25. Where an employee is persistently unable or unwilling to attend a disciplinary meeting without good cause the employer should make a decision on the evidence available.

Provide employees with an opportunity to appeal

26. Where an employee feels that disciplinary action taken against them is wrong or unjust they should appeal against the decision. Appeals should be

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heard without unreasonable delay and ideally at an agreed time and place. Employees should let employers know the grounds for their appeal in writing.

27. The appeal should be dealt with impartially and, wherever possible, by a manager who has not previously been involved in the case.

28. Workers have a statutory right to be accompanied at appeal hearings.

29. Employees should be informed in writing of the results of the appeal hearing as soon as possible.

Special cases

30. Where disciplinary action is being considered against an employee who is a trade union representative the normal disciplinary procedure should be followed. Depending on the circumstances, however, it is advisable to discuss the matter at an early stage with an official employed by the union, after obtaining the employee's agreement.

31. If an employee is charged with, or convicted of a criminal offence this is not normally in itself reason for disciplinary action. Consideration needs to be given to what effect the charge or conviction has on the employee's suitability to do the job and their relationship with their employer, work colleagues and customers.

Grievance: Keys to handling grievances in the workplace

Let the employer know the nature of the grievance

32. If it is not possible to resolve a grievance informally employees should raise the matter formally and without unreasonable delay with a manager who is not the subject of the grievance. This should be done in writing and should set out the nature of the grievance.

Hold a meeting with the employee to discuss the grievance

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33. Employers should arrange for a formal meeting to be held without unreasonable delay after a grievance is received.

34. Employers, employees and their companions should make every effort to attend the meeting. Employees should be allowed to explain their grievance and how they think it should be resolved. Consideration should be given to adjourning the meeting for any investigation that may be necessary.

Allow the employee to be accompanied at the meeting

35. Workers have a statutory right to be accompanied by a companion at a grievance meeting which deals with a complaint about a duty owed by the employer to the worker. So this would apply where the complaint is, for example, that the employer is not honouring the worker's contract, or is in breach of legislation.

36. The statutory right is to be accompanied by a fellow worker, a trade union representative, or an official employed by a trade union. A trade union representative who is not an employed official must have been certified by their union as being competent to accompany a worker. Employers must agree to a worker's request to be accompanied by any companion from one of these categories. Workers may also alter their choice of companion if they wish. As a matter of good practice, in making their choice workers should bear in mind the practicalities of the arrangements. For instance, a worker may choose to be accompanied by a companion who is suitable, willing and available on site rather than someone from a geographically remote location.

37. To exercise the statutory right to be accompanied workers must make a reasonable request. What is reasonable will depend on the circumstances of each individual case. A request to be accompanied does not have to be in writing or within a certain time frame. However, a worker should provide enough time for the employer to deal with the companion's attendance at the meeting. Workers should also consider how they make their request so that it is clearly understood, for instance by letting the employer know in advance the name of the companion where possible and whether they are a fellow worker or trade union official or representative.

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38. If a worker's chosen companion will not be available at the time proposed for the hearing by the employer, the employer must postpone the hearing to a time proposed by the worker provided that the alternative time is both reasonable and not more than five working days after the date originally proposed.

39. The companion should be allowed to address the hearing to put and sum up the worker's case, respond on behalf of the worker to any views expressed at the meeting and confer with the worker during the hearing. The companion does not, however, have the right to answer questions on the worker's behalf, address the hearing if the worker does not wish it or prevent the employer from explaining their case.

Decide on appropriate action

40. Following the meeting decide on what action, if any, to take. Decisions should be communicated to the employee, in writing, without unreasonable delay and, where appropriate, should set out what action the employer intends to take to resolve the grievance. The employee should be informed that they can appeal if they are not content with the action taken.

Allow the employee to take the grievance further if not resolved

41. Where an employee feels that their grievance has not been satisfactorily resolved they should appeal. They should let their employer know the grounds for their appeal without unreasonable delay and in writing.

42. Appeals should be heard without unreasonable delay and at a time and place which should be notified to the employee in advance.

43. The appeal should be dealt with impartially and wherever possible by a manager who has not previously been involved in the case.

44. Workers have a statutory right to be accompanied at any such appeal hearing.

45. The outcome of the appeal should be communicated to the employee in

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Overlapping grievance and disciplinary cases

46. Where an employee raises a grievance during a disciplinary process the disciplinary process may be temporarily suspended in order to deal with the grievance. Where the grievance and disciplinary cases are related it may be appropriate to deal with both issues concurrently.

Collective grievances

47. The provisions of this Code do not apply to grievances raised on behalf of two or more employees by a representative of a recognised trade union or other appropriate workplace representative. These grievances should be handled in accordance with the organisation's collective grievance process.

Notes

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[Order a print version of the Code of Practice on Disciplinary and Grievance Procedures on the TSO website.](#)

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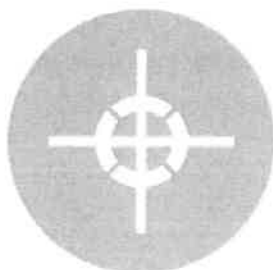
- [Home](#)
- [What we do](#)
- The fundamental standards

The fundamental standards

Categories: Public

The fundamental standards are the standards below which your care must never fall.

Everybody has the right to expect the following standards:



Person-centred care

You must have care or treatment that is tailored to you and meets your needs and preferences.



Dignity and respect

You must be treated with dignity and respect at all times while you're receiving care and treatment.

This includes making sure:

- You have privacy when you need and want it.
- Everybody is treated as equals.
- You're given any support you need to help you remain independent and involved in your local community.



Consent

You (or anybody legally acting on your behalf) must give your consent before any care or treatment is given to you.



Safety

You must not be given unsafe care or treatment or be put at risk of harm that could be avoided.

Providers must assess the risks to your health and safety during any care or treatment and make sure their staff have the qualifications, competence, skills and experience to keep you safe.



Safeguarding from abuse

You must not suffer any form of abuse or improper treatment while receiving care.

This includes:

- Neglect
- Degrading treatment
- Unnecessary or disproportionate restraint
- Inappropriate limits on your freedom.



Food and drink

You must have enough to eat and drink to keep you in good health while you receive care and treatment.



Premises and equipment

The places where you receive care and treatment and the equipment used in it must be clean, suitable and looked after properly.

The equipment used in your care and treatment must also be secure and used properly.



Complaints

You must be able to complain about your care and treatment.

The provider of your care must have a system in place so they can handle and respond to your complaint. They must investigate it thoroughly and take action if problems are identified.



Good governance

The provider of your care must have plans that ensure they can meet these standards.

They must have effective governance and systems to check on the quality and safety of care. These must help the service improve and reduce any risks to your health, safety and welfare.



Staffing

The provider of your care must have enough suitably qualified, competent and experienced staff to make sure they can meet these standards.

Their staff must be given the support, training and supervision they need to help them do their job.



Fit and proper staff

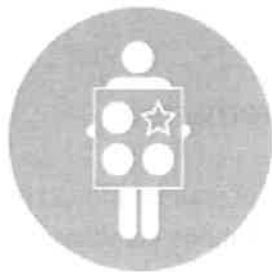
The provider of your care must only employ people who can provide care and treatment appropriate to their role. They must have strong recruitment procedures in place and carry out relevant checks such as on applicants' criminal records and work history.



Duty of candour

The provider of your care must be open and transparent with you about your care and treatment.

Should something go wrong, they must tell you what has happened, provide support and apologise.



Display of ratings

The provider of your care must display their CQC rating in a place where you can see it. They must also include this information on their website and make our latest report on their service available to you.

Last updated: 29 May 2017

See also

When we register services, we check they are likely to meet the fundamental standards.

[Registering and monitoring services](#)

[Making sure people are kept safe from harm, abuse and neglect](#)

[Taking action](#)

For service providers

[Regulations for service providers and managers](#)

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Code of Professional Practice for Social Care



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 Code and the wider social care workforce

Registered social care workers are required to comply with the Code. However, the Code is also relevant to other social care workers who are not obliged to be registered with us as it sets clear standards of the conduct and practice expected of the social care profession in Wales.

What the Code means for:

Social care workers

As a social care worker you are responsible for making sure that you work to the standards in the Code. You must ensure that your conduct and practice do not fall below the standards, and that no action or omission on your part harms the well-being of individuals.

For all of those working in the social care profession, the Code provides criteria to guide your practice and clarity about the standards of conduct that you are expected to meet. You are encouraged to use the Code to examine your own conduct and practice and to look for areas in which you can improve.

Individuals and the public

As an individual receiving care or a member of the public, the Code will help you understand how a social care worker should behave towards you and how employers should help them to do their jobs well.

Employers

As an employer of social care workers, you are expected to promote the use of the Code and take account of it in making any decisions about the conduct and practice of your staff.

Glossary

The glossary below provides an explanation of the various terms used in the Code.

Term	Meaning
Active participation	A way of working that regards individuals as active partners in their own care rather than passive recipients. Active participation recognises each individual's right to participate in the activities and relationships of everyday life as independently as possible.
Carer	A carer provides unpaid care and / or support and could include family members, partners, neighbours or friends.
Colleague	A colleague could be any person that a social care worker practices with directly, or whose work contributes to the well-being of individuals.
Individual	The person accessing care; whether a child, young person or adult.
Person centred working	Approaches and ways of working that fully recognise the uniqueness of the individual and establish this as the basis for the planning and delivery of care.
Social care worker	Any paid worker contributing to the delivery of social care and support.
Well-being	Well-being is a broad concept including physical, mental and emotional well-being, protection from abuse and neglect, access to education, training and recreation, support for relationships, having suitable accommodation and securing rights and entitlements.

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.



Building Productivity in the UK



Disclaimer

The views expressed in this paper are those of the Acas Strategy Unit and contributing authors and not the Acas Council.

Acknowledgements

The Acas Strategy Unit would like to thank the following for their help and support in preparing this paper: Acas managers and advisers and John Forth and Alex Bryson at the National Institute of Economic and Social Research.

Contents

Foreword from Brendan Barber, Acas Chair.....	4
Building Productivity: What Part Does The Workplace Play?	5
The small details in the big picture	5
Broadening the focus	7
Improving productivity through effective workplaces.....	8
The Seven Levers of Workplace Productivity	
Lever 1: Well designed work	9
Lever 2: Skilled line managers	11
Lever 3: Managing conflict effectively.....	14
Lever 4: Clarity about rights and responsibilities	16
Lever 5: Fairness.....	18
Lever 6: Employee voice	20
Lever 7: High trust	22
Building Productivity: Contributor Views	
Productivity: what part can HR play?	24
Productivity: what part can business play?	27
Productivity: what part can skills play?.....	30
Productivity: what part can small firms play?	33
Productivity: what part can employee engagement play?.....	36
Productivity: what part can employee voice play?	39
Building Productivity: Making It Happen	42
Bibliography	44

Foreword from Brendan Barber, Acas Chair

As UK productivity levels continue to lag behind our competitors, we need to take a long hard look at all the factors that might have a part to play in addressing the problem. The UK's productivity challenge is an agenda shared by employers, trade unions, commentators, policy makers and Government. Failure to take action poses considerable threats for growth, for jobs and for sustainable increases in real wages.

Acas believes that there is real benefit to be gained from addressing this question through the prism of the workplace: to identify opportunities for workplaces to become more effective and, in turn, contribute to the bigger challenge.

Workplaces are key to productivity. The long term success of high level solutions such as better physical infrastructure or capital investment and investment in skills depends on workplaces being efficient, responsive and innovative. The way workplaces are organised, the part played by managers and leaders, and the role and involvement of employees and their representatives provide the means for things to change and improve. This message applies across sectors and industries – it's hardly possible to conceive of a business or organisation that can look at itself and conclude there is no room for improvement.

As experts in the dynamics of the workplace, Acas stands ready to promote and support this agenda. We have been working with others who share these concerns to assemble the arguments for change, and identify strategies for action. This report aims to stimulate debate amongst policy makers and those with an interest in UK productivity and offers Acas' insights into the features that can make a difference to workplace effectiveness. It contains contributions from a number of bodies Acas has been working with and we welcome their thoughts on the productivity challenge based on their own specialist perspectives.

The report concludes with an agenda for change, and options for future consideration.

June 2015

Human Resources

From: Human Resources
Sent: 17 September 2020 13:26
To: Neil Roberts
Subject: Meeting with Cheryl
Attachments: KL Meeting Re: Koble Lumsden.docx

Hi Neil

I met with Koble this morning, you were supposed to attend as well? I have attached the minutes above for your review.

I talked through all of the issues with Koble and I think we need to meet with Cheryl next week when she is back from holiday to go over each issue to prevent any future occurrences.

There are also issues with lack of correct insurance which is also in contravention to the employee handbook and is something that we need to resolve.

Can you let me know when Cheryl is available to attend the office please? You can make her aware that we need to discuss several issues with her. Please contact her when she is back from leave and put it in my diary. You will need to be present as well.

Regards
Chloe



Chloe Tickle
T 01437 764720 F 01437 761449
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Performance Management

Name: Robbie Rowe

Date: 18th August 2017

Areas of Concern

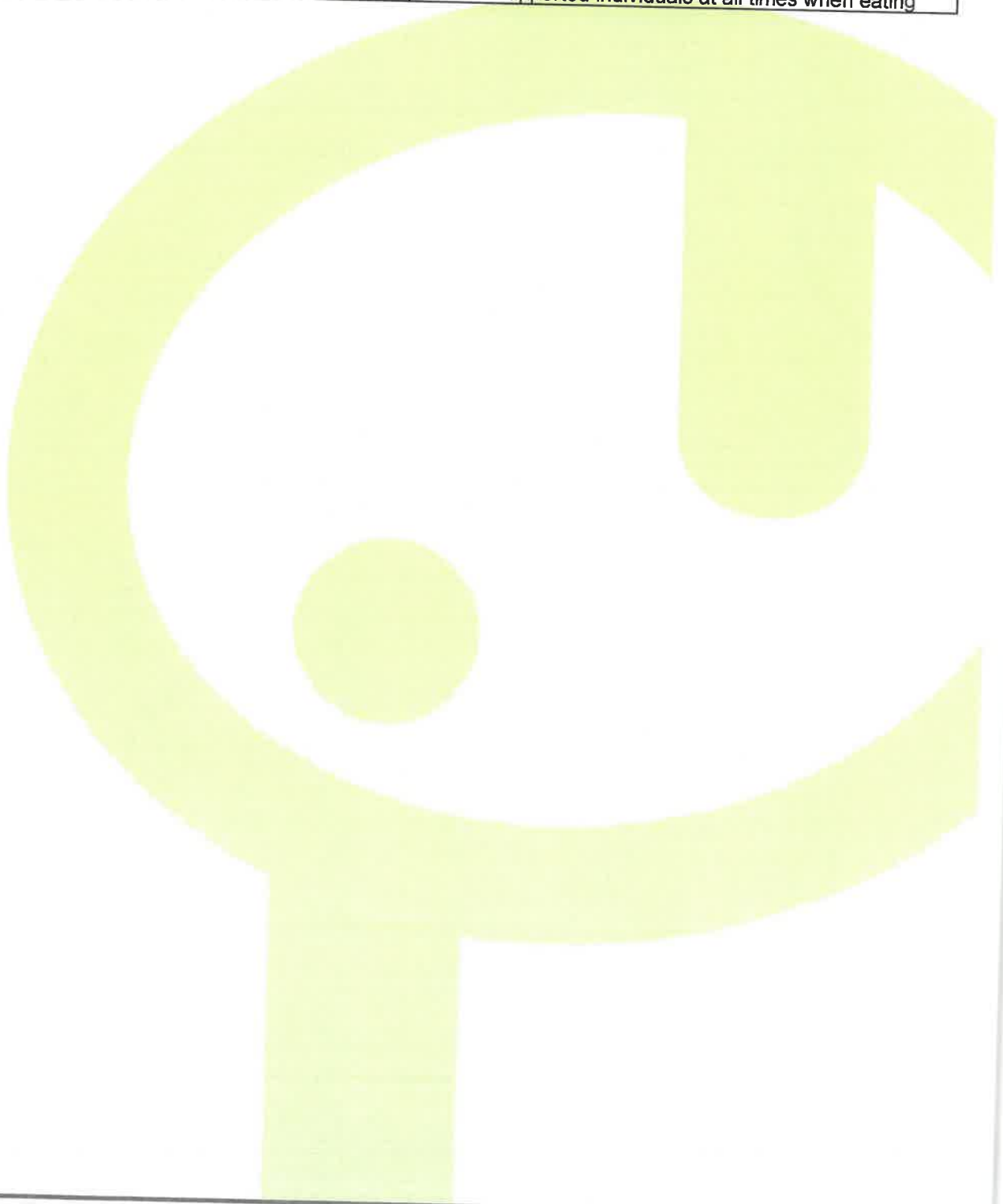
1) <u>Medication</u>	• Failure to sign MAR chart after administering medication. • Incorrectly documenting that medication has been administered when you have failed to do so. • Failing to report medication concerns to your Team Leader.
2) <u>Record Keeping</u>	• Failing to complete appropriate paperwork as required on a daily basis such as daily hand over sheets, incident reports, cleaning sheets, finance paperwork. • Failing to keep accurate records of Supported individuals behaviours.
3) <u>Housekeeping Duties</u>	• Failing to carry out housekeeping duties to the appropriate standard required by: I. Failing to wash dirty dishes prior to going off shift; II. Failing to wash unclean bedding; III. Leaving feces on the floor.
4) <u>Interaction with Supported individuals</u>	• Speaking to supported individuals in an inappropriate way.
5) <u>Reporting & adhering to staff policies</u>	• Failing to report concerns regarding Supported individuals behaviors to your Team Leader. • Failing to keep accurate records of Supported individuals behaviours. • Taking Supported individuals out for meals without receiving prior authorization from your Team Leader/Area Manager in accordance with the company 'staff food' policy.

6) <u>Following Supported individuals care plans</u>	Failing to monitor Supported individuals portion sizes in accordance with their care plans.
---	---

Areas for Development

1) <u>Medication</u>	- To administer all medication as detailed on the MAR sheet including the correct medication, dosage and times - To sign the MAR sheet once correct medication has been administered - To report all medication errors, issues and concerns to your team leader immediately and seek advice. - To receive regular supervision from the team leader when administering medication during the performance management period.
2) <u>Record Keeping</u>	- To liaise with the team leader if there is any uncertainty over daily paperwork - To fill in all necessary paperwork accurately whilst on shift on a daily basis - To fill in, and report to the team leader any behaviours and incidents that may occur whilst on shift
3) <u>Housekeeping duties</u>	- To report any issues regarding the environment when starting on shift to your team leader immediately - To ensure housekeeping duties are done throughout the shift, and a clean and safe environment is maintained - To ensure the environment is clean and tidy before handing over to another team member at the end of the shift - To ensure any reasons why housekeeping duties have not been fulfilled are documented and handed over to other staff at the end of the shift
4) <u>Interaction with Supported individuals</u>	When talking to supported individuals ensure correct language and manner is appropriate.
5) <u>Reporting & adhering to staff policies</u>	- To fill in, and report to the team leader any behaviours and incidents that may occur whilst on shift - Ensure all issues and concerns, including health concerns are immediately documented and reported to the team leader - Follow the advice and direction of the team leader when taking a supported individual out for a meal. Any additional meals MUST be

	authorized by the team leader as we are required to ensure supported individuals follow a healthy balanced diet.
6) <u>Following Supported individuals care plans</u>	• To ensure the supported individual strictly follows the SALT plan in place • To follow instruction from the team leader regarding a healthy balanced diet, follow the meal planner in place and monitor portion size in order to minimise the risks of choking • To ensure correct supervision is given to the supported individuals at all times when eating



Personal Statement – LO2

2.1 Analyse the types of support line managers in the organisation need from HR, in relation to performance management activities.

To enable line managers to be good people managers, they also need to be managed according to strong, robust policies and procedures to enable them to understand their role within the implementation of these policies as line managers are often the face of the organisation (CIPD, 2019).

It can be said that well managed line managers are proven to lead high-performing teams, and therefore it is essential that HR professionals are able to work alongside and support line managers to develop their management skills whilst reflecting the ethos and culture of the organisation (CIPD, 2019).

Generally, line managers are able to display this behaviour if they have positive relationships with their own managers, adequate training opportunities, the capacity to feel involved in decision making, as well as a culture that is open and which allows them to air their grievances or discuss matters which concern them. It is with this in mind that highlights the main type of support that line managers require throughout performance management activities. Although managers may understand their specific area, they often lack knowledge in employment law practices and the 'do's and don't's' of performance management activities.

HR professionals often act as a sounding board for line managers and provide advice and guidance, pointing line managers in the right direction and ensuring that internal policies are adhered to. HR professionals may also highlight training needs in this respect and ensure that all line managers receive adequate training. In summary, the role that HR professionals play in performance management activities is usually that of an advisory and supportive role (CIPD, 2019).

The HR department also offer support in alternative ways, for example record keeping, other ad-hoc administrative support for example booking in supervision and appraisal meetings in to diaries, reminding of due dates and developing adequate systems to record this data (Appendix 31).

2.2 Support line managers capability to deliver performance management activities.

The role of performance management is to continuously develop business processes, individual skills, capabilities and behaviours. It is important that line managers are able to carry these processes out effectively or the performance of individuals, teams and companies will be at a detriment because of it (Talentedge, 2020).

It is important that HR professionals are able to support line managers to carry out these processes. Appendix 22 is an email which was sent to a line manager in relation to ongoing performance issues with a member of staff in their team. The email details advice on the ongoing progress of a capability procedure and my advice to extend a current warning that was in place. Appendix 23 is an email regarding the same employee which was sent to the registered manager to discuss the ongoing situation. It is always important to work as part of a team and ensure that the relevant people are aware of the ongoing process, whilst maintaining the appropriate level of confidentiality.

2.3 work in conjunction with line managers in the provision of employee performance and development reviews.

Line managers play various roles in ensuring a successful performance management process; however it is imperative that they work alongside HR professionals to ensure that all employment law legislation and internal policies are adhered to.

Line managers responsibilities are as follows:

- Ensuring leadership and management processes which are top down
- Driving for individual and organisational success through the communication of the organisations mission, values and business objectives within supervisions and appraisals
- Ensuring that the performance management process is efficient, effective and consistent
- Clearly defining work expectations, tasks and roles within supervisions and appraisals and ensuring that these are communicated to individuals and the team as a whole
- Ensuring regular reviews are held to discuss performance and progress towards achievement of goals and suggesting plans to correct any areas of underperformance
- Establishing an understanding of the importance of such reviews with employees

(Guide, 2020)

At each stage HR professionals should be available to guide and advise line managers through the performance management process, whether this is at the early stages of performance management prior to any low levels of performance occurring, for example supervisions and appraisals, or in the event of poor performance and the necessary procedures that are in place to manage this. HR professionals are usually involved in creating such policies as well, ensuring that they are in keeping with ACAS code of best practice (Appendix 15).

Appendix 25 is an email sent to the same manager at the beginning of the process, highlighting the correct process to follow, step by step to ensure compliance with our own internal procedures and so that the manager understood what to expect. It is important to support line managers at each step and accurate and timely communication is key to following a successful process.

In many ways, HR professionals must take the lead when it comes to performance management processes. The relationship between middle managers and HR professionals is extremely important, as is the relationship between manager and employee with the line manager assisting in supporting engagement by contributing to an employees motivation and job satisfaction by implementing performance management policies in an effective manner (CIPD, 2014). HR professionals must develop a robust working relationship with line managers to ensure collaborative working practices and successful implementation of policies.

Evidence – LO2

Appendix 21

Supervision Report				
Highlight & attach supervisor status for day				
Employee ID	Job Title	Job	Supervisor	Supervisor ID
101	Joe Smith	Job Title	John Doe	1010101
102	Charlie Brown	Job Title	John Doe	1010102
103	Walter	Job Title	John Doe	1010103
104	Sam Smith	Job Title	John Doe	1010104
105	Emily White	Job Title	John Doe	1010105
106	Mike White	Job Title	John Doe	1010106
107	John White	Job Title	John Doe	1010107
108	John White	Job Title	John Doe	1010108
109	John White	Job Title	John Doe	1010109
110	John White	Job Title	John Doe	1010110
111	John White	Job Title	John Doe	1010111
112	John White	Job Title	John Doe	1010112
113	John White	Job Title	John Doe	1010113
114	John White	Job Title	John Doe	1010114
115	John White	Job Title	John Doe	1010115
116	John White	Job Title	John Doe	1010116
117	John White	Job Title	John Doe	1010117
118	John White	Job Title	John Doe	1010118
119	John White	Job Title	John Doe	1010119
120	John White	Job Title	John Doe	1010120

Human Resources

From: Human Resources
Sent: 26 January 2018 11:32
To: [REDACTED]
Cc: [REDACTED]
Subject: [REDACTED]

Morning Paul

Further to our meeting regarding [REDACTED] last week, and after reviewing the information at hand we agreed that improvements had been made although there were still a few ongoing concerns which would need to be addressed.

As a result of this we agreed that it would be unfair to proceed to the next stage of the capability procedure, however we have the ability under our Capability Procedure, paragraph 77.15 to extend the review period so given the circumstances we could extend [REDACTED]'s probation period on this basis for a further 3 month period.

Could you invite [REDACTED] in for next Tuesday morning at 11am please and we can meet with him to discuss the above.

Thanks

Chloe Tickle

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Human Resources

From: Human Resources
Sent: 22 January 2018 13:55
To: [REDACTED]
Subject: RE: Robbie Row Ref Red Kite Law LLP:MA:ELL00068/011
Attachments: Performance Management - Re-Assessment Jan 2018.docx

Hi [REDACTED]

I hope your well?

[REDACTED] Robbie Row was issued a first written warning on the 19th October 17 as a result of a Capability meeting (please see emails below). [REDACTED] performance was due to be re-assessed on the 19th January and Robbie's managers and I met to discuss the areas for development and any further concerns.

[REDACTED] Robbie has improved on most things, however there are a few ongoing concerns relating to completing the appropriate paperwork. This was not completed on one occasion. [REDACTED] has also continued to supported individuals to meals without following the correct procedure on one further occasion.

I feel that [REDACTED] Robbie has made progression, particularly with medication administration, however there are still a few ongoing concerns. I'm not sure if there is enough to warrant progressing to the next stage though. Is there a way in which we can continue to monitor [REDACTED] Robbie for a further few months due to the concerns noted above which would give us time to re-assess the situation and make a decision?

I have also attached the performance management plan where I have updated areas of compliance and areas for further development.

Regards

Chloe Tickle

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Coronavirus (COVID-19): latest advice for employers and employees

[Home](#) [Acas codes of practice](#)

[Acas Code of Practice on disciplinary and grievance procedures](#)

Code of Practice 1

Code of Practice on disciplinary and grievance procedures

Published 11 March 2015

Contents

[Foreword](#)

[Legal decision affecting section 16](#)

[The Code of Practice](#)

[Discipline: Keys to handling disciplinary issues in the workplace](#)

[Grievance: Keys to handling grievances in the workplace](#)

[Notes](#)

[Print](#)

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Foreword

The Acas statutory Code of Practice on discipline and grievance procedures is set out in paragraphs 1 to 47 below. It provides basic practical guidance to employers, employees and their representatives and sets out principles for handling disciplinary and grievance situations in the workplace.

The Code does not apply to dismissals due to redundancy or the non-renewal of fixed-term contracts on their expiry. [See advice on redundancy.](#)

The Code is issued under section 199 of the Trade Union and Labour Relations (Consolidation) Act 1992 and was laid before both Houses of Parliament on 16 January 2015. It comes into effect by order of the Secretary of State on 11 March 2015 and replaces the Code issued in 2009.

A failure to follow the Code does not, in itself, make a person or organisation liable to proceedings. However, employment tribunals will take the Code into account when considering relevant cases.

Tribunals will also be able to adjust any awards made in relevant cases by up to 25 per cent for unreasonable failure to comply with any provision of the Code. This means that if the tribunal feels that an employer has unreasonably failed to follow the guidance set out in the Code they can increase any award they have made by up to 25 per cent. Conversely, if they feel an employee has unreasonably failed to follow the guidance set out in the Code they can reduce any award they have made by up to 25 per cent.

Employers and employees should always seek to resolve disciplinary and grievance issues in the workplace. Where this is not possible employers and employees should consider using an independent third party to help resolve the problem. The third party need not come from outside the organisation but could be an internal mediator, so long as they are not involved in the disciplinary or grievance issue. In some cases, an external mediator might be appropriate.

Many potential disciplinary or grievance issues can be resolved informally. A
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issue cannot be resolved informally then it may be pursued formally. This Code sets out the basic requirements of fairness that will be applicable in most cases; it is intended to provide the standard of reasonable behaviour in most instances.

Employers would be well advised to keep a written record of any disciplinary or grievance cases they deal with.

Organisations may wish to consider dealing with issues involving bullying, harassment or whistleblowing under a separate procedure.

More comprehensive advice and guidance on dealing with disciplinary and grievance situations is contained in [Discipline and grievances at work: the Acas guide](#) (PDF, 841KB, 79 pages). The booklet also contains sample disciplinary and grievance procedures.

Unlike the Code employment tribunals are not required to have regard to the Acas guidance booklet. However, it provides more detailed advice and guidance that employers and employees will often find helpful both in general terms and in individual cases.

Legal decision affecting section 16

When dealing with requests to postpone a disciplinary hearing to accommodate the attendance of a worker's companion, readers of the Code will wish to be aware of the Employment Appeal Tribunal judgement in the case of *Talon Engineering Ltd v Smith*. Guidance on this issue is contained in [Discipline and grievances at work: the Acas guide](#) (PDF, 841KB, 79 pages).

The Code of Practice

Introduction

1. This Code is designed to help employers, employees and their representatives deal with disciplinary and grievance situations in the workplace

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- Disciplinary situations include misconduct and/ or poor performance. If employers have a separate capability procedure they may prefer to address performance issues under this procedure. If so, however, the basic principles of fairness set out in this Code should still be followed, albeit that they may need to be adapted.
- Grievances are concerns, problems or complaints that employees raise with their employers. The Code does not apply to redundancy dismissals or the non-renewal of fixed-term contracts on their expiry.

2. Fairness and transparency are promoted by developing and using rules and procedures for handling disciplinary and grievance situations. These should be set down in writing, be specific and clear. Employees and, where appropriate, their representatives should be involved in the development of rules and procedures. It is also important to help employees and managers understand what the rules and procedures are, where they can be found and how they are to be used.

3. Where some form of formal action is needed, what action is reasonable or justified will depend on all the circumstances of the particular case. Employment tribunals will take the size and resources of an employer into account when deciding on relevant cases and it may sometimes not be practicable for all employers to take all of the steps set out in this Code.

4. That said, whenever a disciplinary or grievance process is being followed it is important to deal with issues fairly. There are a number of elements to this:

- Employers and employees should raise and deal with issues promptly and should not unreasonably delay meetings, decisions or confirmation of those decisions.
- Employers and employees should act consistently.
- Employers should carry out any necessary investigations, to establish the facts of the case.
- Employers should inform employees of the basis of the problem and give them an opportunity to put their case in response before any decisions are made.

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- Employers should allow employees to be accompanied at any formal disciplinary or grievance meeting.
- Employers should allow an employee to appeal against any formal decision made.

Discipline: Keys to handling disciplinary issues in the workplace

Establish the facts of each case

5. It is important to carry out necessary investigations of potential disciplinary matters without unreasonable delay to establish the facts of the case. In some cases this will require the holding of an investigatory meeting with the employee before proceeding to any disciplinary hearing. In others, the investigatory stage will be the collation of evidence by the employer for use at any disciplinary hearing.
6. In misconduct cases, where practicable, different people should carry out the investigation and disciplinary hearing.
7. If there is an investigatory meeting this should not by itself result in any disciplinary action. Although there is no statutory right for an employee to be accompanied at a formal investigatory meeting, such a right may be allowed under an employer's own procedure.
8. In cases where a period of suspension with pay is considered necessary, this period should be as brief as possible, should be kept under review and it should be made clear that this suspension is not considered a disciplinary action.

Inform the employee of the problem

9. If it is decided that there is a disciplinary case to answer, the employee should be notified of this in writing. This notification should contain sufficient information about the alleged misconduct or poor performance and its

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Human Resources

From: [REDACTED]
Sent: 21 September 2020 18:05
To: Chloe Tickle
Subject: FW: RR

Hi Paul,

It was good to catch up yesterday.

I have reviewed the performance management concerns that you have for Robbie Row and attach invitation letter to the first stage of your Capability Procedure as well as a script to assist you with that meeting which goes through each of your concerns and gets further information from him as to how he perceives the issues.

In terms of the process itself, a performance management process can be quite lengthy and it is rarely completed in its entirety much before 12 weeks. We can assist you with each of the letters and scripts at each stage if needs be.

At each stage you need to consider:

- The employee's role, duties and responsibilities;
- The areas of concern;
- Any recent discussions/appraisals where you have explained the concerns;
- The areas in which you would like him to improve, including targets and objectives.

The process generally includes:

- Clarifying the required standards;
- Identifying areas of concern;
- Establishing any likely causes of poor performance;
- Identifying any training needs or reasonable adjustments;
- Setting specific, measurable, achievable and relevant targets for improvement; and
- Setting a time-scale for review. I suggest a review period of 3/4 weeks to give the employee an opportunity to address the issues.

The formal process is as follows:

1. Step One: Identify Performance Issues and Manage Performance Informally

As you know, performance issues should initially be dealt with informally between the employee and his line manager as part of day-to-day management. I understand that you have already done this with Robbie and therefore the attached documents take you on to step 2.

2. Step Two: Invitation to meeting

If the performance issues identified have not been addressed within the review period, the matter should be escalated and dealt with by way of formal action. You should then write to the employee setting out:

- The concerns regarding performance and the reasons for those concerns;
- The likely outcome if, following a formal meeting, you decide that his performance has been unsatisfactory;
- Enclosing all documents and evidence that will be used or referred to at the meeting;
- Informing the employee of the time and place of the meeting and the right to be accompanied; and
- Making clear that the potential outcome of the meeting is a first written warning.

The attached invitation letter should cover these points.

3. Step Three: Meeting to discuss the problem

The meeting should ideally be conducted by the employee's line manager and with someone in attendance as a notetaker. The aim of the meeting should be to:

- Clarify the required standards/expectations you feel he has failed to meet and examine the evidence;
- Allow the employee to ask questions, respond to the evidence put forward, provide any evidence he may have and put his views across;
- Establish the likely reasons for the poor performance;

- Identify what can be done to assist the employee in improving his performance, such as additional training or supervision; and
- Set agreed targets for improvement and a time-scale for review.

4. Step Four: First written warning/improvement note

If you consider that the performance is unsatisfactory, the employee should be given a first written warning setting out:

- The areas in which the performance has fallen below required standards;
- The improvement that is required;
- The timescale for achieving this improvement;
- Any support you will provide to assist him, such as additional training or supervision.

This can be done as a performance improvement plan similar to the one you sent me but I have also attached our blank template in the event you would find that helpful Chloe.

5. Step Five: Review period

If possible, the length of the review period should be discussed and agreed at the capability meeting and should again be around 4 weeks perhaps, albeit you could agree a longer or slightly shorter period if needs be. The employee's performance should be regularly monitored during the review period. If you are not satisfied with progress, you will need to hold a further capability meeting. The employee should again be notified of the capability meeting, and the possible outcomes of the meeting, as above. We will draft this letter for you.

6. Step Six: Second capability meeting

The focus of the meeting will usually be on the extent to which his performance has improved over the review period and, if it has not improved to a satisfactory level, the reasons for this and whether anything further can be done to assist him. A further period of review and further objectives should be agreed with him at the meeting. The objectives should be confirmed to the employee after the meeting in the outcome letter.

7. Step Seven: Final Written Warning

A final written warning should then be issued giving details of the grounds for concern and warning that failure to improve performance may lead to dismissal. This should set out the areas of improvement and targets etc discussed and agreed during the meeting and warn of the consequences of failing to improve within the review period.

8. Step Eight: Final capability meeting and dismissal

The final stage in the capability process is dismissal. Again, the employee's line manager should conduct the meeting and the employee should have the same rights as at the other capability meetings. Reasons for dismissal must then be provided in writing confirming the date of termination, the appropriate period of notice and providing him with the right to appeal.

9. Step Nine: Appeal

The employee must be given the right to appeal against any disciplinary action, including warnings. Any appeals made by the employee should be heard by a more senior manager.

Medical/ Disability issues

As we discussed yesterday, the employee may argue that the performance issues are due to his medical condition. If, and when he does this, we can discuss this further together with any reasonable adjustments that may be necessary but it may be worth considering a referral to his GP if he mentions further concerns relating to this incident many years ago.

I hope this is helpful Paul but give me a call if you want to talk through anything.

Kind Regards
Chloe

Personal Statement – LO3

3.1 Evaluate the organisations approach to performance management, including employee performance and development reviews.

Elliot's Hill Care Ltd is a private care company and is heavily regulated by CIW and Social Care Wales. As such, we are required to undertake supervisions (Appendix 7) on a 12-weekly basis, as well as annual appraisals (Appendix 8). During these meetings the employee's performance is reviewed alongside the organisations values and objectives, and targets are set ahead of the next review. The organisations approach to supervisions and appraisals is also set out within the employee handbook (Appendix 28).

In the event of poor performance, the organisations capability policy may be invoked (Appendix 11). This is similar to the disciplinary procedure where sanctions may be issued up to and including dismissal in the worst scenarios where employees have repeatedly underperformed. During this process, the company would support the employee by providing additional training and support and meet with the employee at regular intervals.

In evaluation, our approach to performance management is compliant with employment law, however I feel that more attention could be paid to the importance of supervisions and appraisals by line managers who feel that these are merely a tick box exercise. Through educating our line managers with 'toolbox talks' (Appendix 30) on the importance of these processes, I believe that we will encourage employees to participate more and increase the performance output of our teams. I would recommend that additional training is issued to line managers in this respect, and that supervisions include more attention to the development opportunities of staff to progress within the sector and within the organisation.

3.2 Assess the extent to which performance management processes support high performance working (HPW) and contribute to sustained organizational performance.

There is increasing evidence that shows that by adopting High-performance Work Practices (HPWs) organisations are able to improve their own performance and continue to grow. According to (Gephart & Van Buren, 1996), HPWS create 'synergy' which maintains the competitive advantage of businesses adopting that approach.

In this day and age business growth and developing a competitive edge is extremely important to the UK's economy and prosperity. Evidence suggests that by developing a specific 'bundle of policies', organisations are able to implement a HPWS (Stone, et al., 2012).

3.3 Recommend ways for developing performance management processes to enhance their impact on organizational performance.

There are several ways that performance management processes can be developed within my organisation. Firstly, line managers need to be educated on the importance of delivering supervisions and appraisals and how to approach these in order to get maximum value out of them (Appendix 30).

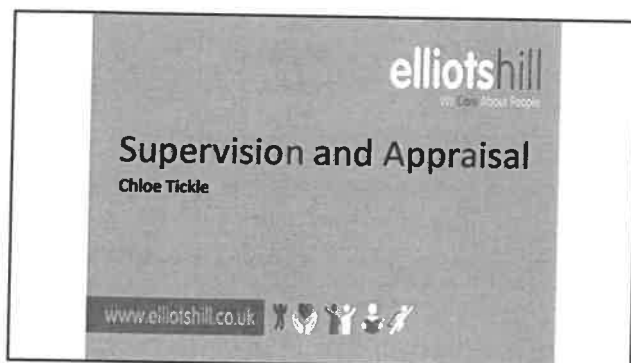
Secondly, employees need to be made aware of the purpose of supervisions and the benefits of taking part in these processes as many employees are also of the opinion that these are merely a tick

box exercise. This can be seen within the probationary review pack and the 'supervision contract' which employees are required to sign.

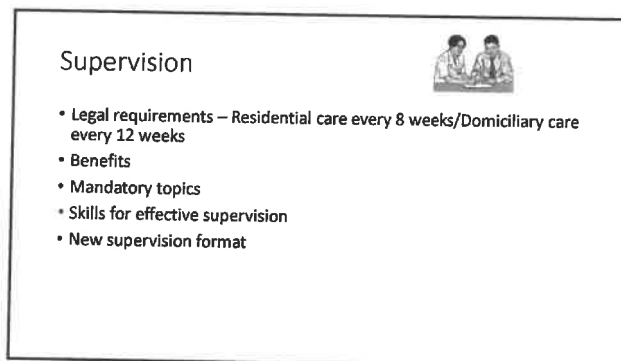
Finally, I believe it is important that these processes are aligned to the organisations values, beliefs, culture and business objectives and as such a thorough review will be carried out of these processes within my organisation. Objectives need to be SMART in nature, and should set out what the business is trying to achieve to ensure that the business is driven in the right direction (CMI, 2014).

Supervisions and appraisals provide both employer and employee the opportunity to reflect on their previous practice and forms the basis for continuous professional development. This is a concept that believes that we are constantly learning from our experiences and applying this knowledge to practice. Gibb's reflective cycle (1988) is a framework used to aid reflective practice and to give structure to learning experiences allowing employees to learn and plan from passed experiences to encourage future development (The University of Edinburgh, 2020).

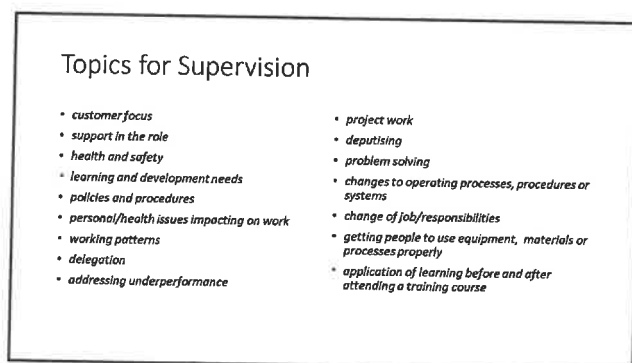
Evidence – LO3



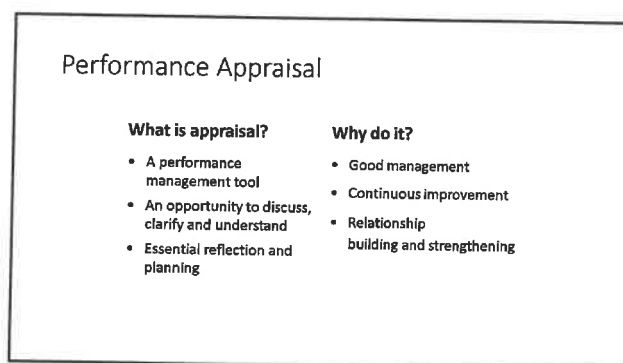
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4

Introducing the PDP

- What is the PDP?
 - Performance Development Process
- Key features
 - Performance agreement
 - Performance review
 - Personal development
- Why do we need it?

5

Performance Agreement

- Purpose
- What is to be achieved
- How performance will be monitored
- How performance will be supported



6

Performance Review

- Day-to-day performance discussions
- Routine performance reviews
- Formal performance reviews



7

Preparation

- For appraisers
- For appraisees
- Third-party feedback



8

Assessing Performance

5 keys to effective assessment:

- Preparation
- Clarification
- Facts & evidence
- Rounded evaluation
- Considered factors



9

Conducting the Review

- Joint discussion
- Privacy
- Offer praise
- Balanced view
- Prioritise action
- Agreement



10

Feedback

Why give feedback?

- Specific
- Descriptive
- Forward-looking



11

Objectives



- S
- M
- A
- R
- T

12

Elliot's Hill PDP

- Send out Appraiser Form to all appraisers – start now!
- Set dates for individual appraisals – allow 1hr each
- Complete Appraiser form
- Conduct appraisals and complete Form 3

DEADLINE – 31st July 2016

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