Leadership and management

Recommendations for CQC Providers Guide

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

Spring 2017
Leaders and managers in adult social care have never been as important as they are right now. With increasing numbers of people needing care and support nationwide, it is imperative that organisations continue to recruit and develop leaders and managers to meet the need and the challenges ahead.

Leaders and managers are important to the success of any organisation. Within adult social care, effective leaders and managers are essential for the provision of high quality, person-centred care for all those in need of it.

The CQC expects all adult social care providers that they regulate to demonstrate that they are well-led organisations. Their inspection process looks closely at this and not only publishes the results on their website but expects the provider to also display the inspection outcome in their own organisation.

With increased accountability and transparency being available to the public, the success of the organisation relies heavily on the values and expertise of those who own, govern, lead and manage it.

For regulated providers, responsibility extends beyond the registered managers to the nominated individuals, senior managers, directors and the owner of care organisations. Ensuring the senior team responsible have the right expertise is crucial for new businesses to be successful and existing organisations to grow.

With the latest statistics indicating that just short of 50 per cent of registered managers will be reaching retirement age in the next 10 to 15 years, emerging talent must be developed into the managers and leaders of the future.

Succession planning should be a high priority for regulated providers. Developing new managers from the ground up within an organisation can have far reaching benefits. Current leaders and managers need to be accountable to the measure of worth in terms of the legacy of leadership they leave behind.

**How Skills for Care can help**

Skills for Care and our National Skills Academy for Social Care offers support that includes a variety of development programmes, tools and resources for leaders and managers at all levels, from career-entry graduates through to those aspiring to, or already in, senior leadership and management roles.

We also offer tailored programmes for new directors and commissioners of care, as well as development support for leaders and managers in social work and community leadership roles.

Our new Well-led Programme launched in 2017 and is aimed at registered managers wishing to deliver a well-led service.

Whether an organisation is in the process of registering with the CQC for the first time, changing their registered manager or wish to develop their future leaders, Skills for Care can help.

Through qualifications, funding, the peer to peer networks, membership we provide, the leadership programmes and the bespoke service we offer, regulated providers can benefit from engagement with Skills for Care.
Leadership and management

For new care providers and managers, we recommend this full section is read. For those more familiar with our information and advice, the following links direct you to appropriate sub-sections:

**Registered managers**
- Recruiting Registered Managers
- Registered manager qualifications
- Registered Manager Membership
- Registered Manager Networks

**Developing Managers, Nominated Individuals and Directors**
- Manager Induction Standards
- Leadership Qualities Framework
- People Performance Management Toolkit
- Positive Workplace Culture
- Nominated Individuals
- Guidelines for Nominated Individuals
- Directors
- Development Programme for New Directors

**Leadership programmes**
- Integrated Graduate Management Programme
- Moving up - Black, Asian and Minority Ethnic Leaders Programme
- Well-led Programme
- Top Leaders Programme
- Leadership for Empowered and Healthy Communities Programme

**Good and Outstanding Care Guide**
- Good and Outstanding Care Guide
- Good and Outstanding Care Guide: Workbook Edition
Registered Managers

From the qualifications and induction processes to the tools needed to be successful in the role, Skills for Care supports registered managers at every stage of their career.

We’ve produced a number of resources to help registered managers with the issues they face on a day-to-day basis, including inspection and recruitment. Our locality managers and registered managers networks provide local, practical support and effective ways to learn from others.

Alongside joining a network, registered managers can also join the National Skills Academy (NSA) for Social Care – the membership body for registered managers. The membership offer includes discounts on Human Resource (HR) support and Skills for Care resources, receipt of a membership handbook and monthly e-bulletin resource updates, and the opportunity to become a mentor or a mentee. We have launched our new Well-led Programme for registered managers.
Recruiting Registered Managers

For regulated providers, the registered manager (alongside others involved in the governance and directing the organisation) is legally responsible and accountable for meeting the CQC’s Fundamental Standards of Quality and Safety.

Employing a registered manager who is fit for the role is essential. They must have the right values, skills, qualifications and experience to undertake this important position. The registered manager plays an important role in setting the right culture, approach and leading by example.

The CQC registration team has many years of experience of selecting registered managers and makes these decisions on a case-by-case basis.

When recruiting a new manager the provider hopes will become a registered manager, they (and the individual submitting an application) should first read the following CQC publication:

- CQC Fundamental Standards – Regulation 7: Requirements relating to registered managers (and associated guidance)
Recruiting or changing the Registered Manager

Providers need to ensure that they follow a thorough recruitment and selection process when recruiting someone they intend to become a registered manager.

While each provider will follow their own recruitment process, only the CQC can ultimately decide whether a new proposed registered manager is appropriate for the role.

- If a provider wishes to change a registered manager, it is the responsibility of the outgoing registered manager to notify the CQC in writing that they will be no longer operating in that position. For providers considering changing the registered manager, please visit this section of the CQC website.
- Similarly, it is the responsibility of an incoming manager to formally apply to the CQC (rather than the provider they will be working for) to be approved as the registered manager. For new providers wishing to register with the CQC for the first time, please visit this section of the CQC website.

Whilst regulated providers will wish to recruit or promote those best suited to the role, ultimately it is the CQC that will make the decision as to whether the proposed new manager has the skills, qualifications and experience needed to be a registered manager.

Skills for Care is regularly asked who will be appropriate to be a registered manager. The CQC’s own Helpline often refers employers to us for advice. Whilst we can advise on what backgrounds and experience will often be considered by the regulator, only the CQC can decide.

There is no definitive list of what the regulator will or will not accept. Those wishing to become a registered manager must be prepared to convince the CQC how they can effectively manage a service to meet the CQC Fundamental Standards. Those with very limited health or adult social care experience or who have very limited qualifications are unlikely to be seen as appropriate to be the registered manager.

New and existing providers should also be prepared for the time it takes for CQC to make decisions. The length of time it takes for the CQC to review applications can vary but it is often between 8 to 12 weeks. This process includes a review of the application, a fit person interview and the regulator following up of references.

When making a judgement, the response by the CQC will be proportionate, taking into account the impact on outcomes for people who need care and support, the person’s previous experience, existing qualifications and any steps they have taken to achieve a qualification listed above.
Registered Manager Qualifications

For those wishing to become new registered managers, Skills for Care has been recommending one qualification for the past 5 years. However, the CQC also continues to recognise earlier qualifications and this section provides insight into what may also be considered by the regulator.

Level 5 Diploma in Leadership for Health and Social Care

This Level 5 diploma, part of the vocational Qualification Credit Framework (QCF) system, was introduced in 2011 following the closure of the National Vocational Qualification (NVQ) system. It is the current qualification we would recommend to anybody wishing to become a registered manager.

The qualification was developed specifically around care management and takes into account the skills and competences required for those working in positions such as a registered manager. It is more specialised than other leadership and management qualifications (many of which are not deemed as equivalent).

For anybody wishing to undertake the Level 5 Diploma, they need to be working within a health or adult social care setting. This is because the qualification includes various workplace assessments of competences, which cannot be undertaken in classroom or via e-learning.

Progression

We would usually recommend that those wishing to become a registered manager to progress up from a more junior role in the organisation, gaining experience of the service and the skills and competences needed to effectively run a care service. Please refer to the Qualifications and Apprenticeships section of this guide to learn more about other qualifications leading to the Level 5 Diploma.

The Apprenticeship Route

The Level 5 Diploma can be undertaken as either a standalone qualification or as part of a Higher Apprenticeship. Although providers occasionally advertise for new recruits to join the Higher Apprenticeships, many use this opportunity to develop their existing talent as part of succession planning processes.
How long will it take to compete the Diploma?
Skills for Care would recommend those considering it to allow a minimum of one year to complete but it can take longer (for example, some further education colleges offer this as a two year course).

What does the qualification cover?
The qualification includes some mandatory units and other optional units beneficial to different care services.

Can anybody working in health and adult social care commence this qualification?
For those not yet working in a care management role, this is important to review what tasks you currently undertaken with the chosen learning provider.

If the role is too junior, it may not be possible to commence the Level 5 Diploma simply because the learning provider will not be able to assess the learner undertaking duties needed for the qualification. However, employers could second the individual to some care management work to help them to achieve the qualification.

Entry requirements
This will vary as some learning providers open the qualification to all, whilst others may only offer it to suitably experienced and qualified individuals (for example, those who have already achieved the Level 3 Diploma in Health and Social Care).

Selecting a learning provider
Whilst we helped to create the Level 5 Diploma, Skills for Care does not deliver any training or qualifications. We would recommend anybody wishing to find a learning provider offering the diploma to first look at our list of Endorsed Providers.

When selecting any learning provider we would recommend to review what they offer in terms of support and how they propose to deliver the training, obtain quotes from a minimum of three organisations and follow up references.

Funding
Funding at this level is not guaranteed. Employers or individuals wishing to undertake the Level 5 Diploma should be prepared to fund themselves and are encouraged to compare the prices charged by learning providers (which can vary considerably).

Skills for Care’s Workforce Development Fund (WDF) can help adult social care employers to recoup some of the cost of this qualification. To learn more about who and how an employer would be eligible for this funding, please visit our WDF website section.
Succession Planning
Given the impact the loss of a registered manager can have on an adult social care provider, employers are encouraged to provide opportunities for senior care workers, supervisors and team leaders to work towards the Level 5 Diploma. This can also benefit the organisation during periods where the registered manager is on leave or sick. The aforementioned funding can help keep the costs of these development opportunities down.

Forthcoming changes to Qualifications
The current QCF system is due to replaced in the coming years with the incoming Regulated Qualifications Framework (RQF) system. Skills for Care will continue to keep employers updated of the incoming changes via our website and enews.

Whilst a new version of the Level 5 Diploma is expected to be introduced in January 2018, the existing version is expected to be available until that point.

As with earlier qualification systems, those currently working towards the current Level 5 or commencing it shortly should expect that the CQC will continue to recognise it for many years to come.

Earlier equivalent qualifications
For those who undertook qualifications before the QCF system was introduced, the following qualifications are still regularly recognised by the CQC for those wishing to become a registered manager. NB: It is no longer possible to commence these qualifications.
- Registered Manager’s Award (RMA)
- An NVQ Level 4 in Leadership and Management for Care Services (LMCS)
- Level 4 NVQ in Health and Social Care.
- Relevant nursing, physiotherapy or occupational therapy qualification and registration.
- Relevant social work qualification and registration with the Health and Care Professions Council (HCPC).
- Degree/master’s degree related to social care.

While the above qualifications often being widely regarded, they are not care management specific. Therefore, CQC approval of new registered managers based on these is not guaranteed.

Other qualifications that may be considered
If an individual does not have the aforementioned qualifications, it does not mean that they cannot become a registered manager. There have been occasions where the following qualifications have contributed to the CQC decision to approve.
Registered Manager Membership

Registered manager membership to our National Skills Academy costs just £35 a year. Membership gives registered managers access to exclusive resources and support to help them in their role. Membership includes:

- a welcome pack with a membership certificate and further information on our resources
- a copy of the Registered Managers’ Handbook
- an exclusive member’s newsletter containing monthly ‘cut out and keep’ updates to add to the Registered Managers’ Handbook
- the opportunity to receive mentoring or become a mentor for other registered managers
- access to over 100 electronic resources catalogued online to help Registered Managers with their role
- access to our LinkedIn forum, exclusive to registered managers
- the registered manager’s member logo to use on communication materials
- an online toolkit to help registered managers compare their leadership against the Leadership Qualities Framework
- discounts on leadership development programmes
- discounted access to HR support
- Access to the ‘Good and outstanding’ guide - workbook edition for renewing members or new members for two years

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The importance of supporting the ongoing development of registered managers cannot be underestimated, with the number and strength of networks helping to grow leaders and managers nationwide.

Skills for Care is supporting the building of networks of registered managers across England, because we believe that there is strength in numbers.

We support groups of registered managers to meet with one another in their local areas and network. There are already over 150 networks across the country and we’re working with registered managers to create new ones.

The networks are led by registered managers themselves, so the topics discussed at meetings are always relevant to those attending. Networks also benefit from the support of a Skills for Care locality manager, who provides advice and guidance on meeting structure, venues and finances.

Registered managers’ networks aim to reduce isolation at a local level by offering peer support. They’ll give registered managers the chance to speak to people who can assist with the quality agenda, like regulators and commissioners.

To find a network in your area please see our registered managers’ network directory, or contact your Skills for Care locality manager.
Skills for Care Recommendations for CQC Providers

Leadership and management

Developing managers, Nominated Individuals and Directors

Skills for Care promotes the continued development of registered managers, nominated individuals, directors and other senior managers.

We offer a range of options to develop those new to these positions or existing leaders and managers wanting to develop themselves further. From self-managed induction processes to longer-term leadership opportunities, our standards, qualifications, tools and programmes can help.

Manager Induction Standards

Skills for Care’s Manager Induction Standards set out clearly what a new manager needs to know and understand.

The Manager Induction Standards can ensure that new and aspiring managers have a firm foundation as they begin to develop the core skills and knowledge required by CQC.

The regulations expect leaders and managers to support learning and innovation and to also promote an open and fair culture. The Manager Induction Standards cover all of these areas, encouraging managers to consider wider issues to support them to meet the CQC regulations. In addition they can support innovative practice directing the manager to think outside of the box in leading a quality service.

The Manager Induction Standard is a self-managed process which a new manager would progress through under their own initiative (although some organisations may provide line management or peer support to assist). Skills for Care also produces resources to complement much of the focus of these standards.

The standards can to be used in a wide range of settings, including people who manage their own services and micro-employers, as well as small, medium and large organisations across the public, private and voluntary sectors.

We recommend that these should be considered as part of the induction process for all those new to management. The standards are the first step to equip new and aspiring managers to perform well in their role. They are a versatile tool for:

- new managers - those new to management and those new in post who have previously managed other care services
- existing managers - to use as a benchmark of their own practice and potential learning and development needs, especially if their role has changed over the years
- aspiring managers - to plan an appropriate development programme, increase their understanding of the expectations of a manager role and increase their potential of securing management positions in the future.
The revised Manager Inductions Standards was launched in January 2017.

The induction standards can be undertaken as a standalone process or to support somebody undertaking the Level 4 Certificate in Principles in Leadership and Management in Adult Care.

Evidence from the complementary Becoming a Manager workbook can help new and aspiring managers evidence learning that can contribute towards the formal qualification.

Becoming a Manager is priced at £75 and is a practical first step towards care management. It is available from the Skills for Care Bookshop.

**What are the Manager Induction Standards?**

1. Leadership and management
2. Governance and regulatory processes
3. Communication
4. Relationships and partnership working
5. Person-centred practice for positive outcomes
6. Professional development, supervision and performance management
7. Resources
8. Safeguarding, protection and risk
9. Manage self
10. Decision making
11. Entrepreneurial skills and innovation

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Leadership Qualities Framework (LQF)

The Leadership Qualities Framework (LQF) describes the attitudes and behaviours needed for high quality leadership at all levels across the social care workforce. It focuses on the values and behaviours that provide the foundations for effective leadership in social care.

It can be used:
- by individuals to review and reflect on their performance as a leader
- to support recruitment and selection to leadership and management roles
- to inform the design of staff development and leadership learning programmes
- to review individual, team and organisational development and performance.

The framework describes the key leadership behaviours and attitudes that need to be demonstrated by social care managers at all levels. Its aim is to support the transformation of adult social care through better leadership.

It’s useful because many people working in social care know that good leadership is very important to high quality care provision, but often find it difficult to articulate what it means, either for themselves or their organisations.

It is designed for use by for everyone in the social care workforce, no matter what the size of their organisation or the nature of their role.

The LQF includes focus on the following:

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<th>Demonstrating personal qualities</th>
<th>Working with others</th>
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<tr>
<td>Including developing self-awareness, managing yourself, continuing personal development and acting with integrity</td>
<td>Including developing networks, building and maintaining relationships, encouraging contribution and working within teams</td>
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<th>Managing services</th>
<th>Improving services</th>
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<tr>
<td>Including planning, managing resources, managing people and managing performance</td>
<td>Including ensuring the safety of people who need care and support, critical evaluation, encouraging improvement and innovation, facilitating transformation</td>
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<th>Setting direction</th>
<th>Creating the vision</th>
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<td>Including identifying the contexts for change, applying knowledge and evidence, making decisions and evaluating impact</td>
<td>Including developing the vision, influencing the vision of the wider social care system, communicating the vision and embodying the vision</td>
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<th>Delivering the strategy</th>
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<td>Including framing the strategy, developing the strategy, implementing the strategy and embedding the strategy</td>
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The Leadership Qualities Framework can be downloaded for free from the Skills for Care website.
**People Performance Management Toolkit**

People performance management matters and how well this is done has a huge impact on the quality of care that people in need of care and support receive.

Investing time in managing the performance of employees is essential to ensure that teams, service and organisation are all delivering excellent services. It is also important to the people who need care and support (as well as their families and carers).

Managers are responsible for knowing if the team members are performing well. This means they conduct themselves in a way that is guided by the values important to the organisation and to the health and social care sector - promoting the health, wellbeing and independence of people they support with compassion, respect and dignity.

The People Performance Management Toolkit provides practical support to people managers to deal with some of the key performance management challenges. It has been developed by Skills for Care and our National Skills Academy for Social Care in partnership with NHS employers.

The aim is to support managers in social care and health with their responsibilities for people performance management. It is for anyone with line management responsibility in social care and health regardless of size, and whether it is commercial, voluntary sector, local authority or NHS.

The toolkit aims to encourage and enable better performance management practices at all levels of health and social care, particularly among managers of people who deliver care at the frontline.

**There are seven sections:**

1. People performance management
2. Where should I start
3. Reviewing employee performance
4. Managing different types of performance
5. Conversations about performance
6. Scenarios – practical demonstrations of use
7. Help in a hurry

This practical tool demonstrates how applying a range of different skills and behaviours during the management process can help maintain a motivated team.

The toolkit doesn’t replace organisational policies and procedures where they exist and should be used as an additional resource.

The People Performance Management Toolkit can be downloaded for free from the Skills for Care website.
Positive workplace cultures are central to an organisation’s success or failure and are never more important than when the service is providing people with care and support. Positive workplace cultures in social care not only address productivity and the health and wellbeing of staff, but also look to improve outcomes for those who need care and support services.

Skills for Care’s Culture for Care: Your Toolkit is intended for all social care and support providers, regardless of size or services delivered.

It is a practical toolkit supported by good practice examples drawn from employers from across the sector. It integrates closely with other resources, qualifications and frameworks from around the sector, from both Skills for Care and partners.

Business benefits of a positive workplace culture include:
- an improvement in the quality, consistency and personalisation of services
- a happier, more settled and skilled workforce with improved wellbeing
- reduced recruitment and retention costs
- an improved reputation within social care
- a raised profile with commissioners and people who monitor the quality of services
- a workforce which has an improved ability to cope when facing external challenges

Practical activity sheets
In addition to the Culture for Care toolkit, employers can also access four activity sheets that will help leaders and managers’ identity, address and embed positive workplace cultures in your workplace. The sheets include exercises and team activities that can be done both in teams and individually. The activity sheets are included in the toolkit but can also be downloaded from the links below:
- Activity sheet 1: understanding your workplace culture
- Activity sheet 2: self-assessment tool
- Activity sheet 3: analyse-plan-do-review
- Activity sheet 4: planning for the future
Leadership and management

Nominated Individuals

Nominated Individuals (sometimes referred to as the Responsible Individual) play a pivotal leadership role in many regulated services. Each CQC regulated provider would usually identify someone for this role and agree this with the CQC. It is quite common for the nominated individual and registered manager role to be undertaken by the same person. However, there are also many instances of where the registered manager and nominated individuals are different people within the same service.

While the registered manager ensures the delivery of the regulated activity on a day-to-day-basis, organisations may also have a separate Nominated Individual who represents the provider in their dealings with the CQC.

The nominated individual should be able to demonstrate that they have sufficient skills, knowledge and experience to effectively oversee the running of the care organisation e.g. ensure adequately trained staff in post, oversee funds so that all necessary equipment/resources are in place.

The overall direction of travel in the social care sector is towards greater accountability and transparency, along with a commitment to service quality. Therefore, ensuring the nominated individual has the skills and experience to undertake the role is key.

If working in conjunction with a registered manager, the nominated individual will not be required to have a care-specific qualification, so long as they are not involved in care duties. We have identified a number of products and services that will be beneficial to nominated individuals. These can be accessed from our main Skills for Care website.
Guidelines for Nominated Individuals

Skills for Care’s National Skills Academy for Social Care conducted research with 400+ nominated individuals. The research explored the induction nominated individuals had when they started out; how they viewed the role; the level of support and training they received; and what kinds of support they believed would have a tangible impact.

The guidelines, lightly refreshed in 2016 to reflect our latest products and services, provide recommendations for new, existing and aspiring nominated individuals.

Guideline 1:
Understand the standards and regulations in the sector

What is a Nominated Individual

- The regulations require identified regulated service providers to nominate an individual to act as the main point of contact with the Care Quality Commission (CQC).
- A Nominated Individual should be an employed director, manager or secretary of the organisation. It is up to the provider who to nominate, as long as they meet these criteria.
- A Nominated Individual can cover all or several of the regulated activities provided. If the provider wishes it can have a different individual for each regulated activity.
- In registering, the provider is asked to state on the application form which regulated activities each Nominated Individual will be responsible for.
- An individual or partnership registering does not need a nominated individual. This is the case with many smaller businesses. The requirement relates to organisations and companies and that person is named on their behalf as the main point of contact for CQC.
- There are similar requirements in all parts of the UK and in a number of aspects of children’s services. Whilst it is a fact that the same person may perform the equivalent role across countries and in both adult and children’s services: this guidance is about adult social care arrangements in England.
The legal background

- The Health and Social Care Act 2008 and the subsequent Regulations in 2010 are the basis for regulated activity in health and social care in England. This legislation specifies the criteria for Nominated Individuals and lays out the requirements for the type of organisation that must put them in place.
- Regulations define ‘organisations’ as including: local authorities, NHS trusts, voluntary organisations, charities, limited companies and limited liability partnerships.
- To appoint someone as a nominated individual, an organisation must be able to show that the person: has a clear check from the Disclosure and Barring Service
- is employed by the organisation as a director, manager or secretary with responsibility to supervise the management of the regulated activity
- has the necessary ability to carry out the supervisory role.

Role and responsibility

- Organisations and companies providing regulated activities are required to have a Registered Manager and a Nominated Individual; they have different, but interlinked roles. They can be, but are not usually, the same person. The Registered Manager has to manage the provision of a safe, effective, high quality service and the Nominated Individual has to supervise, and take responsibility for, the management and provision of the service.

Recommended products and services

Our Standards and Legislation advice and resources can deepen knowledge and help your organisation comply with the following:

- Care Act
- Care Quality Commission (CQC) regulations
- Care Certificate
- Manager Induction Standards (MIS)
- Code of Conduct
Guideline 2: Provide an effective contact point for CQC

What does the Nominated Individual do as main point of contact?

The person in the position will be held to account by CQC for the quality and safety of the service. The organisation will have to be able to demonstrate that the nominated individual is capable of performing this role and that they have the relevant skills, knowledge and experience to oversee the carrying on of a regulated service.

As the main point of contact for the CQC the position-holder should be able to respond to requests for information and queries; this means that the nominated individual must always have current and accurate knowledge of the service at any given point.

The role will require the nominated individual to;

- makes sure the registration details are accurate and up to date both in the service and with CQC
- ensures CQC are notified of any changes to registration details and that they receive other notifications as required in the regulations
- receives copies of all information and reports in respect of inspections
- is involved in the oversight of inspection arrangements – knowing what is happening where and when
- develops a business relationship with CQC – either personally or through an arrangement that is a direct report
- Is available to ‘troubleshoot’ for the organisation

Recommended products and services

From understanding expectations, to preparing for, or responding to, CQC inspections, these resources can help:

- Care Improvement Works
- Help to complete Provider Information Returns (PIRs)
**Guideline 3:**
**Know your responsibilities and the responsibilities of others**

**What does the Nominated Individual do as main point of contact?**

The key roles in regulation are being the point of contact and supervising the management of the regulated activity. It is helpful if the expectations associated with these are laid out in more detail in a role specification at the point of nomination of an individual. Such a specification should say both what is expected of the role holder and what the organisation will do by way of support.

A key expectation is to ensure that there are adequate numbers of staff in place that the necessary resources and equipment are in place, that the staff are sufficiently trained and that vulnerable people are safe from harm and abuse. Ultimately, a failure in any of these areas will be the responsibility of the nominated individual as well as the organisation.

The requirement to supervise the management of the regulated service means that people in the role must have strong leadership and communication skills and the ability to work effectively in partnership with the registered manager. Depending on the structure of the organisation, the nominated individual may provide the communication channel between the owner or the board and the registered manager.

**Recommended products and services**
You can find the following help for leaders and managers on our website:

- Leadership programmes
- Leadership Qualities Framework (LQF)
- Workforce planning
Guideline 4: Ensure registered managers have support

Professional supervision is the regular contact between a supervisor and a registered manager enabling them to monitor and reflect on practice; review and prioritise work, provide guidance and support and identify areas of professional development. Good professional supervision improves the quality of service provided by the organisation.

Professional supervision differs from management supervision which enables the nominated individual to discuss all aspects of the services and is one of the ways to be assured that services are being delivered to a good quality standard. This type of supervision should also provide information about a range of indicators that may identify areas of possible concern (high sickness levels, high staff turnover etc.).

Professional supervision is essential not only for registered managers, but other line managers and senior managers also need the benefits of supervision. The nominated individual may not able to offer professional supervision personally, either because of other demands, or because they do not have the necessary professional experience. A mentor, clinical supervisor or a trained peer can provide professional supervision but it may be necessary to purchase these services if there is no-one within the organisation with the professional competence to provide it.

Supervision is usually one-to-one, but it can be with a small group of peers
- supervision should take place monthly, or at the most, six weekly
- it is a time that should be very clearly in the diary and should be a priority commitment that is only postponed in exceptional circumstances
- supervision should last about 1.5 hrs.
- both supervisors and supervisees should prepare for the session by going through previous notes and preparing any issues that need to be raised
- generally, the contents of professional/clinical supervision are confidential unless concerns about a supervisee’s competence, physical or mental health become evident
- the supervisor should record the areas discussed, the outcomes agreed and any goals/targets to be reviewed. The record should also be signed by the supervisee
- it is good practice for a supervision ‘contract’ to be in place between supervisor and supervisee setting out matters such as frequency, time, expectations and confidentiality.

Recommended products and services
- Effective Supervision Guide
- The People Performance Management Toolkit
- Resilience Toolkit
**Guideline 5:**
Focus on quality

The **Statement of Purpose** is about more than simply complying with registration requirements by providing a few words about the service. This should reflect what the service is intending to achieve, why it exists and what it offers. It should also be what drives the business and forms the basis for strategic and operational planning. All elements of business planning should relate back to the aims and objectives outlined in the Statement of Purpose.

Nominated individuals can use the Statement of Purpose as the basis for measuring that the service is providing what it should be. The most important aspect of what any service provides is the quality of life for the people who use it. Regardless of whether people using services live in the community or in a residential setting, the service should be able to show that it has improved the quality of life for the people who use it.

The role of a nominated individual in supervising the management of service provision is about much more than just making sure that all of the CQC requirements are met. It is about ensuring that the systems and processes enable the service to feel confident that it is achieving well and providing a high quality service.

**Recommended products and services**
The most important aspect of what any service provides is the quality of life for the people who use it. Embed good practice using:

- **Common Core Principles for Dignity, Dementia, Equality and diversity, End of Life Care**
- **Advice on long-term conditions, restrictive practices and safeguarding**
- **Information on the benefits of self-care and assistive living technologies**
Guideline 6: Focus on quality

Every organisation, regardless of size, has systems and processes. If these are effective and recording the right things, they can provide much of the information a nominated individual needs to ensure that the organisation is safe and working well. They can provide key information such as:

- Staff learning and development
- Frequency of staff supervision
- Staff turnover / Sickness levels
- Levels of participation in activity
- Numbers of people who need care and support self-care
- Complaints / Safeguarding alerts
- Health and safety inspection reports
- Fire safety inspections
- Food hygiene inspections

Each of these can provide valuable information about the service and any areas that may need closer observation. High levels of sickness and staff turnover may indicate recruitment concerns or an issue with staff morale that needs further investigation. Poor inspections for health and safety or food hygiene identifies learning and development issues, but may also be highlighting issues with organisational culture and staff attitudes.

Recommended products and services

As a nominated individual, you need to ensure that your organisation has effective systems and processes. To support your business and workforce planning use:

- the National Minimum Data-Set for Social Care (NMDS-SC)
- dashboards enabling comparisons with other care providers
- Good and Outstanding Care Guide
Guideline 7: Build and maintain external relationships

All services have to maintain relationships with people outside of the organisation. These can include:

- Families
- Commissioners
- Professional bodies
- Regulators
- Community organisations

A key role for the nominated individual is to supervise these relationships and to make sure that they are working well.

Families can often find it difficult to relate to providers, especially if the service is replacing some, or all, of their own care and support. The feelings of guilt and sense of failure that some families feel at having to call on professional support can be evidenced in challenge and an unwillingness to engage with the provider. Some families are able to welcome the additional support of a provider but still recognise the importance of their own role. Checking that families are not excluded and that they participate as fully as they wish to in the care and support of their loved one should be high on the agenda of the nominated individual.

 Commissioners are no longer just the local authority: increasingly, with greater integration of health and social care, they include health commissioners from Clinical Commissioning Groups or Continuing Health Care. There are significant and increasing numbers of self-funders commissioning their own support at home and a growth area is people choosing their own services using public funding.

The nominated individual is much more than a point of contact, they are the person able to develop relationships and participate in partnerships and joint working. The ‘public face’ of the organisation is an important role in an increasingly commercial market.

Effective marketing is informed by market intelligence, much of which comes from being actively involved in linking to the local community, working in partnership with commissioners and ensuring the regulators have regular and current information.

The registered manager may value support in some challenging situations or difficult meetings and the nominated individual can provide an important addition to the strategic element of the organisation.

Recommended products and services
- Community Skills

Recommendations for CQC providers guide, Spring 2017
Please always refer to the online version of this resource for the latest information and advice.
Guideline 8:
Provide leadership and shape the culture

It is vital to any social care organisation that the service culture is based on clear values such as dignity, respect, valuing diversity and respecting people as individuals. Services should be grounded in compassion and caring and those qualities come from the leadership. A well-led organisation will have zero tolerance of poor care or any lack of concern for the welfare and happiness of the people who need care and support.

Organisations should have a culture of openness; it should be ready to learn and seek to learn from all experiences. Feedback and challenge should be welcomed and sought out, not rejected or dismissed.

Organisations that deliver services defensively and develop systems that are designed to protect the organisation rather than expose it to learning will never develop safe, high quality, compassionate services. A culture from the top that is concerned with looking inward and rejecting any challenge or criticism will result in a service that fails to move on and develop.

Recommended products and services
- Positive Workplace Culture
- Values Based Recruitment

Guideline 9:
Network and learn with other nominated individuals

There is a strong commitment to learning and development among nominated individuals and recognition of the value of adult social care providers working together. Skills for Care has supported the provision of local networks for registered managers that have been welcomed and well attended. It could usefully do similar for nominated individuals.

Recommended products and services
We have area teams across England who can signpost to relevant information, tools, and the availability of funding for learning and development.
- Locality Managers
- Registered Manager Networks
- Registered Manager Membership
Guideline 10: Champion excellence in your organisation

The nominated individual needs to be visible. It is important that people know who the nominated individual is. People need to know how to find you and how to speak to you. Listening is as important as talking and the nominated individual can learn a great deal about their organisation by being out and about, making links and meeting the people who interact on any level with their organisation.

Being aware of any issues within an organisation will help the nominated individual to know what steps are being taken to address them and enable that information to be shared. The workforce needs to know that they are valued and achievements should be recognised publicly within and outside the organisation. Everyone enjoys compliments and they should be the response to successes by staff. Celebration is an indispensable part of life - whether it is a resident’s 100th birthday, a positive inspection report or a good practice accolade the nominated individual should participate.

Visibility is about publicity. That means understanding that taking on the role of nominated individual is being an ambassador – for regulated social care, for your organisation and essentially for the people who make use of the services. It is important to keep the public informed of both the potential benefits and harms in providing a personalised social care services. It is vital to make sure that your organisation is widely recognised and valued for the work it does. And lastly it may be necessary to be visibly there for users of services to turn to should they have nowhere else to go.
Directors should hold a core set of values, commitment, business acumen, experience and qualifications that is essential to delivering an effective care service.

Unfortunately, there have been occasions where the ineffectiveness of directors have directly damaged the reputation a care provider, including instances which have resulted in the closure of the business.

The CQC’s Fundamental Standards introduced new regulations that apply to all directors of care organisations. The intention is to ensure that directors have a responsibility for the quality and safety of care and that they are fit and proper to carry out this important role.

- CQC Fundamental Standards - Regulation 5: Fit and Proper Persons: Directors (and associated guidance)

Regulated providers are responsible for their appointments and dismissals of Directors. The CQC inspection will check and monitor the extent to which the provider meets the regulation. As part of the registration process an inspector will check that the provider has appropriate recruitment and performance management processes in place. The CQC inspection will identify if leaders have the capacity, capability and experience to lead effectively.

Skills for Care recommend that any existing or new Directors consider any of the qualifications and programmes included in this section of the guidance that may strengthen existing skills or develop new ones.

The use of additional resources referenced elsewhere in this guide can be equally beneficial to the development of directors, particularly the Culture Toolkit, Values Based Recruitment, and our Development Programme for New Directors.
Development Programme for New Directors

The New Directors development programme is for directors who are new to their role in social care and who hold statutory responsibility. It has been developed in partnership with the Association of Directors of Adult Social Services (ADASS).

The programme aims to shape the leadership techniques of directors of adult social services, to enhance their skills and develop new ones. It also gives new directors the opportunity to learn from and with each other in forming learning networks to support their work.

Those taking part in this programme will learn from experienced directors and political leaders, as well as senior voices from business, government and social care. The programme takes place over a six-month period, opening with a three day residential learning event.

“I am now constantly assessing my own practice and have the means to better myself, which in turn creates a happier, smoother workplace and, most importantly, improves the quality of service we offer.” Former participant in the New Directors programme

If you are interested in taking part, or would like more information, please email leadership@skillsforcare.org.uk
Leadership Programmes

For those working in a leadership or management role in social care, they are not only responsible for supporting those who need care and support, but for taking care of the staff and influencing the quality of care across the sector.

Good leadership and management can transform an organisation, whilst inadequate skills in these roles can destroy it. It’s important that leaders and managers are given the opportunity to develop themselves, if the highest standards of quality in social care are to be attained and maintained across the sector.

Skills for Care has created a variety of development programmes, tools and resources to help leaders and managers at all levels, feel supported in their roles. The programmes are perfect for social care leaders in varying roles, from managers to directors, who want to develop their leadership skills and learn alongside their peers.
Our new Integrated Graduate Training Programme brings the very best and brightest graduates with leadership ability and a passion for social care right to your door. This year we have redesigned and developed the graduate programme in partnership with the NHS Leadership Academy. Graduates will work and study across health and social care, bringing experience knowledge and understanding across a range of settings.

When you host a graduate, you will get access to an aspiring leader who can innovate, create change and drive forward some of your initiatives and projects within your organisation. They will bring:

- new enthusiasm, thinking and intellect through graduate participation
- access to leadership and development training for a designated placement supervisor from your organisation
- an opportunity to contribute to the leadership and management of our sector

Only the very best candidates are carefully selected through our values-based recruitment process and are matched with organisations where we think they can make a real impact.

To host a graduate, you must be able to:

- provide 12 months combining frontline experience and strategic work
- give the graduate management experience
- fund a £18,000 bursary for your graduate
- provide supervision and performance management support

Support, recruitment, learning and development costs will be covered by the Department of Health and our other key partners.

For more information on this opportunity click.
The Moving Up programme is making a real impact on learners – in terms of skills, and attitudes and aspirations.

The programme offers an innovative approach based on a series of development days (some residential), Action Learning sets, group coaching and mentoring. All programme content aims to support participants to develop their careers and leadership capacity.

By participating in this programme, individuals will
- Develop leadership potential as a social care professional
- Extend capabilities to lead in a complex and changing environment
- Increase confidence and leadership knowledge
- Develop an understanding of Systems thinking and leadership in their role
- Develop and utilise networks of both formal and informal support

Who can apply
The Moving Up programme is for leaders who already have experience managing services; typically service managers, registered managers, heads of service (or equivalent) and operational managers who have the ambition and potential to progress to the most senior positions in social care.

Moving forward - Moving Up will start the new Open Access programme mentioned above, aimed at other experienced managers who may also experience disadvantages in their career pathways and aspire to progress into senior management roles, we plan to promote the new programme over the Summer period and hope to start the first Open Access programme in January 2018.

For more information on this opportunity click here.
Well-led Programme

This programme was launched in 2017. It enables new and existing registered managers to learn more about approaches to delivering a well-led service.

For those attending, benefits include development of leadership skills, insight into leadership style and behaviours, strengthening ability to work with other and practical solutions to improve the quality of care. For employers, supporting managers to attend can help strengthen the wider organisation by embedding learning around culture, leading a successful service and high-performing teams.

This four day programme delivered over a three-month time frame is aimed at developing leadership skills needed to deliver the highest standards of care.

The four days cover:
- Know yourself
- Lead a successful service
- Team leadership
- Leading change

Each day of the programme provides a combination of leadership and management expertise and practical examples and best practice from services currently delivering Good and Outstanding care. The facilitated days include practical activities to reflect on your own service and apply the new learning.

Learning from other managers and the facilitators was a great place to reflect on my plans for my service and make changes to my approach and forge new plans. If you think you cannot spare 4 days over 3 months because of the tasks on your desk, then your service needs you to go. This course is relevant to both new and experienced managers.

Jason Denny, Registered Home Manager

Further information about the Well-led Programme is available here. Discounts are available to our Registered Manager members.
The Top Leaders development programme is for those who hold the highest positions in social care and health organisations.

This programme helps senior leaders across health and social care understand the challenges of their role, form strong networks of support and explores the future direction of the care sector as a whole. The programme is aimed at senior leaders in the public, private or third sectors.

The Top Leaders programme takes place across four learning events, each lasting two days.

Top Leaders was one of the most personally challenging courses I have undertaken and the most productive in terms of what I learnt about myself and my approach to my work within health and social care. I returned back to my business enthused, encouraged and positively changed by the whole experience.

Mandy Thorn MBE, MD, Marches Care

If you are interested in taking part, or would like more information, please email leadership@skillsforcare.org.uk
Leadership for Empowered and Healthy Communities Programme

This programme aims to help leaders and managers explore the challenges and opportunities of a community-based approach to leadership. It is aimed at senior leaders and clinicians across health and social care who want to be part of a movement for change.

Those taking part will learn how to grow and nurture capacity in local communities to improve health and wellbeing and ensure better outcomes for people who need care and support.

They’ll encouraged to think about the value of their community’s role in health and social care and the role of public service leadership in shaping the communities that citizens need and want.

What does the programme contain?
A series of one-day workshops, action learning sets, one-to-one leadership coaching sessions, a Myers-Briggs (MBTI) analysis of personality style and a specialist 360 degree feedback diagnostic.

There will be the opportunity to learn about best practice as well as developing the leadership skills required to help deliver services together with professionals, people who need care and support, their families and the community.

Subscribe to our enews for updates on the next programme.
Good and Outstanding Care Guide

This new guide looks at how services can prepare for inspection, sharing examples from those who have achieved Good and Outstanding ratings. The guide looks at the difference that these ratings makes to services and how they celebrate achievement with their staff and people who need care and support.

The Well-led section of the guide provides insight into what good and best practice is enabling services to achieve a positive outcome in their inspection. The section covers a range of subject including:

- Culture within the service
- Leadership of the service
- Vision, values and strategy
- Staff support
- Community, partnerships and best practice
- Improvement and sustainability

Online Guide
The guide is available to download from the Skills for Care website here.
Good and Outstanding Care Guide
Workbook Edition

This special version of our new guide includes a range of practical exercises and questions for managers and their teams. The Workbook Edition has been specially designed to help services to;

- reflect on the recommendations and consider how they compare
- consider evidence for future inspections
- identify areas for improvement

**Workbook Edition**
The Workbook Edition is exclusively available to our Registered Manager members. To learn more click [here](#).
Recommendations for CQC
Providers Guide

Full guide includes:

Introduction
Leadership and management
Recruitment and retention
Induction, learning and development
Qualification and Apprenticeships
Improvement, innovation and continued success

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