

19 November 2015		ITEM: 6
Corporate Overview and Scrutiny Committee		
Training and Development - Officers		
Wards and communities affected: Not applicable	Key Decision: Not applicable	
Report of: Wendy Allen, People and Organisational Development Manager		
Accountable Head of Service: Jackie Hinchliffe, Head of HR, OD & Transformation; Les Billingham, Head of Adult Services; Andrew Carter, Head of Children's Social Care		
This report is public		

Executive Summary

This is a position statement report that outlines the range and scope of officers training across social care. The report references the strong policy and guidance basis for all activity both locally and nationally.

1. Recommendation(s)

This is a position statement report and the recommendations are as follows:

- 1.1 Members to comment on the rigour and range of training.**
- 1.2 Members to review the information for comment.**
- 1.3 Members to be reassured that the rigour and range of training meets both national and local requirements, including legal requirements.**

2. Introduction and Background

- 2.1** This report has been requested as part of the corporate overview and scrutiny committee work programme 2015-16. The report will focus on the training for officers from both adults and children's social care. This will include mandatory training, certification requirements and how we meet those. How we ensure our staff remain competent/competency frameworks and demonstrate the balance between personal/council accountability. The report will also outline report processes for training (including high risk / sensitive activity training, e.g. CSC), validation processes and on-going verification of

the competence of staff employed by Thurrock Council and cover compliance, frequencies, legal requirements and quality assurance of training providers.

3. Issues, Options and Analysis of Options

- 3.1 Scrutiny on the social care workforce starts at the point of recruitment. Thurrock's recruitment policy includes robust safer recruitment processes which ensure DBS checks and evidence of social work registration are provided by all successful candidates taking up employment in social care roles. This is all clearly set out in the Recruitment and Selection policy which states:

Disclosure and Barring Service (DBS) checks

For jobs working with children and vulnerable adults, plus certain other categories of job where it is required by law that the post-holder must have a DBS check, this will need to be undertaken as part of the recruitment process. An applicant can refuse to have a DBS check but if this is required by law as part of the job role then confirmation of role appointment cannot be made unless a satisfactory 'disclosure' from the DBS is received."

- 3.2 Council policy continues to support this process from the commencement of employment through the use of the Induction checklist which highlights the need for the manager to identify service specific activity. The policy also sets out employee and employer responsibility:

Induction programme & checklist

A standard induction programme outline is provided at Appendix 1 and should be used by managers to ensure that new employees are given all of the information they need. It is the joint responsibility of the manager and employee to ensure the checklist is completed. The manager has overall responsibility however, for arranging for any information to be provided and the employee should ensure that they attend any meetings, training, and read any relevant documents. An induction programme should also be tailored to meet an individual's needs. Most of the items included are relevant to the majority of new staff but may not suit all groups of staff. Additional items can be added as necessary (there is a section for this), using managers' knowledge of the employee's role at Thurrock.

- 3.3 The processes for training are underpinned by the learning and development policy which sets out the expectations of the employer, the manager and the employee. The policy states:

The ultimate responsibility for development lies within a partnership created between the individual and their immediate manager. The role of the council to support this responsibility through the provision of learning services and specialist advice this is provided by People and Organisational Development.

The policy is supported by a range of council wide and service specific processes to ensure that our workforce remains competent and that they meet mandatory and certificated requirements, validation processes and on-going verification of staff employed by Thurrock Council.

- All employees are required to book on training through Employee Self-Serve using “my dashboard” to access the Oracle Learning Management system; this provides a real time record of all training undertaken by the individual, group team or department. Support is provided to off-site employees who do not easily access ESS
- Approval for all training requests must be given by the manager following a discussion with the employee where skills, knowledge, development need has been identified. This discussion confirms employee and employer accountability and understanding of the need for the training identified.
- Service planning cycles take into account the requirements of the relevant workforce (for the purpose of this report social care). This will include the requirements and expectations of external scrutiny bodies such as Ofsted and the Care Quality Commission, including identifying where regulatory and certificated training is required and is monitored through the use of local training matrix (see appendix 1) and Oracle reporting.
- Recommendations/outcomes of Serious Case Reviews or Abuse to Vulnerable Adults is driven through the Local Safeguarding Children’s Board and the Safeguarding Strategic Board which both have statutory functions. The LSCB also has a responsibility for multi-agency training.

Mandatory training is set out for all staff in the induction guidelines the policy states:

All employees will be automatically booked on mandatory training for corporate induction and corporate diversity and will receive details of this prior to their start date. Corporate induction training will cover: basic health & safety, Section 17 Crime & Disorder Act and ICT data protection.

Employees will also be emailed a link to Thurrock’s e-learning zone upon starting (Thurrock Learning Zone TLZ) which is regularly updated with new modules applicable to all roles. It is the employee’s responsibility to access the learning zone and complete relevant modules for their own development. Managers should include any key modules they are aware of which it would be useful for the employee to complete, in the additional section of the induction checklist. Completion of the ICT data protection module is compulsory.

- 3.4 Mandatory training is also determined service by service and is set to meet Ofsted or CQC requirements and the role of the worker e.g. a social worker undertaking child protection work must demonstrate evidence of child protection training; a social care worker who moves people must be trained in moving and handling people.
- 3.5 High risk and sensitive training such as Child Sexual Exploitation, financial abuse, Prevent, and Female Genital Mutilation are all driven by local policies and procedures that require training to support the implementation of the policy. Decisions to make training such as this mandatory is taken strategically and overseen by the relevant service management team, with reporting going back to this team for monitoring and scrutiny of practice. There is a direct link to the services by a named officer in People and Organisational Development this ensures that all decisions regarding activity are triangulated across the organisation.
- 3.6 **National standards;** There are two main bodies that externally scrutinise social care training.
- The Health and Care Professions Council (HCPC) is the regulatory body for Social Workers. All Social Workers must be registered with the HCPC to work as a Social Worker. Social Worker is a protected title and as such employers and employees must comply with the requirements of the regulator.
 - The Care Quality Commission (CQC) regulates the provision of social care residential and care services and within this they regulate the social care workforce.
 - Whilst both bodies set out the regulatory requirements, the legal requirements only apply to the protection of title and registration for social workers.
 - The HCPC require all Social Workers to register every two years, social workers must provide evidence of their Continuing Professional Development (CPD) to remain registered. The HCPC have set CPD standards which say registrants must;
 - maintain a continuous, up-to-date and accurate record of their CPD activities;
 - demonstrate that their CPD activities are a mixture of learning activities relevant to current or future practice;
 - seek to ensure that their CPD has contributed to the quality of their practice and service delivery;
 - seek to ensure that their CPD benefits the service user; and
 - Upon request, present a written profile (which must be their own work and supported by evidence) explaining how they have met the standards for CPD.
- 3.7 Whenever a profession renews its registration, HCPC randomly audit (check) the CPD of 2.5 per cent of professionals from that profession. Those registrants who are chosen for audit must submit a CPD profile to show how their CPD meets their standards.
- 3.8 As employers Thurrock council comply with the regulators requirements. The HCPC registration renewal document clearly sets out the legal and regulatory

requirements. Social Workers can only work for Thurrock if they have a current registration with the HCPC. Thurrock's expectation is that all social workers are personally and professionally accountable for their CPD and to ensure they meet HCPC requirements. The Thurrock renewal document states:

Employers have the responsibility to ensure that all social workers are appropriately registered. Human Resources regularly maintain a log sheet of all social workers registered with the HCPC with their renewal and registration details. Two months prior to the current registration cycle deadline, Human Resources commence the process of regularly checking the online Register to verify who has renewed their registration and who is outstanding. This inspection takes place fortnightly until 4 weeks prior to deadline. At this point a further inspection takes place and statistical data of those registered against those that haven't are submitted to the senior management of Children's Social Care and Adults Social Care for their information on the Council's progress of social work registration.

3.9 The Care Quality Commission sets out in much the same way fundamental standards below which a regulated provider must not fall. CQC ask the same five questions of all the services they inspect.

- Are they safe?
- Are they effective?
- Are they caring?
- Are they responsive to people's needs?
- Are they well-led?

3.10 As employers Thurrock will ensure that we comply with these regulations and expectations in the following ways.

- Local training records matrix are maintained in addition to the records maintained on Oracle learning Management (see appendix 2)
- Refreshers compliance is monitored locally through the use of these records and direct liaison with People and Organisational Development takes place through site visits and regular communication.
- Records management is regularly reviewed by senior managers to ensure that they are fit for purpose.
- Use the Performance Development Framework to identify objectives and align with learning needs as required to meet requirements of role
- Ensuring we are inspection ready for scrutiny from both Ofsted and CQC who will determine our level of compliance and the quality of services provided. There is not a legal requirement to provide training relating to these expectations (the law relates to the service provided to the child, young person or vulnerable adult) but non-compliance would demonstrate poor practice and provision of service. Thurrock uses the measures set out in this report to monitor progress.

3.11 Thurrock also collects a range of data to support the expectations of both external quality assurance and funding bodies. The Department of Health

require all social care employers to complete a statutory workforce data collection; the National Minimum Data Set- Social Care (NMDS-SC) is submitted annually and Thurrock is 100% compliant with this return. This data demonstrates that we are compliant with role related statutory and certificated training.

3.12 The Oracle Learning Management system allows us to collect a range of data to support the regulatory, mandatory and specialist requirements for social care officers. We can extract data to provide reports for monitoring and quality assurance purposes and to support the compliance expectations of the workforce. (Appendix 2)

3.13 **Local Standards;** we have implemented the following to ensure we are meeting statutory requirements and national good practice in Thurrock

- Assessed and supported Year in Employment- ASYE Academy; was established in 2014 to meet the requirements set out nationally for newly qualified social workers in their first year of employment. Newly qualified social workers (NQSWS) will be assessed in accordance with a national framework. A moderation and endorsement process is also in place to ensure a nationally consistent assessment. Thurrock has a lead manager for the ASYE academy who works across adults and children's social care and who is responsible for implementing the ASYE policy
- Approved Mental Health Practitioner (AMHP); Regulations set out under the Mental Capacity Act require our AMHP's to undertake 3 days training per year. This is coordinated with our health partners (South Essex Partnership Trust). Thurrock has 13 AMHP's who work on a rota basis to respond to the mental health referrals in Thurrock. In addition we also ensure that social workers who hold the Best Interest Assessor (BIA) qualification receive refresher training in line with the requirements of the Mental Capacity Act.
- In children's services all cases that meet the statutory threshold are allocated to a qualified social worker This allocation is monitored through monthly quality and performance meetings chaired by the Head of Service for children's social care. Statutory work is prioritised and must be allocated in line with Ofsted and legal requirements. Training to support statutory work is a core provision to all employees who undertake this role. Workers are provided with a wide range of child protection training (See appendix 2)
- For all social workers there is a local continuing professional development (CPD) framework that is aligned to the national capabilities set out for social workers, the Professional Capabilities Framework (PCF) and takes into account the revisions of these capabilities that is currently being undertaken nationally. Thurrock issues all social workers with a CPD booklet that is aligned to the PCF and that is used in conjunction with supervision guidance and the learning and development policy. We also assess our progress against the Local Governments Association "Standards for Employers for Social Workers in England" and use the tools provide by the LGA to support a range of projects including recruitment and retention.
- The safeguarding role that social care workers and social workers play across Thurrock is a key activity that is underpinned by the Southend, Essex and

Thurrock procedures for both adults and children's services. The SET procedures outline training expectations for both social care and wider partners, activity is monitored through the Local Children's' Safeguarding Board (LSCB) training sub group and the Safeguarding Adults Operational Board. Training providers are commissioned to train to these procedures at all levels across the organisation.

- The introduction of the role of The Principal Social Worker, a national initiative lead by the Chief Social Workers and Government departments has been adopted and embraced by Thurrock providing a further opportunity for quality assurance monitoring and practice development.

3.14 Commissioning of training is both robust and regularly reviewed. The People and Organisational Development team have a range of processes in place that ensure all commissioned providers meet the range of regulatory, procedural and quality assurance expectations set out in this report. All providers must supply references, are challenged on quality as well as price and must be willing to be observed by both officers from the team and the public through our Thurrock Coalition training observation programme that runs on an annual basis. For specialist programmes we also require a full CV, confirmation of experience and qualifications and clear demonstration of subject matter expertise. This is factored with the requirement to make any learning relevant and pertinent to Thurrock and its context. These processes are applied for both internally trained trainers, who undergo an interview and managers support to undertake this activity as part of their role, as well as externally commissioned training providers. This rigour also ensures that we meet requirements for refreshers and compliance, triangulating information with the provider, the officer and the lead from People and Organisational Development. Data from both the managers and Oracle Learning Management verifies information and provides an additional mechanism for planning for required training.

3.15 Oracle Performance Management sets the scene for personal accountability, objectives, once agreed, can be aligned to learning and skills development as identified. This mirrors some of the expectations of the regulatory bodies who also require a level of personal accountability. We see this reinforced through both the learning and development policy and the guidance for the management of supervision.

3.16 The NMDS-SC annual statutory return for the Department of Health along with the CQC inspection regime are key drivers to ensure that statutory requirement is met. These are monitored through the year by the maintenance of training spreadsheets and individual training records. (See appendix 3 and 4) for example of a job profile and training profile that support this role Thurrock is 100% compliant with these returns which are produced to CQC as part of their scrutiny and QS monitoring.

4. Reasons for Recommendation

- 4.1 The recommendations relate to the information contained in this position statement report, they should be used as a method to reassure and inform as well as guidance for review and comment.

5. Consultation (including Overview and Scrutiny, if applicable)

- 5.1 Consultation is not applicable

6. Impact on corporate policies, priorities, performance and community impact

- 6.1 The policies referenced in this report are all updated and reviewed regularly; the impact is to ensure that this continues as it is essential that national developments continue to be reflected in the local policy framework.

7. Implications

7.1 Financial

Implications verified by: **Laura Last**
Senior Finance Officer – Management Accounts

This is a position statement report there are no financial implications. The required training is funded through existing budget and grants.

7.2 Legal

Implications verified by: **David Lawson**
Deputy Head of Legal & Governance

This is a position statement report there are no legal implications

7.3 Diversity and Equality

Implications verified by: **Natalie Warren**
Community Development and Equality Manager

There are no additional diversity and equality implications other than those already established through the national regulatory bodies or locally through policy and procedure.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

There are no other implications to this report

8. **Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- [The Recruitment and Selection Policy](#)
- [The Induction and Probation Guidelines](#)
- [The Learning & Development Policy](#)
- [The Assessed & Supported Year in Employment Policy](#)
- [Skills for Care - ASYE Programme](#)
- [One to One Performance & Development Review Policy](#)
- [Approved Mental Health Practitioners Policy](#)
- [Southend, Essex and Thurrock Safeguarding Procedures](#)
- [Health and Social Care Professions Council](#)
- [Care Quality Commission](#)
- [LGA Standards for employers of Social Workers in England](#)
- [Thurrock Coalition Observation Programme](#)

9. **Appendices to the report**

- Appendix 1 – Local training matrix
- Appendix 2- Oracle Learning Management system data report; Child Protection, Adult social care; In house Social care providers
- Appendix 3- Individual staff training record
- Appendix 4- Job profile care co coordinator

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