

Staff development toolkit for drug and alcohol services



National Treatment Agency

More treatment, better treatment, fairer treatment

The National Treatment Agency (NTA) is a special health authority, created by the Government in 2001, with a remit to increase the availability, capacity and effectiveness of treatment for drug misuse in England.

The overall purpose of the NTA is to: double the number of people in effective, well managed treatment from 100,000 in 1998 to 200,000 in 2008; and increase the proportion of individuals completing or appropriately continuing treatment, year on year.

Staff development toolkit

This toolkit has been commissioned by the NTA as a contribution to its workforce development strategy. It is based on the *Staff Development Toolkit for Drug and Alcohol Residential Services*, which is designed to enable residential service managers to meet the human resource standards of the *National minimum standards for care homes for younger adults and adult placements*.

Both this toolkit and the residential services toolkit are available online at www.nta.nhs.uk.

Target audience

This toolkit is for the managers in all drug and alcohol services.

Acknowledgements

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1 Introduction

This toolkit aims to provide straightforward and practical guidance on staff development for drug and alcohol services.

It is intended for the busy manager who is not a human resources specialist but who aims to adopt good practice in human resource management and development.

This toolkit will particularly support services that aim to comply with the human resource management and development standards in the Quality in Alcohol and Drug Services (QuADS) organisational standards.

Quality in Alcohol and Drug Services (QuADS) organisational standards:

The QuADS organisational standards provide criteria against which alcohol and drug treatment services can assess and develop their practice.

QuADS standards were developed by a joint Alcohol Concern / DrugScope project, funded by the Department of Health. QuADS organisational standards are part of the nationally accepted quality standards for drug treatment services.

1.1 How to use the toolkit

The toolkit is divided into sections, each of which contains guidance notes covering a key area of staff development activity. Each can be treated as a stand-alone section. It is hoped that you will feel able to dip into the toolkit as required, perhaps referring to particular sections as the need arises.

The guidance notes are supported by a set of pro forma documents, which can be copied or adapted for use in your own organisation. Use of these pro forma documents is not a requirement to comply with QuADS organisational standards, particularly if you already have your own systems established. However, they do represent examples of good practice, which you are free to use.

Human resource management and development is one of the core management areas of the QuADS organisational standards. Some of the key areas where this toolkit can help organisations comply with the QuADS organisational standards are indicated overleaf in Table 1.

This toolkit, including all the pro forma documents, can be downloaded from the NTA web site: www.nta.nhs.uk.

Table 1: Toolkit sections and related QuADS organisational standards

Toolkit section	QuADS organisational standards for alcohol and drug treatment services
<p>Section 2 National Occupational Standards</p>	<p>Standard 5.1 “Human resources have the competence to respond to the needs of the organisation and service user group.”</p>
<p>Section 3 Job descriptions</p>	<p>Standard 6.2 “All posts have relevant job descriptions and candidate specifications.”</p>
<p>Section 4 Recruitment and selection</p>	<p>Standard 6.1 “There are written recruitment and selection policies and procedures which take account of equal opportunities legislation and the agency’s policy, and these are reviewed on a systematic basis.”</p>
<p>Section 5 Contracts of employment</p>	<p>Standard 6.3 “All employees have contracts of employment and conditions of service.”</p>
<p>Section 6 Induction</p>	<p>Standard 6.5 “The agency ensures that induction training and orientation for new staff takes place.”</p>
<p>Section 7 Training and development Section 8 National Vocational Qualifications</p>	<p>Standard 8 “The human resource development approach ensures that management, staff and volunteers are equipped with the skills and abilities to meet the objectives of the service.”</p> <p>Standard 8.1 “The service has a human resource development strategy which relates to the strategic/business planning process.”</p> <p>Standard 8.2 “All training is planned on the basis of:</p> <ul style="list-style-type: none"> ● what the need is ● how it will be responded to ● what are the expected outcomes of training and how its effectiveness will be evaluated.” <p>Standard 8.4 “The training plan should incorporate individual training needs.”</p> <p>Standard 8.5 “Training takes place according to the training plan.”</p> <p>Standard 8.6 “Training effectiveness is evaluated against objectives identified in the training plan.”</p> <p>Standard 30.5 “The agency ensures that staff demonstrate competence regarding counselling/therapy skills.”</p>

Toolkit section	QuADS organisational standards for alcohol and drug treatment services
Section 9 Funding of training and qualifications	Standard 8.3 “There are adequate financial resources identified for, and allocated to, the training programme.”
Section 10 Appraisals	Standard 7.1 “The service has a policy that is designed to monitor, motivate and support staff.”
Section 11 Supervision	Standard 30.6 “The agency ensures that all staff who provide counselling/therapy receive regular supervision.”
Section 12 Personnel records	Standard 5.4 “The service has a system which effectively monitors the composition and key characteristics of the human resources establishment.” Standard 5.6 “Personnel records are maintained in a confidential manner.”
Section 13 Grievance and disciplinary procedures	Standard 15.1 “The service policies and procedures in place include... grievance and disciplinary procedures.”

2 National Occupational Standards

QuADS Standard 5.1

“Human resources have the competence to respond to the needs of the organisation and service user group.”

National Occupational Standards have been developed for most occupations in the UK.

They describe the standards of performance and the level of knowledge required for a worker to be effective in a particular occupation.

National Occupational Standards therefore provide a means to measure ‘competence’ in the workplace. Competence can be defined as: ‘The ability to perform a task or tasks to the **standards** required in employment’.

All National Occupational Standards are made up of a series of units. Each unit describes the standards of performance and the level of knowledge required for a particular function in a job.

These standards have many potential uses, for example when writing job descriptions, planning training and conducting appraisals (see Diagram 1). They also provide the framework around which National Vocational Qualifications (NVQs) are developed.

This toolkit has been produced at a time when National Occupational Standards are becoming increasingly important for the drugs and alcohol sector. The Drugs and Alcohol National Occupational Standards (DANOS) have only recently been developed and were approved by the Qualifications and Curriculum Authority in August 2002.

The Drugs and Alcohol National Occupational Standards include units designed to reflect specific functions of the drugs and alcohol sector. However, where appropriate, they also incorporate National Occupational Standards from other sectors.

For example, in the drugs and alcohol area of ‘Service Delivery’ there are 45 units, 16 of which are taken from the care sector. This ‘sharing’ of units between occupational areas is intended to maximise the transferability of skills and qualifications.

2.1 How National Occupational Standards are developed

National Occupational Standards are developed through consultation with those who actually work in the relevant occupational area. Until recently, the organisations responsible for developing National Occupational Standards were the National Training Organisations (NTOs). Sector Skills Councils are now being established to continue this work.

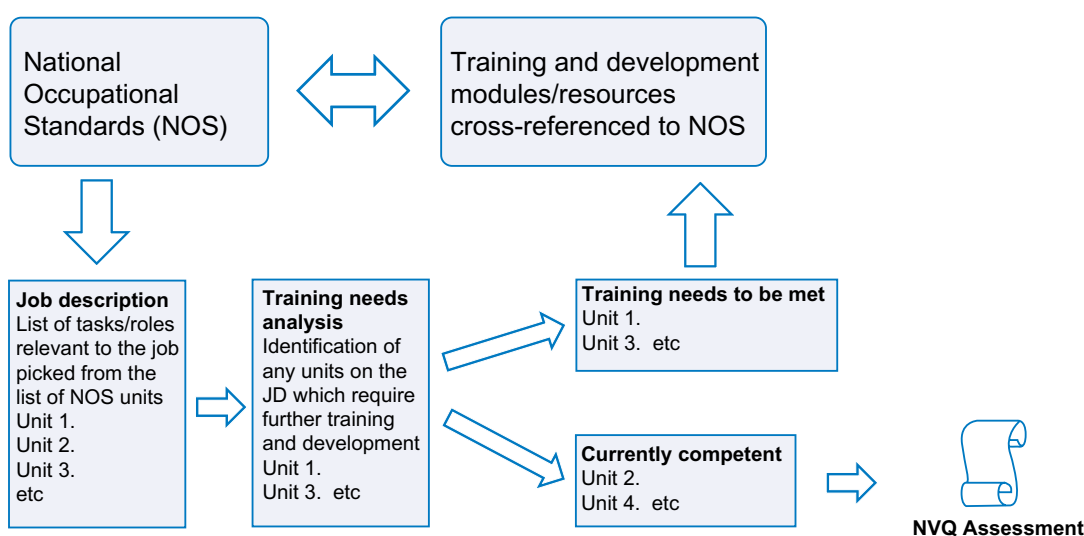
Copies of National Occupational Standards are available from NTOs or Sector Skills Councils (either in hard copy, on CD-ROM or to download from a web site). Some of the NTOs most relevant to drug and alcohol services are shown in Table 2. A full list of NTOs is available from the NTO National Council and details of Sector Skills Councils can be obtained from the Sector Skills Development Agency (see Sources of further information and support).

Table 2: Examples of National Training Organisations (NTOs)

National Occupational Standard	NTO
Community justice and youth justice	Community Justice NTO Tel: 020 7278 1366 www.cjnto.org.uk
Community-based learning and development	Paulo Tel: 01476 584660 www.paulo.org.uk
Drugs and alcohol	Skills for Health Tel: 0117 922 1155 www.skillsforhealth.org.uk
Management	Management Standards Centre Tel: 020 7240 2826 www.management-standards.org
Social care	Topss England Tel: 0113 245 1716 www.topss.org.uk

Diagram 1: National Occupational Standards

This diagram illustrates how National Occupational Standards are used to integrate recruitment, appraisal and training delivery.



3 Job descriptions

QuADS Standard 6.2

“All posts have relevant job descriptions and candidate specifications.”

A job description describes the tasks and responsibilities that comprise a job. Recruitment, selection and subsequent appraisal should be based around the worker's ability to perform against the job description and accompanying person specification.

The length and complexity of a job description will vary according to the job involved, but a good simple description is valuable for even the most straightforward of jobs.

In order to write a job description, you will need to be clear about the main tasks, duties, expected results and the relationship with other jobs.

If you are the job holder, or line manager to the job holder, this information may seem fairly obvious. However, it is usually a good idea to discuss the job with others (e.g. other job holder/s or line manager/s) to ensure that all aspects are considered, including ways the job may be changing or developing.

If you need to write a job description for a job which you do not know well (or perhaps you are writing a job description for a job that is being newly created), then a more formal process of analysis may be required. This process of collecting information to write a job description may be assisted by using a 'job analysis questionnaire', which provides a checklist of the key issues to be covered. A job analysis questionnaire can be completed by the current job holder/s or during an interview with the job holder/s.

National Occupational Standards

National Occupational Standards provide a good basis for job descriptions, because they are made up of units that describe the tasks and roles applicable to an occupational area.

For example, when writing a job description for a drug or alcohol worker, it would be useful to review the list of Drugs and Alcohol National Occupational Standards (DANOS) units and pick out those that are relevant to the job in question. The unit titles then provide a list of tasks relevant to that job description, and within the units the expected standards of performance and knowledge required are described.

A job description based on National Occupational Standards will also assist in identifying training and development opportunities and qualifications relevant to that job.



See Job analysis questionnaire - Form 1

The structure of a job description

A job description should include the following:

- **Job title**
- **Department**
- **Reporting to**
- **Location**
- **Grade**
- **Date** (when last updated)
- **Main purpose of job** (one sentence describing the overall purpose of the job)
- **Main tasks of the job**
(Identify units from National Occupational Standards applicable to the role e.g. DANOS)
- **Level of responsibility**
(e.g. number of staff supervised, role as a team member, compliance with regulations/legislation etc)
- **Working conditions**
(e.g. hours of work, any travelling required etc).



See Job description form - Form 2

4 Recruitment and selection

QuADS Standard 6.1

“There are written recruitment and selection policies and procedures which take account of equal opportunities legislation and the agency’s policy, and these are reviewed on a systematic basis.”

A thorough recruitment and selection procedure will increase the chance of identifying the most suitable applicant for a job vacancy. It also assists those responsible for recruitment to be confident in their decision making.

The recruitment process is usually the first direct experience an employee has of an organisation. It is therefore important that the process is as professional as possible and promotes a positive image of the organisation.

Poor recruitment practices will give out the wrong messages to successful applicants who may begin their employment with negative impressions of the organisation and a lack of understanding of their new role. This could lead to a high turnover of employees and poor performance.

For every successful applicant there will inevitably be many more unsuccessful applicants. It is vital that they are also treated as fairly and professionally as possible. This is an opportunity to promote a positive image in the local community among whom there will be potential future employees and service users.

4.1 Developing job descriptions and person specifications

4.1.1 Job description

The first stage in recruitment and selection is to be clear about the requirements of the job that is to be filled. If this is not clear, it will not be possible to decide which applicant is most suitable!

The job description provides a description of the job to be filled (see section 3 for how to develop a job description).

4.1.2 Person specification

Once you have an accurate and up-to-date job description, it will be possible to decide on the attributes of the ideal person to fill that job. This is described in the person specification.

A person specification is a profile of the skills, knowledge and characteristics needed for a worker to perform a specific job. The recruitment and selection process revolves around identifying methods to assess the skills, knowledge and characteristics of applicants to find the individual who most closely matches that person specification.

A clearly written person specification provides an objective set of criteria against which to make a decision that can, if necessary, be justified at a later stage.

A person specification normally presents the key attributes required to do the job as either ‘essential’ or ‘desirable’.

Typically, the person specification is divided into a number of categories to help you focus on specific attributes required for the job. For example:

1. **Physical** – e.g. mobility, good eyesight.
2. **Education and training** – any specific qualifications or prior training.
3. **Experience** – any specific prior experience.
4. **Specialist skills and knowledge.**
5. **Personal qualities** – e.g. reliability, self- motivation, good team worker.
6. **Social circumstances** – e.g. ability to work unsociable hours.



See Person specification form - Form 3

4.1.3 Equal opportunities

The attributes on the person specification must be objective, based purely on the requirements of the job and not on any form of direct or indirect prejudice. It is vital that you do not specify any attributes that would unfairly discriminate against applicants.

The main laws on equality relevant to recruitment and selection are:

Sex Discrimination Act 1975

This makes discrimination on the grounds of gender or marriage unlawful and applies to men and women.

Race Relations Act 1976

This makes discrimination on the grounds of race, colour, nationality, ethnic or national origin unlawful. The law covers people from all racial groups, including white people.

The Race Relations Amendment Act (2000) extended the application of the Race Relations Act for public bodies: "It is unlawful for a public authority in carrying out any functions of the authority to do any act which constitutes discrimination."

Disability Discrimination Act 1996

This deals with discrimination against disabled people – that is when someone treats a disabled person less favourably than someone else without justification, for a reason related to their disability. Employers are required to make "reasonable adjustments" to work arrangements or premises which place a disabled person at a substantial disadvantage. *The employment provisions of this act only apply to employers with 15 or more people.*

Future developments

The government proposes to introduce new employment legislation on sexual orientation and religion during 2003 and on age by 2006.

Equal opportunities guidance

Equal opportunities legislation can be complex to interpret. For example, in certain limited circumstances it is lawful to discriminate in recruitment, promotion and transfer in a job for which the sex or race of the worker is a Genuine Occupational Qualification (GOQ). Section 7 of the *Sex Discrimination Act*, for example, states that a job may be restricted to one sex where the essential nature of the job, or of particular duties attached to the job, calls for a member of one sex (Ref: Equal Opportunities Commission, 2002, www.eoc.org.uk). However, there are strict criteria to be met before a GOQ can be regarded as acceptable and this would always be open to challenge from an aggrieved individual. Complaints against an employer would be

heard in an employment tribunal, where the burden of proof would lie with the employer to establish the validity of a GOQ.

If you are in any doubt about complying with equal opportunities legislation do not hesitate to seek advice. The following bodies provide free information and guidance on all aspects of equal opportunities legislation and good practice:

- Equal Opportunities Commission
Tel: 0845 601 5901
www.eoc.org.uk
- Commission for Racial Equality
Tel: 020 7939 0000
www.cre.gov.uk
- Disability Rights Commission
Tel: 08457 622633
www.drc-gb.org

4.2 Attracting applicants

Once you have a job description and person specification you can begin to attract job applicants. If you use the local job centre or a recruitment agency, the job description and person specification will provide detailed information to help attract the most appropriate applicants. Alternatively, you may decide to advertise.

4.2.1 Job advertisements

The job advertisement must always be written after the job description and person specification have been produced. This will help you to be exact about the job on offer and the person you are looking for. This greatly increases your chances of attracting the right person for the job.

4.2.2 Application forms

It is good practice to use an application form rather than asking applicants to submit CVs. The use of an application form helps in the shortlisting process as details of all applicants are presented in a standard format. Most application forms also allow for personal details (e.g. name, age, address, nationality) to be removed prior to shortlisting. This is good practice with regard to equal opportunities.

Do not be afraid to specify the 'essential' criteria you identified in the person specification. This will encourage candidates to 'self select'. Remember that a carefully worded advert, based upon an accurate job description and person specification, will save time in the long run. If the advert is too vague about the person required, you are likely to receive more inappropriate applications that you then have to process. It is easier and more efficient to receive a smaller number of very appropriate applications.

Writing a job advert

A good advert makes key facts clear at a glance – this will attract the attention of those who may have an interest in the job.

The key facts that should be clear at a glance are:

- Organisation name (and logo if applicable)
- Job title
- Location
- Salary (plus any benefits).

Further details should then be contained in the main text of the advert:

- brief description of the organisation
- brief description of the job (taken from the job description)
- brief description of the essential (and possibly desirable) characteristics required of the job holder (taken from the person specification)
- working conditions (e.g. hours, also, is it possible to job share / work part time etc)
- how to apply (e.g. complete an application form)
- a contact name and address (and telephone number if appropriate)
- closing date for applications.

4.3 Selection

4.3.1 Shortlisting

Once applications for the job have been received it is necessary to select those candidates that you wish to interview.

This process involves comparing the information on the application forms to the requirements defined in the person specification.

Plan in advance who will be responsible for shortlisting applicants to ensure that the decision-making process is consistent.

The decision whether or not to shortlist a candidate should be recorded (perhaps as a note attached to each application), with reasons which relate to the essential and desirable criteria from the person specification.

How selective to be at the shortlisting stage will depend in part on the number of applications received. However, you would not shortlist any applications that do not meet all of the essential criteria from the person specification.

Remember, the more applicants you shortlist the more time consuming will be the assessment/interview process (and potentially the more confusing will be the selection of a suitable candidate). This once again demonstrates the importance of a detailed job description and person specification in order to reject unsuitable candidates before the interviewing/assessing stage.

Once you have arrived at a shortlist of applicants, you are ready to carry out a more in-depth assessment of those applicants.

4.3.2 Assessment of shortlisted applicants

It is good practice to review the required attributes on the person specification and identify the most appropriate assessment method for each of the desired attributes. For example, some attributes may already be apparent from the application form, others may require in-depth questioning during an interview and others may be more suited to assessment through a short work-related task.

Arranging for shortlisted applicants to complete a work-related task either before or during their interview can in some circumstances reveal a great deal about an applicant's suitability for a job.

If this option is chosen, then do be sure to plan the task thoroughly in advance to ensure both that any necessary resources are available and that each candidate is treated equally.

4.3.3 Interviews

Interviews remain the most commonly used method of selecting candidates for a job. They are particularly useful as an opportunity for both employer and candidate to find out large amounts of information about each other in order for each to come to a decision.

However, interviews can be unreliable as a means of predicting the future success of a candidate in a job. This is largely due to many interviews being haphazard and unstructured. It is also due to the decision-making process itself. Studies have shown that 85% of selection decisions are made within four minutes of the start of the interview (*Ref: Decision Making in the Employment Interview, Webster*).

The purpose of an interview is to answer three fundamental questions:

1. Can the candidate do the job? Is he or she competent?
2. Will the candidate do the job? Is he or she motivated?
3. How is the candidate likely to fit into the organisation?

Further aims of the interview are:

1. to provide the candidate with information about the job and the organisation
2. to give the candidate a favourable impression of the organisation to encourage the most appropriate candidate to join.

There is no doubt that the effectiveness of an interview will be greatly enhanced by thorough preparation.

Preparing for the interview

1. Estimate the time needed for each interview, allowing for time to complete notes after each one. As a general rule, do not schedule more than six interviews in one day.
2. Decide the timetable – it may be a good idea to see those travelling the shortest distance first.
3. Arrange a suitable venue for the interviews; ensure adequate seating, lighting, heating and avoid all interruptions, e.g. put a notice on the door and divert any phone calls.
4. Ensure you have copies of the job description and person specification.
5. Select appropriate members of the interview panel. It demonstrates good practice with regard to equal opportunities to aim for a diverse interview panel (e.g. if possible avoid single sex panels). Also, consider whether panel members are competent interviewers (in particular, all interviewers must be aware of their responsibilities in compliance with equal opportunities legislation).
6. Have a copy of each candidate's application form (for each member of the interview panel). Ensure these are available well in advance, so that interviewers have read the application forms before the interview.
7. Identify the aspects of the job in which the candidate fully matches the specification or where they have little or no experience in order that these points can be probed more deeply during the interview. In these areas the interviewers have to make a judgement on the importance of such gaps and how readily the gaps can be filled by future training and experience.

Arrange the layout of the room

Decide on the atmosphere that you wish to create. For example, desks can be a barrier between candidate and interviewer – you may wish to create a more relaxed, informal atmosphere with comfortable seats arranged at right angles (rather than confronting each other!).

Reception of candidates

Brief the person who will be meeting the candidates as they arrive – who to expect, where they should wait and who will be conducting the interviews.

Upon arrival candidates should be offered a comfortable place to wait, refreshments (water/tea/coffee) and shown the location of the WCs.

The interview

You should start interviews by putting candidates at their ease. You want them to provide information and to talk freely and openly. Start with an 'ice-breaker' question such as 'How was your journey this morning?'

During the interview it is good practice to follow a standard structure for all candidates. **Therefore, the main areas for questioning should be planned in advance (based upon the requirements identified in the person specification).** Following a standard structure will be the most effective way to ensure that each candidate is treated equally and that nothing is missed out. It will also assist with time keeping. If you are conducting a panel interview, allocate areas for questioning to each member of the panel before the interview. It also helps if each interviewer, when concluding his or her topics, invites others to pose any additional questions in case a pertinent question has been missed or not answered in sufficient depth.

One of the main benefits of a panel interview is that panel members who are not asking questions at a particular time have an opportunity to:

- write notes of the candidate's replies
- note the reaction of the candidate to questions (e.g. uneasy, surprised, hesitant)
- note the candidate's eye contact, posture, tone of voice etc.

Following the opening of the interview, it is the candidate who should be encouraged to do most of the talking. This is helped by the interviewer/s using open questions and listening actively and attentively.

Questioning during an interview

Ask **open** questions – this encourages the candidate to express him/herself (these questions usually start with Why? What? When? Where? How? Tell me about...).

Follow up with **probing** questions – perhaps to investigate further when an answer is too superficial or general (“tell me more about...”).

Ask questions about **situations in the past** – this may indicate how a candidate will respond in the future.

You may wish to use **hypothetical** questions – these involve putting a situation to a candidate and asking how they would respond.

Avoid **closed** questions that can be answered by Yes or No.

Avoid **multiple** questions – these can be confusing:
 (“What do you think caused the problem, what solutions have you considered and why?”).

Do not use **leading** questions which contain their own answer:
 (“You feel you can work well in a team, do you?”).

Do not attempt to help out a person who is struggling by answering your own questions. This will be counterproductive.

Do not be distracted from listening to the candidate. This is another reason for planning questions in advance so the interviewer can concentrate on listening to a candidate’s responses rather than planning the next question while the candidate is speaking.

Also, beware of the ‘halo effect’ when a good first impression is seized upon by the interviewer who then only looks for information which will reinforce the first impression. First impressions can affect how prepared an interviewer is to listen to the candidate. Try to avoid making a judgement before having a chance to hear what the candidate has to say.

Questions which imply an intention to discriminate must not be asked. This includes questions relating directly or indirectly to race, marital status, political or religious beliefs.

Skills of ‘attention’ interviewing

The successful interviewer will concentrate on the candidate and encourage the candidate through actively showing interest. This can be achieved both verbally and non verbally:

Verbal

- open questioning
- summarising what has been understood
- probing for further information/explanation

Non-verbal

- maintaining eye contact
- smiling
- nodding
- open and relaxed posture.

Encourage the candidate to ask any questions about the job and the conditions of employment. These should be answered as openly and accurately as possible. Also, it is useful to assess the candidate’s reaction to the information provided.

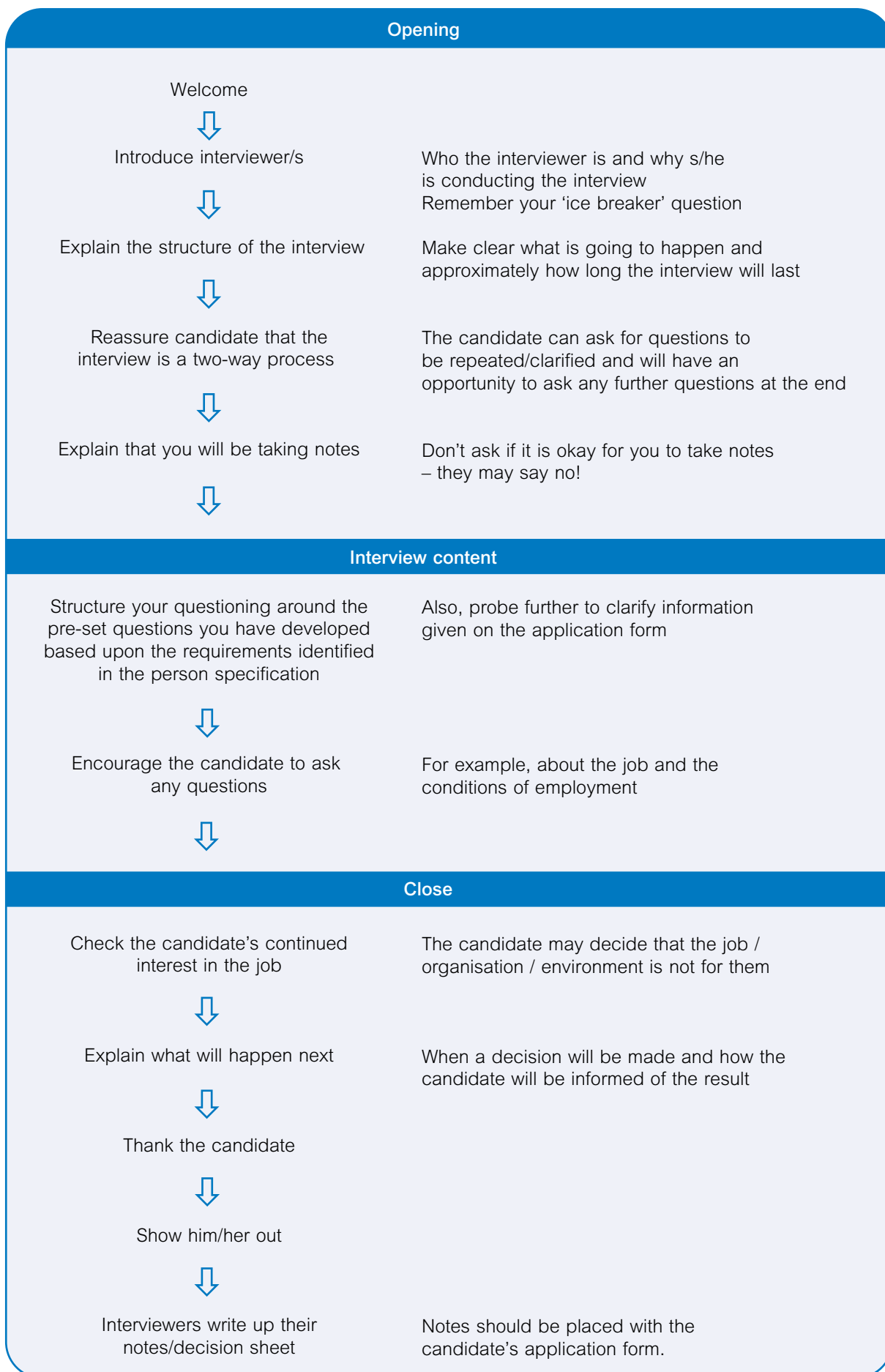
Finishing the interview

In the closing stage of the interview, candidates should be asked if they have anything they wish to add in support of their application. They should be given the opportunity to ask questions. At the end of the interview the candidate must be thanked and told what the next step will be.

At the end of each interview, write up your notes so you can remember the key points and, if appropriate at a later stage, provide feedback to the candidate or justify the decision made.

Remember that job applicants (and employees) are legally entitled to request copies of information kept about them (see section 12, Personnel records). Therefore, restrict your comments on the interview notes to an objective assessment of how the candidate meets (or does not meet) the requirements of the person specification.

Diagram 2: Interview structure – a checklist



Analysing the result of the interview

The analysis of the result of an interview should concentrate on establishing the extent to which the candidate has met the person specification. Reference should be made to each of the essential and desirable requirements set out in the person specification and an indication given of how the candidate measures up to them. Candidates who fail to demonstrate that they have the essential qualities required can be eliminated. The final choice will be made on the basis of the candidate who rates highest on both the essential and desirable characteristics.

Even successful candidates may lack some of the skills and knowledge required for their new job. This should be noted in order to assist planning of induction and foundation training once the person starts their new post.

Interviews – conclusion

Remember that interviews are more than just an opportunity for you to find out more about the suitability of a candidate for a particular job. They are a two-way process enabling the candidate to find out if he/she wishes to work for the organisation. They are also an opportunity to create a positive impression of the organisation (even unsuccessful candidates are potential future employees, service users etc).



See Interview assessment form - Form 4

4.3.4 Criminal record checks

In March 2002 the Criminal Records Bureau (CRB) was set up as an executive agency of the Home Office. It aims to support safer recruitment practices to protect children and vulnerable adults through making police checks more accessible to employers.

The CRB holds information from the Police National Computer; Department of Health; Department for Education and Skills (DfES); and local police records.

It provides information to employers through the 'Disclosure' scheme. This allows employers to conduct criminal record checks before recruiting a member of staff.

Clearly, the information held is of a sensitive nature. Therefore, in order to use the Disclosure service, organisations must register with the CRB and agree to comply with their *Code of Practice*. They must also nominate a person within the organisation who will be the organisation's signatory when using the scheme.

If your organisation is registered, you can then follow a set procedure to check the criminal records of a successful job applicant.

1. You ask the successful job applicant to telephone the Disclosure Information Line at the CRB. He or she will be asked a series of questions which form the basis of their application form. The part-completed application is sent to the applicant.
2. The applicant checks that the details on the form are correct, signs the form and sends it to your organisation.
3. Your organisation's signatory countersigns the application form and sends it to CRB for processing.
4. Once processed, a copy of the disclosure is sent to the job applicant and a copy is sent to your organisation.

The Disclosure service will be self-financing. Therefore, there is a fee of £300 for your organisation to register to use the scheme and a further fee of £12 for each disclosure.

For further information contact:

Criminal Records Bureau (CRB), Disclosure
Information Line: 0870 90 90 811
www.disclosure.gov.uk

4.3.5 Employing drug users and ex-drug users

People with experience of drug use and drug treatment can be effective workers in drug services, particularly when they have support and backup from their management. It should not be assumed, however, that because an individual has experienced drug treatment they also have the competency to deliver it.

In common with any new member of staff, those with experience of drug use and drug treatment should be assessed against the requirements of the person specification and job description.

The job description and person specification should make clear the scope of the job and the attributes required by the job holder. For example, a drug service seeking to engage with active drug users and provide them with harm reduction information and services may particularly consider individuals with experience of drug use as potential employees. Conversely – a service that focuses on abstinence from drugs might feel that only non-users or ex-drug users with a commitment to abstinence themselves would be appropriate.

Once the decision has been taken to employ a new member of staff, those with experience of drug use and drug treatment should be provided with the induction, training and supervision (according to individual needs) that would be good practice for any member of staff.

All drug treatment services should develop policies on drug and alcohol use in the workplace, so that all staff know what is expected of them and what support will be available, should they experience problems with drugs or alcohol. They should also receive information on how to access this in confidence.

(Ref: Enhancing Drug Services, DrugScope)

5 Contracts of employment

QuADS Standard 6.3

“All employees have contracts of employment and conditions of service.”

The contract of employment forms the basis of the employment relationship. A contract is made when a person accepts an employer's offer of work in return for wages. A number of legally binding rights and duties arise as soon as this happens.

Most employment contracts do not have to be in writing to be valid – a verbal agreement can be sufficient. However, it is always good practice to write down the terms of employment when a person is employed in order to minimise later disagreements. Most employers confirm the offer of employment by a letter to the new employee. The Employment Rights Act 1996 also requires employers to provide most employees, within two months of starting work, with a written statement of the main terms and conditions of service.

The written statement of terms and conditions must include the following:

- employer's name
- employee's name
- job title or brief job description
- date employment began
- place of work and address of employer
- amount of pay and interval between payments
- pension arrangements
- hours of work
- holiday entitlement
- sick pay arrangements
- notice periods
- any collective (e.g. trade union) agreements which directly effect the terms and conditions.

The Department of Trade and Industry (DTI) provides a pro forma *Written statement of employment particulars* (Form PL700A), which can be downloaded from:
www.dti.gov.uk/publications

Under the Employment Act 2002, the written statement of terms and conditions must also include:

- a description of the organisation's grievance and disciplinary rules, or an indication of where the employee can find out about them
- details of who would deal with any staff grievance and disciplinary issues (see section 13, Grievance and disciplinary procedures).

5.1 Express terms

The above terms and conditions of employment are known as express terms – in other words they are stated explicitly, normally in writing.

5.2 Implied terms

In addition to express terms, some terms of employment are implied. Legally, all employment contracts have the following terms between employer and employee, whether explicitly agreed or not:

- to maintain trust and confidence through co-operation
- to act in good faith towards each other
- to take reasonable care to ensure safety and health in the workplace.

Implied terms can also become recognised as part of a contract through:

- custom and practice of the organisation

- reference to other documents such as organisational handbooks (particularly if the employee has been made aware of them and given access to them)
- collective agreements with trade unions.

5.3 Statutory rights

All employees (full- and part-time) have a wide range of statutory rights, imposed by law. These are rarely stated explicitly in employment contracts, but include the following:

- not to be discriminated against on grounds of race, sex, marriage or disability
- equal pay (for males and females doing work of equal value)
- an itemised pay statement
- the national minimum wage
- maternity benefits/rights and parental leave
- time off to deal with an emergency involving a dependent
- a safe system of work
- statutory sick pay
- protected employment rights
- grievance and disciplinary procedures
- written reasons for dismissal on request (after one year's service)
- redundancy pay (after two years' service)
- notice of termination of employment (i.e. at least one week's notice after one month's service, two weeks after two years and an additional week's notice for each complete year of employment up to 12 weeks for 12 years service).

Most employees who believe they have been unfairly dismissed can complain to an Employment Tribunal within three months of their dismissal, provided they have at least one year of continuous service (this in effect gives the employer the opportunity to operate a probationary period of up to one year). However, no service period is required if the dismissal was because:

- the employee sought or asserted a statutory right (see above)
- for trade union activities
- for taking action on health and safety grounds
- pregnancy or childbirth.

5.4 How can a contract be altered?

Most changes to an employment contract require the consent of employer and employee. They can be agreed:

- either verbally or in writing (although preferably in writing as this can avoid future disagreements)
- through collective bargaining
- when the employee works in accordance with the new terms without objecting to the changes.

5.5 How can a contract be ended?

Normally a contract is ended by either the employer or employee giving the required notice of termination. If the employer fails to give required notice, the employee can make a claim to the courts for damages for wrongful dismissal, or make a claim to an Employment Tribunal.

If the employee leaves without giving the required notice, the employer may have rights to claims for damages. No notice is required where dismissal is for gross misconduct.

(Adapted from *Advisory Handbook: Employing People*, ACAS)

Further information

Some employment relationships are described as 'self-employment' to gain advantages in flexibility and for tax/national insurance purposes. However, whether a person is 'employed' or 'self-employed' is not always easy to define, particularly if a 'self-employed' person works mainly or exclusively for one organisation and makes use of that organisation's resources.

Other contracts are arranged as 'fixed-term contracts', with a defined length and a specified termination date. However, people on fixed-term contracts are increasingly entitled to rights similar to permanent employees, and in most cases, people with four years or more continuous service will automatically be regarded as having converted to a permanent contract.

Clearly, even a 'permanent' contract can be brought to an end if the job becomes redundant, or the employee is dismissed through the disciplinary procedure (see section 13: Grievance and disciplinary procedures).

If in any doubt, it is important to seek further guidance – an authoritative statement of employment law can only be made with reference to particular circumstances that apply. The following bodies provide free, impartial information and guidance on employment issues:

- Advisory, Conciliation and Arbitration Service (ACAS)
National Helpline: 08457 47 47 47
www.acas.org.uk
- Department of Trade and Industry (DTI)
Tel: 020 7215 5000
www.dti.gov.uk

6 Induction

QuADS Standard 6.5

“The agency ensures that induction training and orientation for new staff takes place.”

The aim of induction is to introduce a new postholder to all issues, other services, people and procedures that may be relevant to their job. It is often forgotten that an employee who changes role within the organisation will also need to be inducted into their new post.

6.1 Why is induction important?

Induction should help new employees to settle into their new job and to become effective in their work as quickly as possible.

Failure to induct new employees can lead to slow progress, and potentially dangerous or expensive mistakes that put the standard of service at risk. It may even result in a new employee leaving (or being dismissed) after a relatively short period of service. This will then require the entire cost of another recruitment and selection process to replace them.

6.2 When should induction take place?

In effect, the induction has already started during the recruitment and selection process when candidates are learning about the organisation and the job. Any promises made to candidates during the recruitment and selection process must be honoured.

Most importantly, provide a good reception to the new employee and a feeling of ‘welcome’ on day one.

Remember that there is only so much information that a new employee can absorb in one go. Therefore, ensure that essential information (such as health and safety, introduction to colleagues) is provided immediately and that further information is spread over a number of weeks.

Ensure that new employees receive any relevant written material such as the terms and conditions of employment (see section 5, Contracts of employment).

It is useful to use a checklist of the main points to be covered in an induction. This has the following benefits:

- It makes clear to the new employee what their induction will include.
- It assists in co-ordinating the induction, especially if a number of people will be involved.
- Finally, it is a document that can be signed as a record that the induction was completed. The signed induction checklist should be placed in the new employee’s personnel records.



Induction checklist - Form 5

6.3 What standards should new staff meet?

6.3.1 Topss England – induction standards

Topss England (the national training organisation for social care) has developed a set of induction standards describing what a new member of staff in a social care organisation should be able to do (and what they need to understand) within the first six weeks of employment.

There are five units in the induction standards:

1. understand the principles of care
2. understand the organisation and the role of the worker
3. understand the experiences and the particular needs of the service user groups
4. maintain safety at work
5. understand the effects of the service setting on providing services.

Topss England Foundation Standards

The Topss Foundation Standards build on the outcomes and learning described in the Induction Standards. They provide a basis for continuing a new member of staff's learning and development during their first six months of employment.

There are five units in the Foundation Standards:

1. understand how to apply the value base of care
2. communicate effectively
3. develop as a worker
4. recognise and respond to abuse and neglect
5. understand the experiences and particular needs of the individuals using the service.

Guidance and support for a new member of staff

A new member of staff working towards achievement of the Topss standards should be supported and monitored through regular supervision meetings (see section 11) and the appraisal system (see section 10).

Further information on the Topss Induction and Foundation Standards (including how to obtain copies of employee induction portfolios) can be found on the Topss web site: www.topss.org.uk.

Induction of existing employees

Induction does not only apply to new employees – individuals moving to a new job within their organisation may also need an induction to their new role. Most importantly, there may be training and development needs to be identified and addressed before the individual can perform all aspects of their new role to the standards required.

6.4 Probationary period

In appointing new members of staff, a further safeguard is to offer the position subject to successful completion of a probationary period. The length of the probationary period will vary according to each organisation's policy. It is useful to link successful completion of the probationary period with the monitoring and evaluation of induction training (i.e. during the first six weeks) or foundation training (i.e. during the first six months).

It would normally be inappropriate for a probationary period to last longer than six months.

7 Training and development

QuADS Standard Statement 8

“The human resource development approach ensures that management, staff and volunteers are equipped with the skills and abilities to meet the objectives of the service.”

The primary aim of training and development is to ensure that staff develop the skills, knowledge and attitudes to fulfil their job descriptions and deliver quality services.

The appropriateness of any training and development activity should be considered and clear expectations of improvement in performance should be identified and measured.

Clearly, the training needs of individual members of staff will vary – from the new trainee requiring training and development in all areas of service delivery, to the experienced staff member who needs to keep up-to-date with current practice. In all cases, however, training and development

provision must be properly managed to ensure that the service objectives of the organisation are met.

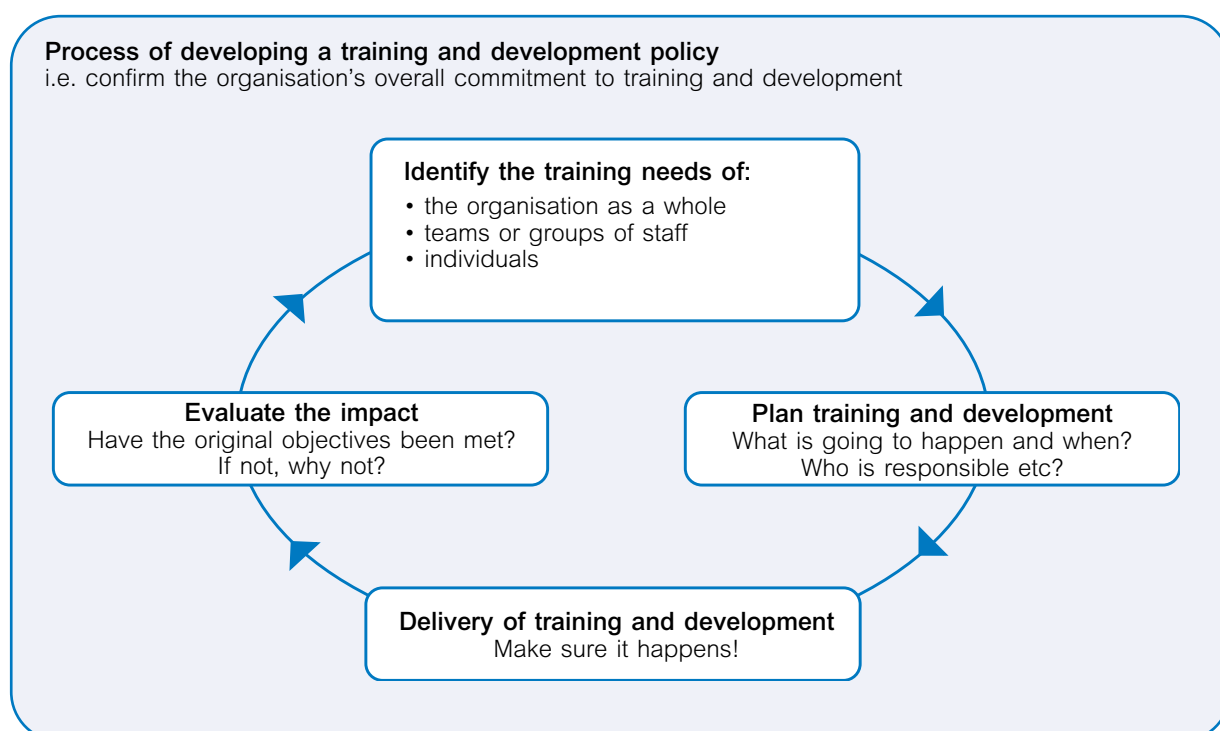
The management of training and development is typically approached in four inter-related stages:

- identify the training needs of staff
- plan training and development activities
- deliver training and development activities
- evaluate the impact of training and development.

All the above takes place within the context of the organisation’s overall objectives, usually defined in the organisation’s training and development policy.

There is no doubt that training and development activity will be most successful when it takes place within a ‘learning organisation’. That is, an organisation where managers recognise the importance of creating and sustaining a positive attitude to training and development.

Diagram 3: Management of training and development



7.1 Training and development policy

QuADS Standard 8.1

“The service has a human resource development strategy which relates to the strategic/business planning process.”

The philosophy and values of an organisation towards the training and development of its employees are reflected in its training and development policy (Ref: *A Handbook of Training Tools*, SCODA).

A training and development policy is not necessarily a written document – it may be implicit in the organisation’s attitude towards staff development.

However, a written training and development policy is good practice.

- It confirms the commitment of senior managers to the training and development of employees.
- It specifies the priorities, standards and scope of its training activities.
- It provides operational guidelines for managers and employees.
- It demonstrates a commitment to providing quality services.

The training and development policy is best devised through consultation between managers and staff. It should be reviewed and, if necessary, revised annually.



See Training and development policy form - Form 6

7.2 Training needs analysis (TNA)

QuADS Standard 8.4

“The training plan should incorporate individual training needs.”

A training needs analysis (TNA) is the process by which training and development needs are identified.

A TNA seeks to identify the gap between the current skills and knowledge of staff, and the skills and knowledge required to achieve the objectives of the organisation.

Once any ‘skills gaps’ are identified, plans can then be made to fill these gaps (e.g. planning appropriate training and development activities).

No organisation has unlimited resources (time or money) to provide training and development. Therefore, conducting a TNA is important as a means of prioritising training and development activities.

This is not only important to make the best use of time and money. It is also demoralising for employees to be trained in an area where they are already competent, or conversely not to receive the training they need to undertake their roles with confidence.

7.2.1 Conducting a training needs analysis

A TNA seeks to answer two key questions:

1. *What skills and knowledge do staff need in order to achieve the objectives of the organisation, now and in the future?*

To answer this question, you will need to be familiar with your organisation’s business plan. The business plan should describe the aims and objectives of the organisation – training and development activities need to focus on achieving the objectives of the organisation (including looking ahead to future needs). It is also helpful to consult up-to-date job descriptions.

2. *What skills and knowledge do staff currently possess?*

You will need to collect information about the current skills and knowledge of staff e.g. through observation of work, formal or informal interviewing of staff and/or completion of questionnaires.

7.2.2 Conducting a TNA with an individual member of staff

Step 1

Identify the functions of the individual's job and the standards to which it must be performed (remember also to include any new and emerging functions).

National Occupational Standards

A job description, based on National Occupational Standards will provide a description of the functions of the job, i.e. a list of unit titles will identify the key functions. Within each unit, the standards of performance and knowledge required will be described.

Step 2

Assess the existing skills and knowledge of job holders against the requirements of the job. This will highlight any areas where training and development may be required.

National Occupational Standards

Each individual employee should examine the units applicable to their job (i.e. from the job description) and assess where they are already competent and where they may need further training and development.

This process is usually carried out during a discussion between the individual and their line manager. Prior to the discussion, the individual should be provided with copies of the units relevant to their job.

It is helpful to use a questionnaire to assist in identifying where the individual is competent or not yet competent. The questionnaire would usually be completed during a discussion between the individual and their line manager (e.g. during regular supervision meetings or the appraisal process).



See TNA questionnaire sample - Form 7



See TNA questionnaire form - Form 8

7.2.3 Team and organisational TNAs

TNAs conducted with individuals should be scrutinised to identify where there are common training and development needs across a number of individuals. This is particularly likely to be the case where staff members work in the same team or have the same job role.

There are also many occasions when changes affecting the organisation will result in training and development needs for all employees (or groups of employees).

For example:

- the organisation plans to deliver services to a new client group, or expand existing services
- the organisation introduces new procedures (e.g. a new appraisal system)
- there have been changes in legislation (e.g. equal opportunities, health and safety, child protection, drug classifications)
- the computer system is updated.

These are cases where the need to develop new skills or knowledge will be applicable to many staff – provision can therefore be planned for the relevant groups or teams.

In conducting a TNA, it is important to remember that training and development will not be the answer to every problem! Be sure to consider other solutions which may be more appropriate (e.g. re-organisation of job roles). The achievement of business objectives may require interventions that are beyond the remit of training and development.

7.3 Planning to meet training needs

QuADS Standard 8.2

“All training is planned on the basis of:

- *what the need is*
- *how it will be responded to*
- *what are the expected outcomes of training and how its effectiveness will be evaluated.”*

The training needs analysis will have highlighted where training needs exist.

It should also have identified where there are urgent needs to be addressed (e.g. if there were skills gaps in areas which affect the safety of service users).

The next step is to plan training and development activities, taking account of the organisation's training and development policy, resources available and priorities to be met.

7.3.1 Individual training and development plan

Each member of staff should have an individual training and development plan, recording training and development needs identified and action to be taken. This can be updated at regular intervals during the individual's employment to keep track of all training and development activities undertaken.



See Individual training and development plan form - Form 9

7.3.2 Organisational training and development plan

In order to co-ordinate all training and development activity (and to monitor the training budget), it is also useful to maintain a central training and development plan. This provides a summary of all training and development activity.

A typical training and development plan for an organisation describes:

- training planned in relation to specific jobs or roles
- aims and objectives for each training activity
- performance standards to be achieved
- person/s responsible for implementation
- priority given to each training need
- methods to be used

- resources required
- target dates for completion of activities
- methods to be used in evaluating the training.

(Adapted from *A Handbook of Training Tools*, SCODA)



See Organisational training and development plan form – Form 10

National Occupational Standards

Increasingly, training and development delivery is being cross-referenced to units from National Occupational Standards.

For example, the NTA has commissioned a series of competency-based training modules designed to develop the skills and knowledge relevant to the Drugs and Alcohol National Occupational Standards (DANOS).

7.4 Training and development methods

QuADS Standard 8.5

“Training takes place according to the training plan.”

In planning training and development activity to meet identified needs, there are numerous options available (see Table 3). The most appropriate method of training and development will depend upon the preferences of the individual, cost, availability, etc.

In all cases, training and development will be most effective when line managers are closely involved in supporting their staff to apply new skills and knowledge in the workplace.

Table 3: Some of the main training and development methods

Method	Comment
External training courses	Appropriate for meeting knowledge and skills requirements which are not specific to the organisation. This may also have the benefit of bringing staff into contact with people from other organisations.
Internal training courses (sometimes delivered by an external facilitator)	Most cost effective when a group of staff require the same training. Allows training content to be tailored to the specific needs of the organisation.
Working alongside more experienced colleagues	Informal but often a very effective way of learning (staff may benefit from training in coaching or instruction skills).
Open and flexible learning programmes e.g. videos, books, CD-ROMs	Useful because the person can work at a time and pace to suit them. Often helpful as an addition to other learning methods, although some people miss the interaction with trainers and other learners if too much emphasis is given to open learning resources.
E-learning	Internet based learning such as 'Learndirect' (see Sources of further information).
Mentoring	A more experienced member of staff (other than the individual's line manager) is allocated to meet routinely with the individual to provide advice and support.
Action learning	Groups of colleagues working together over a period of time to solve a specific problem.
Job rotations and secondments	Useful to broaden an individual's skills and knowledge and possibly to enhance understanding between different work areas within an organisation.
Project work	Giving an individual responsibility for a specific piece of work, normally with specific objectives to be achieved within a set time. This may require the individual to conduct their own research.
Attendance at conferences or seminars	Useful for keeping up-to-date with new developments and networking/sharing experience with colleagues from other organisations.

7.5 Evaluation of training and development

QuADS Standard 8.6

“Training effectiveness is evaluated against objectives identified in the training plan.”

Evaluation of any training and development activity is important to assess its impact. Effective evaluation relies on the training and development activity having clear objectives in the first place. This reflects the well known truism *‘If you don’t know where you’re going, how will you know when you’ve arrived?’*

The main reasons for conducting an evaluation are:

- to identify whether the training and development has achieved its original objectives and whether any further training and development needs to be planned
- to find out what worked well or not so well, so future provision can be enhanced and improved – this includes providing feedback to trainers
- to help learners reflect on what they have achieved and plan next steps in their personal development
- to measure the effectiveness of the investment of time and resources and so justify any further expenditure.

7.5.1 Evaluation methods

Most training events will make use of evaluation forms to record the learners’ immediate reaction to the training they have received. Some trainers also use end-of-course discussions or feedback sessions.

Such ‘end-of-day’ evaluations can be collated and reviewed to discover how effective the training event has been and identify how future events can be improved.

However, such evaluation forms often tell you more about how much the individuals enjoyed the activity rather than how effective the activity was in achieving learning objectives.

Therefore, in addition to the immediate post-event evaluation forms or discussions, it is also valuable to consider the extent to which new skills and knowledge will be applied in the workplace.

A recommended approach would be for a line manager and the learner to review the impact of any training and development activity within about two weeks of the activity taking place and then again after at least three months. In both cases, the evaluation needs to focus on:

- how well the activity met the original objectives
- how similar activities in the future can be improved
- are the skills and/or knowledge from the training still being used?
- what further training and development may be required.

Such an ‘impact assessment’ provides a realistic indication of the benefits for service users and is useful to inform planning of future training and development activity. The impact assessment can usually be included as part of regular supervision meetings or the appraisal process.



See Training and development impact assessment form – Form 11

8 National Vocational Qualifications (NVQs)

NVQs are work-based qualifications which provide recognition of a person's competence.

Competence can be defined as:

'The ability to perform a task or tasks to the standards required in employment'

An NVQ is achieved when a person's occupational skills and knowledge are formally assessed and found to meet the National Occupational Standard (as defined by National Training Organisations and Sector Skills Councils – see section 2, National Occupational Standards).

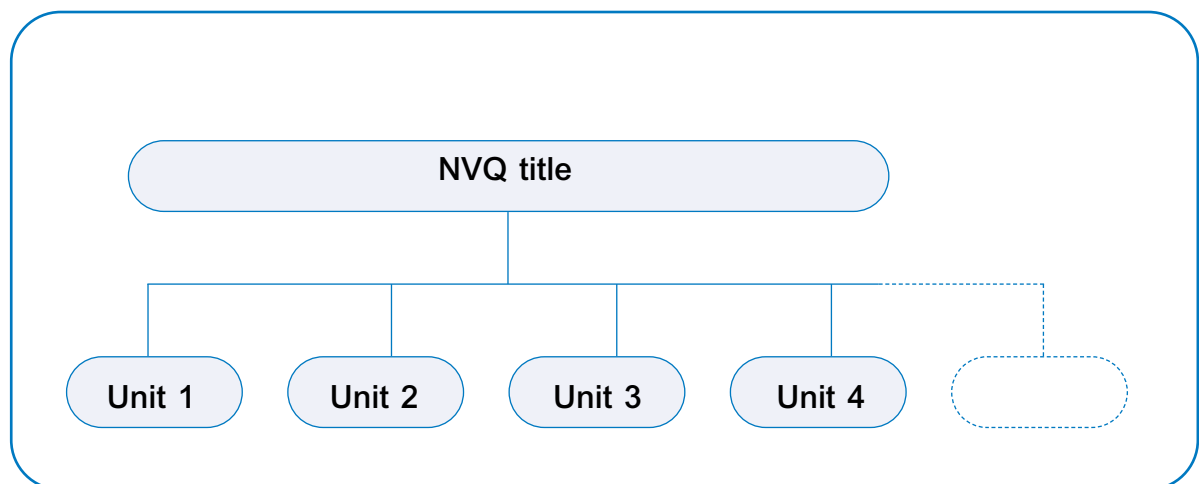
8.1 NVQ units

NVQs are made up of a number of units (derived from the National Occupational Standard).

A full NVQ is achieved when all the mandatory units and the specified number of optional units have been completed (some of the units are usually chosen from a list of options, enabling the NVQ to be tailored to specific job roles).

It is also possible to gain a certificate of unit credit for individual units.

Diagram 4: The structure of an NVQ



8.2 NVQ levels

NVQs are awarded at five levels, ranging from straightforward and routine roles (Level 1) to senior management and professional roles (Level 5).

The complexity and level of responsibility of the role determines the appropriate NVQ level.

Not all NVQs are available at all five levels. For example, the care NVQ is available at levels 2, 3 and 4:

Care level 2

“Candidates will usually be delivering care in support of, and under the direction of, a colleague who is accountable in the area of practice, although this person may not always be in the immediate vicinity while the candidate is working with clients...”

Care level 3

“... candidates will have a degree of responsibility and autonomy, and will be required to make decisions within boundaries and limits agreed with their team.”

Care level 4

“Candidates for this award may often be working as managers and supervisors of other workers...”
(Ref: Topss 2002, www.topss.org.uk)

8.3 Benefits of NVQs

8.3.1 The organisation

- can encourage and motivate people through formal recognition of their skills and knowledge
- can demonstrate to service users and funders that the organisation provides quality services
- can integrate the achievement of qualifications with other uses of National Occupational Standards (e.g. job descriptions, identification of training needs, appraisals etc).

8.3.2 The individual

- gains formal recognition of their ability to do their job to a national standard
- gains credit for existing skills, knowledge and experience
- has a clear framework for developing skills and knowledge to help them in their job and/or to progress in their career.

8.4 Assessment of an NVQ

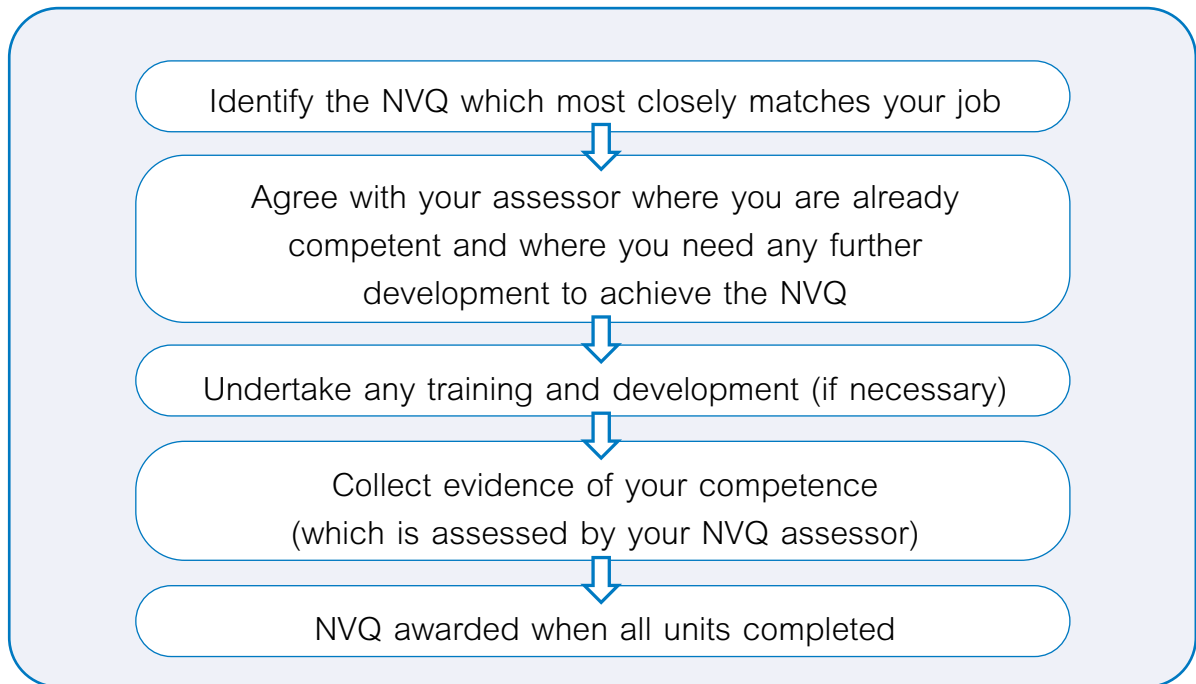
Since NVQs are based on work, the assessment system is also work-based. Those working towards the NVQ (usually called the ‘candidates’) produce evidence from their work to show that they are able to meet the required standards consistently in a range of different situations. Candidates work with an assessor whose role is to support the candidate in collecting the most appropriate evidence and to make a judgement on when the standards have been met.

There are various types of evidence that can be used, but some of the most important are:

- observation of the candidate's normal work by an assessor
- questions (oral or written) asked by the assessor
- examples of documents, records, reports, etc produced in the workplace by the candidate
- statements from witnesses (usually colleagues or managers) who have observed the candidate's performance
- feedback from service users.

All the evidence is presented in a file (the ‘portfolio’) as proof of the candidate's ability to meet the National Occupational Standard.

Diagram 5: The candidate's route towards an NVQ



8.5 Who's who in the NVQ system?

8.5.1 The Qualifications and Curriculum Authority (QCA)

The QCA oversees the NVQ system, ensuring that NVQ qualifications meet particular criteria and are broadly comparable across different sectors. The QCA formally approves NVQs and quality assures the activities of awarding bodies.

8.5.2 Awarding bodies

NVQs are awarded by awarding bodies, which are usually organisations which have been awarding vocational qualifications for many years.

For example, the awarding bodies offering care NVQs are:

- Edexcel/BTEC
- City and Guilds
- The Open University.

(Regardless of the awarding body selected, all care NVQ candidates would be working towards exactly the same National Occupational Standards.)

8.5.3 Approved NVQ centres

NVQs are actually delivered through approved NVQ centres, which are organisations that have been approved by an awarding body to deliver NVQs.

Approved NVQ centres include further education colleges, private training providers and employer organisations. In fact, any organisation that meets the conditions set by an NVQ awarding body can become an approved NVQ centre. To become an approved NVQ centre, an organisation must demonstrate that it has sufficient resources and staff to successfully deliver NVQs.

8.5.4 The people involved External verifiers

Representatives of the awarding body, responsible for visiting approved NVQ centres to ensure that the assessments carried out within all centres are to a consistent standard.

Internal verifiers

Responsible for quality assurance of the assessment process within the approved NVQ centre.

NVQ assessors

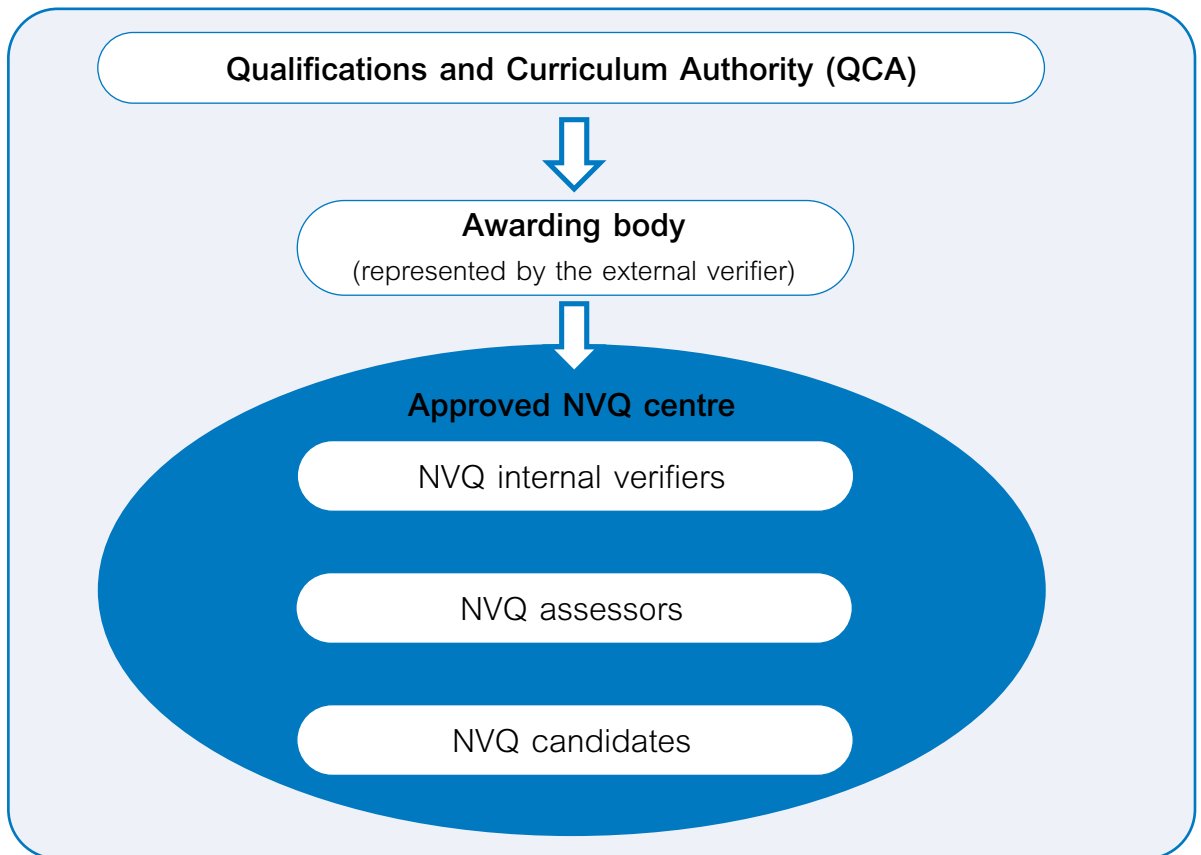
Responsible for planning and carrying out NVQ assessments.

NVQ candidates

Responsible for collecting evidence of their competence.

Diagram 6: NVQs - the people involved

The dark blue area in the diagram represents an approved NVQ centre, which will require internal verifiers, assessors and candidates to function. All approved NVQ centres will be monitored by one or more NVQ awarding bodies. The QCA oversees the NVQ system.



8.5.5 Who can be an NVQ assessor?

An NVQ assessor must be experienced in the relevant occupational area and hold the NVQ assessor award.

Often, supervisors or managers train to become NVQ assessors so they can assess their own staff. This makes sense, as they are often the people who know the candidate's work the best.

Supervisors and managers who are not trained

assessors can still help their staff to achieve their NVQs by:

- providing statements to confirm a candidate's competence
- providing the candidate with opportunities to collect evidence
- providing support and encouragement.

The NVQ assessor award

Until July 2002, the NVQ assessor award comprised two units taken from the training and development NVQ:

Unit D32 Assess candidate performance

Unit D33 Assess candidate using differing sources of evidence.

This will continue to be a recognised assessor's award for many years to come. However, the training and development National Occupational Standards have been revised and updated. Therefore, since August 2002, trainee NVQ assessors are required to work towards new units:

Unit A1 Assess candidates using a range of methods.

or

Unit A2 Assess candidate's performance through observation.

In order to achieve the assessor award, trainee assessors must produce evidence from actual assessments of NVQ candidates over a period of time. Realistically, the minimum time taken to achieve the NVQ assessors award is about three months, although it can take longer depending upon the trainee assessor's motivation and time available for carrying out assessments.

8.6 The component parts of an NVQ unit

Within each NVQ unit, the skills and knowledge required are described in detail. Guidance is also

provided regarding the amount and types of evidence to be presented.

Table 4: The component parts of an NVQ

Unit	A major function performed in a job: <i>e.g. "Unit 02: Promote people's equality, diversity and rights".</i>
Element	A smaller task or role (part of a unit): <i>e.g. "Element 02.3: Promote people's right to the confidentiality of information".</i>
Performance criteria	The standard to which the task must be completed: <i>e.g. "p.c. 3: Information is disclosed only to those who have the right and need to know, and when proof of identity has been obtained".</i>
Range statement	The different circumstances or contexts in which the task could be performed: <i>e.g. "Range 1: Information stored (a) electronically or (b) in writing".</i>
Knowledge and understanding	What a competent person would need to know and understand in order to carry out the function: <i>e.g. "Knowledge Specification 26: Why it is important to encourage individuals to communicate what they want as long as this does not adversely affect the rights of others".</i>
Evidence requirements	The evidence candidates must show to prove they have met the required standard: <i>e.g. "Your assessor must observe you in real work activities...".</i>

Examples taken from care unit 02 / DANOS Unit AA4, Promote people's equality, diversity and rights.

8.7 How can you deliver NVQs for your staff?

Providing NVQs for your staff can be achieved in a number of ways, ranging from becoming your own approved NVQ centre and delivering the entire programme in-house, to buying in a full NVQ assessment service from an external organisation.

There is no right or wrong approach – the most appropriate way to deliver NVQs will vary according to each organisation's circumstances.

8.7.1 Becoming an approved NVQ centre

In order to become an approved NVQ centre, you will need to apply to one of the awarding bodies which awards the NVQ you wish to run.

The awarding body will send you an application pack to complete. You will need to show that you have the staff and resources available to:

- administer the NVQ programme
- provide opportunities and resources for workplace assessment
- provide sufficient NVQ assessors
- provide sufficient NVQ internal verifiers.

NVQ assessors will be expected to meet with each other and the internal verifier/s to standardise their assessment decisions. Assessors and internal verifiers will also be required to meet with external verifiers when they visit from the awarding body (about every six months).

Becoming an approved NVQ centre therefore requires a significant investment in time and resources.

Normally, only an organisation with an on-going need for a large number of staff to achieve NVQs would benefit from becoming an approved NVQ centre. Otherwise, the investment in time and money needed would not be cost effective.

8.7.2 Working with an approved NVQ centre

An alternative to becoming an approved NVQ centre is to work with an existing approved NVQ centre. This has a number of benefits. The approved NVQ centre will provide:

- all NVQ documentation and induction of candidates
- assessment
- internal verification
- liaison with the awarding body
- administration of the programme (e.g. registering candidates and applying for certification).

For example, staff may enrol on an NVQ programme at a local college or with a local training provider. In these situations, much of the assessment will still take place in the workplace, but the assessor will visit from the approved NVQ centre.

Normally, the approved NVQ centre will charge a fee per candidate, based upon the time and other resources required to deliver the programme.

8.7.3 Working in partnership with an approved NVQ centre

For many organisations, a third way is a practical option. Staff in your own organisation can be trained as NVQ assessors, but their assessments are quality assured by an external approved NVQ centre. The external approved NVQ centre is then responsible for administering the programme and liaising with the awarding body.

The proportion of assessment and training delivered in-house by your own staff or by the approved NVQ centre can be negotiated. This approach will reduce the costs paid to the approved NVQ centre and keep your staff closely involved in the process.

When negotiating such an arrangement, remember:

- assessment is required by all NVQ candidates
- some candidates will be able to achieve the NVQ without additional training and will be ready for immediate assessment
- where NVQ candidates do require training, you may wish to deliver all or some of that training in-house.

8.7.4 Joining an NVQ consortium

Some approved NVQ centres are set up and run by a consortium of organisations. By working together, a number of organisations can spread the costs of running an NVQ centre and share expertise.

Useful contacts for care NVQ consortia

- Topss England – which has established nine regional committees to promote the use of National Occupational Standards and NVQs across all the English regions.

Topss England
Tel: 0113 245 1716
Web site: www.topss.org.uk

- The Association for Care Training and Assessment Networks (ACTAN) which acts as a link between existing care NVQ approved centres on a local, regional and countrywide basis.

ACTAN (Association for Care Training and Assessment Networks)
Tel/Fax: 01304 211740
Web site: www.actan.net

8.8 Delivering NVQs – getting started

To find out which awarding bodies offer a particular NVQ, contact the Qualifications and Curriculum Authority (QCA).

QCA produces a quarterly listing of all NVQs and awarding bodies called Datanews. This can be consulted (and downloaded) on the QCA web site at:

www.qca.org.uk/nq/subjects/datanews.asp

Or perhaps more simply, call the QCA enquiry line on 020 7509 5555.

You then have two main choices:

1. **To become an approved NVQ centre**
Phone the awarding bodies that award the NVQ you are interested in and ask them to send you details of how to apply to become an approved NVQ centre.
2. **To work with an approved NVQ centre (or an NVQ consortium)**
 - a) Phone the awarding bodies that award the NVQ you are interested in and ask for a list of their approved NVQ centres in your region.
 - a) Phone your local approved NVQ centres to discuss your requirements.

8.9 Drug and alcohol NVQs

A framework of qualifications for drug and alcohol workers, based on the Drugs and Alcohol National Occupational Standards (DANOS), is due to be developed during 2003/2004.

Currently, there are no NVQs specifically for the drug and alcohol sector. However, a number of

the DANOS units are taken from the Care National Occupational Standards and appear in care NVQs. Therefore, some of the care units are likely to count towards a future qualification for drug and alcohol workers.



See Cross-reference of care NVQ units to DANOS – Form 16

Table 5: NVQs: Important points

Access is open to all	There are no entry qualifications required for NVQs. People work towards the NVQ which most closely matches their job role.
NVQs recognise competence regardless of how competence has been achieved	Some people will have many years' experience in their work and already be working to the standards specified in the NVQ. Such people achieve the NVQ by presenting evidence of their competence.
NVQs are not training courses	NVQs provide a standard against which people can be assessed. Training can be designed to meet NVQ requirements, but not all candidates will need training to achieve the NVQ.
There are no exams	Candidates collect and present evidence of what they know and can do.
There is no pass or fail	Candidates are found to be either competent or not yet competent. If they are not yet competent they would usually undertake further training or gain more experience before being re-assessed.
Organisations and candidates set targets for completion of NVQ units	Units can be achieved in any order and at a pace to suit the individual and the needs of the organisation.

9 Funding of training and qualifications

QuADS Standard 8.3

“There are adequate financial resources identified for, and allocated to, the training programme.”

9.1 Learning and Skills Council (LSC)

The LSC is responsible for all post-16 education and training. It was formed in April 2001, assuming the responsibilities of the Training and Enterprise Councils (TECs) and the Further Education Funding Council. It is responsible for the funding, audit and development of post-16 learning.

The LSC national office is based in Coventry, with 47 local LSCs across England. Local LSCs are responsible for setting local plans within the national framework.

To find your local LSC:

Call the LSC Helpline:
0870 900 6800

Or visit the LSC web site:
www.lsc.gov

9.1.1 Modern apprenticeships

Modern apprenticeships are the main initiative through which the LSC funds learning and qualifications in the workplace.

Modern apprenticeships are for young people aged between 16 and 24. There are two types of modern apprenticeships – foundation and advanced.

A foundation modern apprenticeship leads to the achievement of an NVQ Level 2 and normally takes about one year to complete.

An advanced modern apprenticeship leads to the achievement of an NVQ Level 3 and can take between one and three years to complete.

In addition to their NVQ, trainees on modern apprenticeship programmes also work towards key skills in:

- communication
- application of number
- information technology
- problem solving
- improving own learning
- working with others.

Trainees on modern apprenticeships spend the majority of their time in the workplace, but will attend a training provider or further education (FE) college on a regular basis (funded by the LSC). The time spent at the training provider or FE college will be negotiable – typically one day every two or three weeks.

If you wish to take on a young person as a new member of staff, or wish to put a current employee on a modern apprenticeship programme, contact your local LSC for further information. They will send you a list of training providers and FE colleges in your region that are funded to run modern apprenticeship programmes.

9.2 European Social Fund (ESF)

The ESF is an important source of funding for activities to develop employability and human resources. The ESF will support five key activities in the UK between 2000 and 2006:

- active labour market policies
- equal opportunities for all and promoting social inclusion
- improving training and education and promoting lifelong learning
- adaptability and entrepreneurship
- improving the participation of women in the labour market.

In England, ESF funding is managed by the regional government offices.

Contact your local government office for information on ESF and any other regional funds available in your area.

To find a list of government offices or for further information about the ESF, visit the ESF news web site:

www.esfnews.org.uk
Or call the ESF Division at the DfES
0114 267 7296.

The ESF normally provides 45% of the costs of a project – the rest, which is known as ‘match funding’, has to come from other sources. The majority of ESF funds are now channelled through ‘co-financing organisations’. These are organisations that have successfully applied to their local government office to run ESF projects and to provide the 55% match funding required.

Learning and Skills Councils (LSCs) will usually be approved co-financing organisations – therefore, contacting your local LSC may be the most straightforward way of accessing ESF funding.

9.3 A franchise arrangement with your local further education (FE) college

Some FE colleges will enter into franchise agreements with local organisations. This can sometimes be used to subsidise the cost of staff training and accreditation.

Under a franchise agreement, the college enters into a contract arrangement with an employer whereby the college agrees to pay some or all of the costs of delivering a programme leading to the achievement of recognised qualifications. In order to provide this funding, the college registers the candidates as students of the college and claims funding from the LSC for the number of ‘guided learning hours’ delivered and qualifications achieved.

The policy on franchise arrangements will vary according to the college involved, but it may be worth making enquiries. Most FE colleges have a department that specialises in delivering services for local employers (usually called the ‘Business Development Unit’ or ‘Enterprise Unit’).

9.4 Topss England

During 2003/04, Topss will distribute £15 million funding from the Department of Health to support care sector employers in achieving NVQ targets for their staff. This includes funding for line managers to achieve the NVQ Registered Manager Award and the NVQ assessor and internal verifier awards, and to provide support to NVQ candidates. This is the third year that Department of Health money has been channelled through Topss England and similar levels of funding are planned for a further two years. Therefore, when you are planning an NVQ programme for your staff, it would be worthwhile contacting Topss to find out the latest news on funding available in your region.

Topss England

Tel: 0113 245 1716

Web site: www.topss.org.uk

10 Appraisals

QuADS Standard 7.1

“The service has a policy that is designed to monitor, motivate and support staff.”

An appraisal is an in-depth and recorded discussion of an employees' performance. It is also an opportunity to discuss any development needs and to set future objectives, related to the needs of the organisation.

Individuals, managers and the organisation benefit from an effective appraisal scheme.

Individual: an appraisal gives job holders the opportunity to discuss all aspects of their role, in an in-depth way. It should clarify how people can contribute to the objectives of their team/department and the organisation. It also provides an opportunity for successes to be acknowledged and areas for development to be identified and remedied.

Manager: the appraisal provides an opportunity for managers to clarify their expectations of individuals. It creates a forum for the exploration of new ideas and helps managers to recognise any problem areas or difficulties. It may serve to strengthen the relationship between managers and their staff.

Organisation: an appraisal system is a visible commitment that the organisation values its people. An organisation can use the appraisal system to clarify and reinforce its objectives and strategy, making sure that an individual's performance priorities support these objectives.

(Ref: *Managing Best Practice: Appraisal*, Industrial Society)

There is no 'right method' of running an appraisal scheme. However, some factors to consider are as follows.

- The appraisal scheme should be visibly supported by top management.
- Managers and staff will be more committed to the scheme if they are consulted in its development and introduction.
- Paperwork should be simple and jargon free.
- Appraisers and appraisees need time to prepare for the appraisal interview (usually about a week). Interview forms can be used to help prepare for the appraisal interview.
- Appraisal interviews may vary in length from about 30 minutes to two hours.
- Staff need a named person they can contact who deals with any questions or concerns.
- The greater the participation and input of the appraisee, the more successful the process is likely to be.
- Training of both appraisers and appraisees is strongly recommended if appraisals are to be effective. Appraisal training for managers may include:
 - effective interviewing (e.g. structuring questions, awareness of body language, listening skills)
 - how to give constructive feedback
 - how to handle disagreement.

10.1 Clarifying the purpose of the appraisal

It is vital that all those involved in the appraisal process are clear about its objectives.

Recommended objectives are:

- providing feedback on past and current performance
- identifying training and development needs
- setting objectives/targets for the future.

Some organisations will use appraisals to collect information for salary reviews (or to assess potential for promotion). A direct link between appraisals and salary review/promotion is not recommended. A person is unlikely to participate openly and honestly in a discussion of their development needs if they know that their salary review depends upon the outcomes of the discussion.

10.2 Appraisal – the paperwork

The paperwork should be kept to a minimum. This toolkit contains two suggested forms.



See Self appraisal form – Form 12

Used by the appraisee to collect their thoughts in advance of the appraisal discussion (the headings on the form can be used as an agenda for the discussion).



See Appraisal record form – Form 13

Used to record any agreed actions as a result of the discussion.

It will also be necessary to refer to other documentation such as the appraisee's job description and relevant National Occupational Standards (NOS).

The appraisal is an ideal time to discuss an individual's training needs. Therefore, records of any previously agreed training needs and action plans should also be to hand.

10.3 Preparing for the appraisal discussion

Hand the appraisee the self appraisal form – check that the appraisee is clear about their role in the appraisal interview.

Agree an appropriate date (normally about one week later) and a location where you will be comfortable and away from interruptions. Allow about two hours for the meeting – it may well take less time, but far better to finish early than to feel hurried.

Before the appraisal interview, ensure the appraisee has filled in the self appraisal form – the discussion will be structured around the headings on the self appraisal form.

Some organisations expect the appraisee to hand their self appraisal form to the appraiser in advance of the meeting. However, it is not actually essential for the appraisee to show you what they have written on their self appraisal form – it is primarily to help them prepare for the discussion.

If you do not receive the self appraisal form in advance, prepare for the discussion by looking through the headings and deciding

- (a) what you expect to see, and
- (b) any issues you wish to raise in each section.

10.4 The appraisal discussion

Start by putting the appraisee at ease.

Use the self appraisal form as an agenda, and work through its headings.

For each of the sections discussed, allow the appraisee first to put forward their own views, i.e. expanding on their comments written on the self appraisal form. Once the individual has had the opportunity to put their view, add your own comments and discuss the issues generally.

Make sure you both consider the whole period under review, not just the recent past.

It is a good idea to start by checking that you and the appraisee share the same view of what the job entails. Refer to the job description and note any changes since the job description was last reviewed.

Look back at the objectives set at the last appraisal. Objectives that have been achieved should be acknowledged. Where objectives are only partially or not met they should be reviewed to decide if they are still valid, and if so, what needs to happen to support the appraisee in achieving them.

The appraisee's own objectives for the year ahead and any changes they wish to see should be discussed, taking full account of organisational or departmental objectives. As far as possible, the aim is to satisfy the individual's aspirations as well as meeting the organisation's objectives.

10.4.1 Positive feedback

Give full praise and recognition for things done well - be specific and give examples. It is particularly helpful to express appreciation of tasks which did not come easily to the individual, perhaps requiring real effort or persistence.

10.4.2 Tackling performance weaknesses

If an appraisee identifies their own areas for improvement:

- commend the individual for their frankness in suggesting areas for improvement
- discuss them constructively – if possible get the appraisee to make their own suggestions for how they can overcome problems.

Some people will be their own harshest critics. If the appraisee feels they have not performed to the required standard, but you feel that their work is perfectly satisfactory, then reassure them that this is the case.

The more difficult situation is where you perceive weaknesses that the appraisee has not recognised. In these situations:

- Be specific – be prepared to give actual examples to back up your comments. Avoid vague and unsupported assertions.
- Keep positive – focus on what can be done to improve the situation. The aim is to improve performance, not to de-motivate the individual.
- Do not tackle more than two areas of weakness in any depth. This is as much as most people can take before becoming defensive.
- Confine your comments to behaviour that can be changed. Your aim is to help people be more effective at work, not to change their personalities!

(Ref: *Appraisal*, Fletcher C.)

10.4.3 Agreeing objectives

Action to be taken must be realistic and practical. As far as possible the appraisee should take responsibility for action rather than projecting it onto someone else.

Objectives set by the appraisee will need to be discussed and possibly modified to ensure that they relate to the objectives of the organisation.

Effective objectives must be SMART:

Specific	i.e. detailed
Measurable	i.e. will it be clear when the objective has been achieved?
Agreed	i.e. mutually agreed rather than imposed
Realistic	i.e. achievable
Time bound	i.e. set a date for completion or review.

10.4.4 Training needs analysis (TNA)

The discussion of job role, strengths, areas for improvement and objectives to be met can then be used to focus on where further training and development is needed. The TNA should relate to the current and emerging demands of the job and needs of the organisation (see Section 7.2).

10.4.5 Concluding the appraisal discussion

Conclude the discussion by checking if the appraisee has anything further they want to add.

Summarise the main points. In particular, each person should summarise any action they have agreed to take. Try to end on a positive note!

Appraisal should not be viewed as a one-off event, but be part of ongoing supervision and support. Set dates for interim supervision meetings to discuss progress and difficulties.

Complete the appraisal record form – this may be completed in the interview itself, or very shortly afterwards. Both appraiser and appraisee sign and date the form and keep a copy.

11 Supervision

QuADS Standard 7.1

“The service has a policy that is designed to monitor, motivate and support staff.”

QuADS Standard 30.6

“The agency ensures that all staff who provide counselling/therapy receive regular supervision.”

Supervision is the process of managing, negotiating and monitoring the performance of staff while providing guidance and support, such as identifying and addressing training needs.

The support provided through supervision should help staff to meet the needs of service users, without the demands of the work adversely affecting their own health and well-being.

“Staff should not have to take home the unresolved anxieties and problems from work and try to deal with them in isolation.” (Ref: *The Good Management Guide for the Voluntary Sector*, Harris J.)

All staff will benefit from regular ‘managerial’ supervision and some staff in specialist roles additionally require ‘specialist’ supervision which allows them to develop their professional role through reflection on their work.

The provision of regular supervision is most effective when integrated with the annual appraisal system.

Supervision sessions provide the ongoing support and guidance between annual appraisals. Regular supervision sessions mean that appraisals are seen as part of a continuous process, not an isolated annual event (and should certainly help to reduce anxieties that appraisals will produce any nasty surprises!).

Any objectives or training and development activities agreed during the annual appraisal should be monitored and reviewed during supervision.

The approach to supervision should be similar to that of appraisals – both should be:

- supportive and developmental
- separate from any assessment of pay or promotion.

11.1 Functions of managerial supervision

The principle functions of managerial supervision can be identified as follows:

11.1.1 Managing workload

- ensuring policies and practices of the organisation are being carried out
- prioritising and allocating work
- reviewing objectives and standards to be achieved
- clarifying responsibilities and task boundaries.

11.1.2 Training and development

- planning training and development activities (e.g. updating the individual’s training plan)
- evaluating training and development that has taken place (e.g. completing the impact assessment form).

11.1.3 Being supportive

- enabling people to cope with stress
- developing sensitivity to crises in individuals and teams
- being prepared to step in when people are under stress
- actively listening
- if necessary, representing staff needs to higher management.

(Adapted from *Supervision in the Helping Professions*, Hawkins and Shohet)

11.2 Conducting supervision meetings

Ensure managerial supervision is provided for all staff on an equal basis (do not be tempted to avoid dealing with people who appear to present the most difficulties – this will only aggravate any problems).

Reflect on your own preferences – some people are more comfortable talking about task-based issues, while others may prefer dealing with emotional aspects of the work. Try to cover all aspects (work allocation, training and development, and support), even if your instinctive reaction is to focus on one area more than another.

11.2.1 Preparing for the supervision meeting

Although a regular supervision meeting may appear less formal than the annual appraisal, it is still important to plan ahead:

- agree a date and time in advance (usually about a week)
- allow sufficient time (set aside about one hour)
- choose a location that is comfortable, private and will be free from interruptions
- ensure any relevant documents are available (e.g. most recent appraisal record, individual training plan, training and development impact assessments).

11.2.2 The supervision meeting

Take time to ‘warm up’ – establish rapport and put the individual at ease.

At the end of the supervision meeting, summarise the main points discussed, noting any actions to be taken. Try to end on a positive note and always set a date for the next supervision meeting.

In conducting a supervision meeting, you will certainly be providing feedback, and possibly tackling performance weaknesses. Good practice in these areas is described in section 10, Appraisals.



See Supervision record form – Form 14

11.3 Specialist/clinical supervision

In addition to the managerial supervision provided for all staff, some staff will require specialist supervision. For example, this would apply to staff with a counselling role. In the counselling context, “supervision is concerned with:

(a) the relationship between the counsellor and service user, to enhance its therapeutic effectiveness

(b) monitoring and supporting the counsellor in the counselling role

(c) the relationship between the counsellor and the supervisor, in order to enable the counsellor to develop his/her professional identity through reflection on the work, in the context of this relationship, which will be both critical and supportive

(d) clarifying the relationships between counsellor, client, supervisors and (if any) the organisation(s) involved

(e) ensuring that ethical standards are maintained throughout the counselling work”. (Ref: *Training volunteer alcohol counsellors: the minimum standards*, Alcohol Concern)

Clearly, the need for specialist supervision will depend upon the work roles of individual members of staff. Counselling provides a good example of the importance of ‘non-managerial’ supervision. Indeed, Alcohol Concern’s Volunteer Alcohol Counsellors Training Scheme (VACTS) recommends that counsellors must attend a minimum of one hour of supervision for every eight hours counselling.

12 Personnel records

QuADS Standard 5.4

“The service has a system which effectively monitors the composition and key characteristics of the human resources establishment.”

QuADS Standard 5.6

“Personnel records are maintained in a confidential manner.”

In any organisation, large or small, it is important to maintain up-to-date information on employees, i.e. personnel records. This can be as simple as a card index system, although increasingly computerised records are used.

Personnel records provide information to support effective decision making and forward planning. For example, up-to-date personnel records will show the size and composition of the workforce, enabling you to monitor:

- equal opportunities, e.g. are recruitment and promotion procedures fair and consistent?
- the skills mix – does the workforce have the mix of skills required to deliver services?
- changes in the workforce, e.g. are any key people approaching retirement?

12.1 What information should be kept on personnel records?

Personnel records should contain the following information:

- personal details, e.g. name, address, date of birth, emergency contact details, tax code, national insurance number

- employment details, e.g. date employment began, date present job started, job title
- terms and conditions, e.g. salary, hours of work, holiday entitlement
- absence details, e.g. sickness, holidays, maternity leave, lateness
- details of any accidents, disciplinary actions.

To avoid duplication, any other relevant documents could make up part of an individual's personnel records, such as;

- application form (showing qualifications and previous employment)
- job description
- induction checklist
- individual training plan
- appraisal and supervision record forms.

The use of an application form in the recruitment and selection process (see section 4, Recruitment and selection) will provide a standardised record of personal details for all new staff, including previous experience and qualifications.

On termination of employment, any relevant documents (such as resignation/dismissal letter and exit interview questionnaire) should be added to the individual's personnel records.

12.2 Statutory records

Some personnel records are required to fulfil legal requirements, such as those covering employees' tax, national insurance and statutory sick pay.

For most employees, it is advisable to keep records of individual hours worked (and holidays) to enable averaging over a period of

time to meet the requirements of the Working Time Regulations 1998.

Records of pay rates are also required to meet the requirements of the Minimum Wage Act 1998.

Further guidance

The Advisory, Conciliation and Arbitration Service (ACAS) National Helpline provides answers to all employment questions in a confidential phone service:

Tel: 08457 47 47 47

Advisory booklets, leaflets and codes of practice are available from ACAS publications at www.acas.org.uk

12.3 Data Protection Act 1998

The Data Protection Act 1998 came into force on 1 March 2000. Under the Act, staff are entitled to access virtually all personnel records relating to them, whether held as computerised or manual records. Newly appointed staff should be told what information will be held about them, how it will be used, and to whom it can be disclosed.

The information held on any individual must never be passed to those with no legitimate interest, and the information held on any individual must be objective and accurate.

Employees may seek compensation in the courts for damage because of inaccuracy or unauthorised disclosure. The Data Protection Act also stipulates that personal data must not be kept for longer than is necessary for a particular purpose. This will vary according to the nature of the information, but procedures for updating personnel records must include removing records that are no longer required. It is good practice for staff to update their own personal details each year.

There are eight data protection principles that are central to the Act. In brief, they say that personal data must be:

1. processed fairly and lawfully
2. processed for limited purposes and not in any manner incompatible with those purposes
3. adequate, relevant and not excessive
4. accurate
5. not kept for longer than is necessary
6. processed in line with data subjects' rights
7. secure
8. not transferred to countries that don't protect personal data adequately.

Implementation of the Data Protection Act in your organisation will be the responsibility of the 'Data Controller'. In most cases, the organisation itself is legally the data controller. Often, organisations allocate data protection responsibility to an individual or department but this does not transfer legal liability onto individual employees.

Most organisations will need to notify the Information Commissioner of their processing of personal data. A record of the organisation as a 'data controller' is then included on a public register which can be inspected at any time by visiting the data protection register website.

There are some exemptions from the requirement to notify the Information Commissioner. These exemptions are likely to apply to very small organisations that have relatively simple data processing operations. However, all data controllers are required to comply with the data protection principles even where they are exempt from the requirement to notify (Ref: *The employment practices data protection code*, The Information Commission).

Further information is available from the Information Commissioner, which enforces and oversees the Data Protection Act 1998 and the Freedom of Information Act 2000: www.dataprotection.gov.uk

For information on the register of data controllers, or to register online as a data controller go to: www.dpr.gov.uk

13 Grievance and disciplinary procedures

QuADS Standard 15.1

“The service policies and procedures in place include... grievance and disciplinary procedures.”

Grievance and disciplinary procedures must be made known to all staff and should be written down to minimise any misunderstandings. The aim is to resolve problems quickly, before they become too serious, and to ensure that grievance and disciplinary matters are handled fairly and consistently within your organisation.

13.1 Grievance procedure

An employee may sometimes feel that there is a need to complain about an employer's actions affecting them. A grievance procedure provides a fair way for employees to make their complaints known, to have these complaints considered and for the organisation to decide whether to accept or reject the complaint.

It is often appropriate for complaints and grievances to be handled informally. Talking things through with an individual can often lead to a satisfactory resolution of the problem.

However, when informal resolution of a grievance is not possible or appropriate, then following a written grievance procedure provides the best way forward.

The Employment Act 2002 includes measures for the resolution of workplace disputes and provides a 'standard' grievance procedure (see Diagram 7).

All employees must be informed of the grievance procedure, e.g. a written copy of the procedure must be readily accessible. It must also be made clear to employees which manager in the organisation deals with any staff grievance. This person must be specified (by name or job title) in the written terms and conditions of service issued to employees.

At any grievance hearing, the individual has the right to be accompanied by a person of their choice – either a colleague or a trade union official.

In conducting a grievance hearing, the following are key points of good practice.

- Hold the hearing in private.
- If the grievance concerns the individual's line manager, arrange for a third party to hear the complaint.
- Ensure the individual is aware of their right to be accompanied by a person of their choice.
- The manager conducting the hearing may find it useful to have someone to take notes and to act as a witness to the proceedings.
- Encourage an open discussion of the issue. Invite the individual to re-state their grievance and to put forward their own ideas on how it could be resolved. The grievance may have been developing over a period of time – allow the individual reasonable opportunity to 'let off steam'.

- Ensure any relevant facts have been obtained. Consider adjourning the meeting if further advice or information needs to be obtained.
- Find out how similar grievances have been dealt with in the past – this may help to ensure consistency in the treatment of similar issues.
- Don't make a snap decision – take time to reflect on the issue.
- Confirm when the individual can expect to hear a response.
- Keep records detailing the nature of the grievance and any action taken. These must be stored securely and confidentially. The individual concerned should be provided with copies of any meeting records.
- Arrive at a speedy resolution of any grievance – most organisations should aim to handle grievances within seven to ten days.

“Remember, a grievance hearing is not the same as a disciplinary hearing and is an occasion when discussion and dialogue may fruitfully produce the answer.” (ACAS)

Although most grievances will be dealt with through the standard grievance procedure, some issues may not be resolved within the organisation. In such cases, employees do have the right to take their grievance to an Industrial Tribunal. However, to encourage resolution of disputes within the workplace, employees must first have raised the grievance in writing with their employer, and there is then a 28-day period before the grievance can be taken to an Industrial Tribunal.

Diagram 7: The Standard Grievance Procedure (Employment Act 2002)

STEP ONE: *Statement*

The employee must set out the grievance in writing and send a copy to the employer.

STEP TWO: *Meeting*

The employer must invite the employee to attend a meeting to discuss the grievance.

The meeting must not take place unless the employee has told the employer the basis for the 'grounds for grievance' contained in the statement and the employer has had the opportunity to consider his/her response

The employee must take all reasonable steps to attend the meeting

After the meeting, the employer must inform the employee of his/her decision and notify him/her of the right of appeal

STEP THREE: *Appeal*

If the employee wishes to appeal, he/she must inform the employer – the employer must then invite him/her to attend a further meeting.

The employee must take all reasonable steps to attend the appeal meeting. After the appeal meeting, the employer must inform the employee of his/her final decision.

(Ref: *Discipline and Grievances at Work*, ACAS)

13.2 Disciplinary procedure

The disciplinary procedure is the means by which the rules at work are observed, standards of conduct maintained and employees' misconduct dealt with.

Each organisation will have its own rules according to its particular needs. Rules should be written down and should make clear what is considered acceptable or unacceptable conduct. The rules, and what action will be taken if the rules are broken, should be made known to all employees.

The organisation's rules should cover two types of unacceptable conduct:

Misconduct – requires disciplinary action other than dismissal (although if further misconduct occurs this could lead to dismissal) – e.g. persistent lateness, unauthorised absence, failure to meet known work standards.

Gross misconduct – conduct which may lead to dismissal without notice – e.g. working dangerously, stealing or physical violence (although much will depend on specific circumstances).

It is difficult to list all instances of misconduct and gross misconduct, but employers should give their employees enough examples to make sure they understand what is meant by each of them.

The organisation is likely to specify rules covering a number of issues such as:

- absence
- health and safety
- standards of work performance
- use of alcohol or drugs in the workplace
- use of organisation's facilities
- time keeping.

13.2.1 Disciplinary action

The aim of disciplinary action is to try and improve future conduct. To avoid the need for disciplinary action, employees must first be made aware of the standards of performance and conduct expected of them. This can be reinforced, for example, through the use of clear job descriptions, planned inductions, regular supervision and appraisal.

Some difficulties may be resolved informally by talking the problem through. If the cause of the problem can be found and the employee helped to resolve it, then this is preferable for all concerned. However, if an informal approach does not solve the problem then a more formal approach may be necessary.

Disciplinary action should not be taken until the case has been fully investigated. If it is necessary to suspend an employee during the investigation, then this should be with pay and for as short a period as possible. The employer's approach must be consistent to all employees in similar cases to ensure employees are treated fairly. The disciplinary procedure should aim to establish the facts of the situation, and give both employer and employee a fair chance to prepare and present their case.

The Employment Act 2002 includes measures for the resolution of workplace disputes and provides a 'standard' dismissal and disciplinary procedure (see Diagram 8).

All employees must be informed of the disciplinary procedure – e.g. a written copy of the procedure must be readily accessible. It must also be made clear to whom employees can apply if they wish to appeal against any disciplinary decision. This person must be specified (by name or job title) in the written terms and conditions of service issued to employees.

At the disciplinary meeting, the employee has the legal right to be accompanied by a person of their choice, either a colleague or trade union official.

13.2.2 Potential disciplinary action

The most appropriate decision of the disciplinary meeting will depend upon the nature of the offence. No employee should be dismissed for a first breach of discipline, except for gross misconduct. Typically disciplinary action to be taken may be:

- Formal oral warning – in the case of a minor offence.
- First written warning – for subsequent minor offences or a more serious offence. A first written warning will state the reason for the warning and note that if there is no improvement after a stated period of time, a final written warning will be given.
- Final written warning – for further misconduct or continued poor performance, or if the misconduct is sufficiently serious to warrant only one written warning. The final written warning should make clear that any reoccurrence of the offence or other serious misconduct within a stated period of time will result in dismissal.
- Dismissal – with appropriate notice or with pay in lieu of notice.
- Summary dismissal without notice or pay in lieu of notice on grounds of gross misconduct.

You must ensure that all warnings are recorded in writing (oral warnings may be in the form of a note which can be disregarded after a specified period e.g. six months) and the employee must be provided with a copy of any written warning.

Employee conduct or performance should be reviewed at a specified later date with a view to 'wiping the slate clean' if employees behaviour is satisfactory (e.g. after 12 months).

13.2.3 Disciplinary meeting

In conducting a disciplinary meeting, the following are key points of good practice.

- Gather all relevant facts promptly, before memories fade (this can include taking statements and collecting documents).
- Find out if any similar problems have been dealt with in the past – this may help to ensure consistency in the treatment of individuals.
- Hold the meeting in private.
- Ensure the individual is aware of their right to be accompanied by a person of their choice.
- Arrange for a second manager to be present to take notes and to act as a witness to the proceedings (although not someone who might need to hear any appeal).
- Invite the individual to state their case – consider and question any explanations put forward.
- If new facts emerge, decide whether further investigation is needed and if so, adjourn the meeting until further investigation has been completed.
- Except in very simple cases, adjourn the meeting before making a decision to allow time to reflect on the facts presented.
- Reconvene the meeting to inform the individual of the decision.
- Explain the right of appeal and how it operates.
- Keep records detailing the nature of the disciplinary action. These must be stored securely and confidentially.
- Confirm the disciplinary action to the individual in writing, and ask the individual to acknowledge receipt of notification of any disciplinary penalty.
- Continue to monitor the individual's performance or conduct with the aim of encouraging improvement or resolution of the problem.

(Ref: *Discipline and Grievances at Work*, ACAS)

Diagram 8: The Standard Dismissal and Disciplinary Procedure (Employment Act 2002)

STEP ONE: *statement of grounds for action and invitation to meeting*

The employer must:

- set out in writing why he/she is thinking of dismissing, or taking disciplinary action against, the employee
- send a copy of the statement to the employee
- invite the employee to attend a meeting to discuss the matter.

STEP TWO: *Meeting*

The meeting:

- must take place before any action is taken – except where the disciplinary action consists of suspension
- must not take place unless the employer has told the employee the basis for the 'grounds for action' contained in the statement and the employee has had the opportunity to consider his/her response.

The employee must take all reasonable steps to attend the meeting.

After the meeting, the employer must inform the employee of his/her decision and notify him/her of the right of appeal.

STEP THREE: *Appeal*

If the employee wishes to appeal, he/she must inform the employer – the employer must then invite him/her to attend a further meeting.

The employee must take all reasonable steps to attend the appeal meeting.

The appeal need not take place before the dismissal or disciplinary action takes effect.

After the appeal meeting, the employer must inform the employee of his/her final decision.

(Ref: *Discipline and Grievances at Work*, ACAS)

13.3 Fair and unfair dismissal

Dismissal is normally the final step to be taken after all other options have been considered. An employee is dismissed when the employer terminates an employee's contract.

Resignation by an employee is normally considered to be termination by the employee (and therefore no dismissal has taken place). However, in certain circumstances an employee may resign because the employer has broken a significant term of the contract. This is known as constructive dismissal.

There is no law which prevents an employer from dismissing an employee. But employees have the right to apply to an Employment Tribunal if they believe they have been unfairly dismissed. A decision by a tribunal in an employee's favour could result in an award against the employer of substantial compensation.

A dismissal will normally be fair provided the employer had sufficient reason for the dismissal and followed a fair disciplinary procedure.

If you are contemplating dismissing an employee you should consider whether:

- there is sufficient reason for the dismissal
- reasonable alternatives to dismissal were considered
- the dismissal is consistent with previous action by your organisation
- the dismissal is fair, taking account of all relevant factors.

All employees with one year's continuous service or more may request from their employer a written statement of the reasons for their dismissal, which the employer must provide within 14 days.

If an Employment Tribunal rules that a dismissal was unfair it will normally order that either:

- the employee is reinstated in the same job
- the employee is re-engaged in a different job

- the employer pays a sum of money to the employee in compensation.

A dismissal is likely to be unfair if you failed to follow a disciplinary procedure. The provisions of the Employment Act 2002 for statutory grievance and disciplinary procedures are due to be implemented in early 2004. At this time, the standard grievance and disciplinary procedures (Diagrams 7 and 8) will become an implied term of every contract of employment. Employers will still be able to have their own grievance and disciplinary procedures that have additional requirements as long as they are consistent with the minimum statutory standard procedure.

13.4 Dealing with poor performance

Employees have a contractual responsibility to achieve a satisfactory level of performance. Employers are responsible for setting the standard of work required, and the standard of performance should be capable of objective measurement.

If an individual is not performing to the required standard, this should be pointed out to the individual concerned and they must be given every opportunity to improve. There may well be reasons for their poor performance such as a lack of appropriate induction, training or supervision. These issues must be thoroughly explored.

The risk of sub-standard performance will be reduced by:

- Job descriptions which provide an accurate description of the key tasks and levels of responsibility involved. Reference to appropriate National Occupational Standards will provide an objective measure of the required standards of performance (see section 3).
- A thorough recruitment and selection procedure (see section 4).
- Induction procedures to introduce staff to new roles (see section 6).

- Appropriate training and development to ensure that staff develop the skills and knowledge to fulfil their job descriptions (see section 7).
- Regular appraisal and supervision to monitor the performance of staff while providing guidance and support, such as identifying training needs (see sections 10 and 11).

If, despite support and encouragement, the individual continues to perform below the required standard, then the consequences must be explained. This would involve following your organisation's disciplinary procedure. If the warnings and the opportunities to improve provided by the disciplinary procedure do not result in the individual working to the required standard, then consider finding the individual more suitable alternative work.

If suitable alternative work is not available then this situation should be explained to the individual before dismissal action is taken in accordance with the disciplinary procedure.

Further information

In conducting disciplinary action, particularly where it is likely to lead to dismissal, it is vital to treat individuals fairly and consistently and to follow your organisation's disciplinary procedure. Fortunately, many managers rarely have to deal with disciplinary action leading to a dismissal, therefore when it does happen you may need reassurance that you are taking appropriate action that complies with current employment legislation. If in any doubt, do seek further advice. Two useful and impartial sources of guidance are:

The Advisory, Conciliation and Arbitration Service (ACAS) is "an independent organisation whose mission is to improve the performance and effectiveness of organisations by providing an independent and impartial service to prevent and resolve disputes and to build harmonious relationships at work."

National Helpline: 08457 47 47 47
www.acas.org.uk

The Department of Trade and Industry (DTI) Employment Relations Directorate "is working to develop a framework for employers and employees which promotes a skilled and flexible labour market founded on principles of partnership. It deals with relationships between workers and their employers, including individual rights as well as collective arrangements."

Tel: 020 7215 5000
www.dti.gov.uk/er

14 Exit interviews and questionnaires

Exit interviews and questionnaires are used to gather information from individuals who are about to leave the organisation. They aim to find out why the individual wants to leave and to collect feedback which might be useful, particularly in reducing future staff turnover.

The exit interview may be conducted either by the individual's line manager or by a personnel manager (if possible, give the individual the choice). The interview should be carried out as soon as possible after the individual announces their intention to leave.

The main purposes are to:

- understand why an individual is leaving and therefore identify any issues that need addressing
- obtain constructive feedback on the organisation's employment policies and processes
- gather information on how to improve service delivery.

Information collected can be used in planning improvements, for example in job design, supervision and work processes, or training and development opportunities. This can help to avoid repeating mistakes, and may in particular suggest ways to improve the induction of replacement members of staff.

Many individuals will welcome the opportunity to take part in an exit interview, perhaps appreciating the opportunity to reflect on and learn from their experiences. However, if an individual is leaving due to an unresolved grievance or with bad feeling, then you must be prepared to react appropriately. In this situation, you may need to further investigate any assertions made. Caution must be taken not to take everything at face value, particularly if the individual sees this as an opportunity to complain about colleagues or managers.

The individual should be reassured that the result of the interview will not affect any future references and will be treated in confidence. If, however, the individual provides information which requires further action by management, then they should be asked whether they are prepared to be identified as the source of the information.

The individual should be advised that the exit interview is voluntary. If an individual does not wish to take part in an exit interview, this should be respected. In these circumstances, the individual may prefer to complete and submit an exit questionnaire.

It is, in any case, good practice to use a questionnaire when conducting exit interviews. This provides a structure for the interview and assists with analysing the results of exit interviews to help identify any common trends in responses.



See Exit interview Form – Form 15

Finally, the exit interview can be an opportunity to ensure the individual leaves the organisation on a positive note. It is an opportunity to wish the person well in their new role.

Glossary of terms

Term	Explanation
ACAS	Advisory, Conciliation and Arbitration Service
ACTAN	Association for Care Training and Assessment Networks
Awarding body	Organisations approved to award qualifications (including NVQs)
Competence	The ability to perform a task or tasks to the standards required in employment
CRB	Criminal Records Bureau
DANOS	Drugs and Alcohol National Occupational Standards
DfES	Department for Education and Skills
DTI	Department of Trade and Industry
ESF	European Social Fund
FE	Further Education
GOQ	Genuine Occupational Qualification
GSCC	General Social Care Council
Learndirect	A government initiative using information technology to widen access to learning, including on-line learning resources
LSC	Learning and Skills Council
NCSC	National Care Standards Commission
NOS	National Occupational Standards
NTO	National Training Organisation
NVQ	National Vocational Qualification
QCA	Qualifications and Curriculum Authority
SCODA	Standing Conference on Drug Abuse
SSC	Sector Skills Council (the bodies replacing National Training Organisations)
SVQ	Scottish Vocational Qualification
TNA	Training needs analysis
Topss	The National Training Organisation for Social Care
Units D32 and D33	NVQ assessor awards
Unit A1 and A2	NVQ assessor awards (replacing Units D32 & D33)
Unit D34	NVQ internal verifier award
Unit V1	NVQ internal verifier award (replacing Unit D34)
Unit D35	NVQ external verifier award
Unit V2	NVQ external verifier award (replacing Unit D35)

Sources of further information and support

Note: The following list of organisations is not exhaustive. For a full list of all:

- awarding bodies – contact the Qualifications and Curriculum Authority (QCA)
- National Training Organisations – contact the NTO National Council
- Sector Skills Councils – contact the Sector Skills Development Agency.

Advisory, Conciliation and Arbitration Service (ACAS)

Head Office, Brandon House, 180 Borough High Street, London SE1 1LW

Tel: National Helpline 08457 47 47 47

www.acas.org.uk

Alcohol Concern

Waterbridge House, 32-36 Loman Street, London SE1 0EE

Tel: 020 7928 7377

Email: contact@alcoholconcern.org.uk

www.alcoholconcern.org.uk

Association for Care Training and Assessment Networks (ACTAN)

PO Box 310, Dover CT15 7RA

Tel/fax: 01304 211740

www.actan.net

BTEC Edexcel

Edexcel Foundation, Stewart House, 32 Russell Square, London WC1B 5DN

Tel: 0870 240 9800

Email: enquiries@edexcel.org.uk

www.edexcel.org.uk

Chartered Institute of Personnel and Development (CIPD)

CIPD House, Camp Road, Wimbledon, London SW19 4UX

Email: lis@cipd.co.uk

Tel: 020 8971 9000

www.cipd.co.uk

City and Guilds

1 Giltspur Street, London EC1A 9DD

Tel: 020 7294 2468

Email: enquiry@city-and-guilds.co.uk

www.city-and-guilds.co.uk

Commission for Racial Equality

St Dunstan's House, 201-211 Borough High Street, London SE1 1GZ

Tel: 020 7939 0000

Email: info@cre.gov.uk

www.cre.gov.uk

Community Justice National Training Organisation (CJNTO)

344-354 Grays Inn Road, London WC1X 8BP

Tel: 020 7278 1366

Email: info@cjnto.demon.co.uk

www.cjnto.org.uk

Criminal Records Bureau

PO Box 110, Liverpool L3 6ZZ

Tel: 0870 90 90 811 (Information)

0870 90 90 822 (Registration line)

www.disclosure.gov.uk

Department of Trade and Industry (DTI)

DTI Enquiry Unit, 1 Victoria Street, London SW1H 0ET

Tel: 020 7215 5000

Email: Enquiries@dti.gsi.gov.uk

www.dti.gov.uk

Disability Rights Commission

DRC Helpline, Freepost MID 02164, Stratford-upon-Avon CV37 9HY

Tel: 08457 622633

Email: enquiry@drc-gb.org

www.drc-gb.org

DrugScope

Waterbridge House, 32-36 Loman Street, London SE1 0EE

Tel: 020 7928 1211

Email: info@drugscope.org.uk

www.drugscope.org.uk

European Association for the Treatment of Addiction (EATA)

Waterbridge House, 32-36 Loman Street, London SE1 0EE

Tel: 020 7922 8753

Email: secretariat@eata.org.uk

www.eata.org.uk

Equal Opportunities Commission

Arndale House, Arndale Centre, Manchester M4 3EQ

Tel: 08456 015901

Email: info@eoc.org.uk

www.eoc.org.uk

Information Commissioner

Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF

Tel: 01625 545 745

Email: data@dataprotection.gov.uk

www.dataprotection.gov.uk

Learndirect

Tel: 0800 100 900

www.learndirect-advice.co.uk

Learning and Skills Council (national office)

Cheylesmore House, Quinton Road, Coventry CV1 2WT

Or

101 Lockhurst Lane, Coventry CV6 5SF

General Enquiries Helpline: 0870 900 6800

Email: info@lsc.gov.uk

www.lsc.gov.uk

London Chamber of Commerce & Industry Examinations Board (LCCI)

Athena House, 112 Station Road, Sidcup, Kent DA15 7BJ

Tel: 020 8309 3000

Email: custserv@lccieb.org.uk

www.lccieb.com

Management Standards Centre

3rd Floor, 2 Savoy Court, Strand, London WC2R 0EZ

Tel: 020 7240 2826

Email: management.standards@managers.org.uk

www.management-standards.org/

National Care Standards Commission (NCSC)

St Nicholas Building, St Nicholas Street, Newcastle upon Tyne NE1 1NB

Tel: 0191 233 3600

Email: enquiries@ncsc.gsi.gov.uk

www.carestandards.org.uk

National Council for Voluntary Organisations (NCVO)

Regent's Wharf, 8 All Saints Street, London N1 9RL

Tel: 020 7713 6161

Email: ncvo@ncvo-vol.org.uk

www.ncvo-vol.org.uk

National Treatment Agency

5th Floor, Hannibal House, Elephant and Castle, London SE1 6TE

Tel: 020 7972 2214

Email: nta.enquiries@nta.gsi.gov.uk

www.nta.nhs.uk

NTO National Council

10 Meadowcourt, Amos Road, Sheffield S9 1BX

Tel: 0114 261 9926

Email: info@nto-nc.org

www.nto-nc.org

Open University Validation Services

344-354 Gray's Inn Road, London WC1X 8BP

Tel: 020 7278 4411

Email: general-enquiries@open.ac.uk

www.open.ac.uk

Oxford Cambridge and RSA Examinations (OCR)

1 Regent Street, Cambridge CB2 1GG

Tel: 01223 552 552

Email: helpdesk@ocr.org.uk

www.ocr.org.uk

Paulo

18 High Street, Grantham, Lincolnshire NG31 6PN

Tel: 01476 584660

Email: info@paulo.org.uk

www.paulo.org.uk

Qualifications and Curriculum Authority (QCA)

83 Piccadilly, London W1J 8QA

Tel: 020 7509 5555

www.qca.org.uk

Sector Skills Development Agency

Callflex Business Park, Golden Smithies Lane, Wath-upon-Deerne, South Yorkshire S63 7ER

Tel: 0870 000 2399

Email: info@ssda.org.uk

www.ssda.org.uk

Skills for Health

Goldsmiths House, Broad Plain, Bristol BS2 0JP

Tel: 0117 929 0055

Email: office@healthwork.co.uk

www.skillsforhealth.org.uk

Topss (England)

Albion Court, 5 Albion Place, Leeds LS1 6JP

Tel: 0113 245 1716

Email: info@topssengland.org.uk

www.topss.org.uk

Voluntary Sector National Training Organisation (VSNTO)

Regents Wharf, 8 All Saints Street, London N1 9RL

Tel: 020 7713 6161

Email: vsnto@ncvo-vol.co.uk

www.voluntarysectorskills.org.uk

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Standing Conference on Drug Abuse (SCODA) *A quality framework for drug training*. 1998: London.

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Forms and tools

The pro forma documents included here can be copied or adapted for use in your own organisation. Use of these pro forma documents is not a requirement to comply with QuADS organisational standards, particularly if you already have your own systems established. However, they do represent examples of good practice, which you are free to use – all documents and procedures should be regularly reviewed to ensure they remain fit for purpose.

1. Job analysis questionnaire
2. Job description form
3. Person specification form
4. Interview assessment form
5. Induction checklist
6. Training and development policy form
7. Training needs analysis questionnaire (sample)
8. Training needs analysis questionnaire form
9. Individual training and development plan form
10. Organisational training and development plan form
11. Training and development impact assessment form
12. Self appraisal form
13. Appraisal record form
14. Supervision record form
15. Exit interview form
16. Cross-reference of care NVQ units to DANOS

Job title:

1. To whom do you report?

.....

2. How many other jobs report to the same line manager?

.....

.....

3. Do you ever deputise for your line manager?

.....

4. Which jobs (if any) report to your position?

.....

.....

5. Do you instruct or train staff? If so, how?

.....

.....

.....

.....

.....

6. Do you have any targets to reach or standards to maintain?

e.g. organisational procedures and protocols etc.

.....

.....

.....

7. How are mistakes corrected? How far reaching could the effect be if a mistake were not corrected?

.....

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8. Are there any parts of your job which you only occasionally perform?

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9. Is your job likely to expand or become more complex?

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10. What types of problem do you handle on your own authority?

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11. On what types of problem do you refer to higher authority or consult with others?

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12. How frequently do you refer to your line manager? Is this always the same line manager?

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13. What rules, regulations and precedents is your job bound by?

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14. **What authority do you possess to make changes?**
i.e. organisational, expenditure, methods of work

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15. **Does any part or aspect of your position give you the opportunity to be innovative?**

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16. **Do you think your job presents any challenges? If so, which are the greatest?**

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17. **How much technical know-how, specialist knowledge or qualifications does your position require?**

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Job title:

Attributes	Essential	Desirable
1. Physical e.g. health, mobility, eyesight etc.		
2. Education and training e.g. qualifications, general education, vocational training etc.		
3. Experience		
4. Specialist skills and knowledge		
5. Personal qualities e.g. reliability, self-motivation, ability to work with others, ability to cope with stress, etc.		
6. Social circumstances e.g. ability to work unsociable hours etc.		

* Assessment Methods A = Application Form I = Interview T = Task

Candidate name:

NOTES	A	B	C	D
1. Physical				
2. Education and training				
3. Experience				
4. Specialist skills and knowledge				
5. Personal qualities				
6. Social circumstances				

Interviewer (signature): Date:

*Key A = Excellent B = Good C = Average D = Poor

Day one	Employee's signature/date	Manager's signature/date
Health and safety Fire procedures Emergency procedures/exits No smoking policy First aiders/boxes Accident procedures Any significant safety hazards Protective clothing and manual handling		
Domestics Security/ID cards Uniform Car parking Location of toilets Location of canteen/rest area etc		
Employment terms Timekeeping Pay system		
Introduction to key people Team members Supervisor/line manager		

Within two weeks	Employee's signature/date	Manager's signature/date
Rules and procedures Terms and conditions of employment Operational procedures Codes of conduct and practice Disciplinary and grievance procedures Booking leave and sickness notification		
Communication Organisation and function of the team/department Links between the job holders' team and other areas of the service Staff Association/Trade Union		

Within six weeks	Employee's signature/date	Manager's signature/date
Training and development Appraisal and supervision systems Analysis of training needs Career opportunities		
Other e.g. social activities		

This is the training and development policy of

(Insert name of organisation)

Note: Insert a statement describing the value placed upon training and development by your organisation

e.g. 'Appropriate training and development of staff is recognised as a valuable contribution to fulfilling the aims of the service and meeting the changing needs of service users.'

Note: Insert the name of the senior manager who is ultimately responsible for the training of staff

Overall and final responsibility for training and development is that of:

Note: Insert the name of the designated person with responsibility for the training and development plan

The service has a training and development plan which is reviewed annually in line with the aims of the service and the needs of service users by:

Note: Who approves the training budget? e.g. management committee, board of governors etc

The annual training budget is approved by:

Note: Normally the person responsible for training or individual budget holders

The annual training budget is managed by:

Note: Describe the priorities and scope of training and development activities. Specify any standards which must be met (e.g. are staff expected to achieve NVQs or other qualifications)

This service's training policy applies to all employees and aims to ensure:

Note: Normally the line manager or person responsible for the training budget

Applications for training and development activities should be submitted (on the appropriate documentation) to:

Note: Signed and dated by the senior manager

Signed:

Date:

This questionnaire is to help you reflect on your job role and to identify any areas where you may benefit from further training and development. The more honest and accurate you are with this, the more effective will be the resulting training and development plan.

You will be assessing yourself against units from the National Occupational Standards for Drugs and Alcohol which are applicable to your job (which will have been agreed by your line manager). To complete this questionnaire, you will need to refer to the relevant units to confirm the standards of performance and knowledge required.

Job Title:

'Substance misuse practitioner'

Help individuals access substance misuse services

Unit	National Occupational Standard	1	2	3	N/A	Comment
AA2	Establish, sustain and disengage from relationships with individuals					
AA3	Enable individuals to find out about and use services and facilities					
AA4	Promote people's equality, diversity and rights					

Support individuals in difficult situations

Unit	National Occupational Standard	1	2	3	N/A	Comment
AB1	Support individuals when they are distressed					
AB2	Support individuals who are substance users					
AB3	Contribute to the prevention and management of abusive and aggressive behaviour					
AB4	Contribute to the protection of individuals from abuse					
AB5	Assess and act upon immediate risk of danger to individuals who have used substances					

Develop practice in the delivery of services

Unit	National Occupational Standard	1	2	3	N/A	Comment
AC1	Develop your own knowledge and practice					
AC2	Make use of supervision					
AC3	Contribute to the development of knowledge and practice of others					

- Key:**
- 1. = Fully confident I already do this competently
 - 2. = I require further training and development in some aspects of this area
 - 3. = I require training and development in most or all of this area
 - N/A = Not applicable to my job.

Plan and review integrated programmes of care for substance misusers

Unit	National Occupational Standard	1	2	3	N/A	Comment
AG1	Plan and agree service responses which meet individuals' identified needs and circumstances					
AG2	Contribute to the development, provision and review of care programmes					
AG3	Assist in the transfer of individuals between agencies and services					

Deliver services to help individuals address their substance use

Unit	National Occupational Standard	1	2	3	N/A	Comment
AI1	Counsel individuals about their substance use using recognised theoretical models					
AI2	Help individuals address their substance use through an action plan					
AI3	Counsel groups of individuals about their substance use using recognised theoretical models					

Support individuals' rehabilitation

Unit	National Occupational Standard	1	2	3	N/A	Comment
AK1	Assist individuals to explore future employment, training and education opportunities					
AK2	Assist individuals to plan for future employment and training					
AK3	Enable individuals to access housing and accommodation					
AK4	Enable individuals to administer their financial affairs					

Name:

Date:

- Key:**
- 1. = Fully confident I already do this competently
 - 2. = I require further training and development in some aspects of this area
 - 3. = I require training and development in most or all of this area
 - N/A = Not applicable to my job.

Individual training and development plan

Form 9

Name: Job title:

Training and development needs identified	Action to be taken	Standard to be attained	Who is responsible for implementation?	Target completion date	Evaluation method	Signature and date

Job title/role	Training aim and objectives	Standard to be attained/indicators of success (including numbers requiring training)	Who is responsible for implementation?	Priority	Methods to be used	Resources required	Target completion date	Evaluation method

Name: Job title:

Part 1 To be completed immediately after the training and development activity

Training need identified	<input type="text"/>
Method of training and development selected	<input type="text"/>
Aim and objectives of the training and development activity	<input type="text"/>

Were the objectives of the training and development activity met? Yes / No

If yes – to what extent	If no – why not?
<input type="text"/>	<input type="text"/>

What additional benefits were gained from the training and development activity?

Line manager: Signature: Date:

Employee: Signature: Date:

Part 2 To be completed three months after the training and development activity

Are the skills and/or knowledge from the training still being used? Yes / No

If yes – to what extent	If no – why not?
<input type="text"/>	<input type="text"/>

What long term benefits were gained from the training?

What follow-up training has been identified?

Line manager: Signature: Date:

Employee: Signature: Date:

Your name:

Manager's name:

Date of appraisal:

Introduction

Your appraisal is an opportunity to discuss all aspects of your role in an in-depth way. It should clarify how you contribute to the objectives of your department and the organisation as a whole. It also provides an opportunity for successes to be acknowledged and to identify any areas for further development.

The appraisal process

1. You agree a date and time for the appraisal discussion with your appraiser (preferably in about a week's time).
2. You complete this self appraisal form. The headings on the form are designed to help you reflect on various aspects of your job.

In completing this form and during the appraisal discussion you should refer to:

- your job description
 - National Occupational Standards related to your job
 - the appraisal record from your previous appraisal
 - your most recent training needs assessment and training and development plan.
3. Agree with your appraiser whether he/she should see a copy of your completed self appraisal form before the discussion.
 4. The appraisal discussion takes place, using the headings on this form as an agenda.
 5. As a result of the discussion, you agree any action points – for example, objectives related to your work or training and development to be undertaken.
 6. Objectives agreed should be recorded on a new appraisal record form and training and development activities to be undertaken recorded on your personal training and development plan.

The appraisal interview

- During the appraisal interview, you should be prepared to put forward your own ideas and perceptions.
- Remember to consider the whole period since any previous appraisal, not just the recent past.
- Try to be open and honest about any development needs you feel you have.

Completing this form in advance should help you to collect your thoughts before the interview takes place. The more thought and preparation you are able to put in before the interview the more productive it will be.

Section 3 Performance

3.1 Describe any aspects of the job you feel you performed particularly well since the last appraisal:

3.2 Describe any aspects of the job you feel you performed less well and where attention to improvement is needed for the future:

3.3 To help improve your performance in the job still further, what additional steps could be taken by (a) you (b) your manager/supervisor (c) others in the organisation?

Steps to be taken:

By whom:

Section 4 Future objectives

What are your principal objectives for the year ahead? List four or five if possible.

Section 5 Changes

Would you like to see any changes in your responsibilities in the near future?

Yes / No

If no, proceed to Section 6.

If yes, describe the changes you would like to see:

Section 6 Career development

Are you seeking to further develop your career?

Yes / No

If no, proceed to Section 7.

If yes, describe any training or other steps you feel could be taken to further your career development:

Section 7

Is there anything else you wish to raise in the appraisal?

Appraisee:

Appraiser:

Section 1 Objectives agreed for the coming year:	To be achieved by when?
--	-------------------------

Section 2 Any other actions to be taken	By whom?
---	----------

Signature of appraisee: Date:

Signature of appraiser: Date:

Name:

Issues discussed and any actions agreed:	To be achieved by when?

Date and time of next supervision meeting

Supervisor's signature: Date:

Signature: Date:

Name:

Job title:

Expected termination date:

Length of service: Years: Months:

The following questions are intended as a guide for the conduct of an exit interview. Any exit interview must be voluntary and if an individual prefers not to answer any of these questions, this must be respected.

1. How would you describe your main reasons for wanting to leave your current job?

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If possible, please prioritise your reasons for leaving.

2. What actions, if any, would you suggest management take to;

(a) Improve the experience of service users?

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.....
.....
.....

(b) Improve systems and procedures for your replacement?

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.....
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.....
.....
.....

3. What has been the best aspect of working for this organisation?

4. If you could change one thing about this organisation what would it be?

5. What ways, if any, has your experience of working for this organisation supported your personal or professional development?

6. Any additional comments:

Signature of employee:

Date:

Signature of interviewer:

Date:

Cross-reference of Care NVQ units to DANOS

Form 16

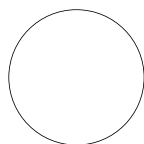
Key: Core = Mandatory Unit O = Optional unit

Code	Unit title	Care 2	Care 3	Care 4	DANOS
AGCP/B5	Structure learning opportunities with individuals		O		
B3	Obtain venous blood samples using invasive techniques		O		
B4	Obtain and test capillary blood samples		O		
C14	Care for and promote the development of babies		O		
CJ14	Assist individuals with negotiations and formal hearings			O	
CJ4	Represent agency at a formal hearing			O	BI4
CJ5	Contribute to the development of agency policy and practice			O	BA3
CL1	Promote effective communication and relationships	Core	Core		
CL2	Promote communication with individuals where there are communication differences	O	O		
CL5	Promote communication with those who do not use a recognised language format	O			
CU1	Promote, monitor and maintain health, safety and security in the workplace	Core	Core		
CU10	Contribute to the effectiveness of work teams	O			
CU2	Prepare and maintain environments for clinical procedures		O		
CU3	Monitor and maintain the cleanliness of environments	O			
CU4	Support and control visitors to services and facilities	O			
CU5	Receive, transmit, store and retrieve information	O	O		
CU6	Assist in supplying and maintaining materials and equipment	O	O		
CU7	Develop one's own knowledge and practice	O	Core	Core	AC1
CU8	Contribute to the development of the knowledge and practice of others			O	AC3
CU9	Contribute to the development and effectiveness of work teams		O		
D1301	Select, develop and co-ordinate volunteers			O	
MCI/B1	Support the efficient use of resources		O		
MCI/B3	Manage the use of financial resources		O		
MCI/C10	Develop teams and individuals to enhance performance		O		
MCI/C13	Manage the performance of teams and individuals		O		
MCI/C7	Contribute to the selection of personnel for activities		O		
MCI/C8	Select personnel for activities		O		
MCI/C9	Contribute to the development of teams and individuals		O		
MCI/D4	Provide information to support decision making		O		
NC1	Enable individuals, their family and friends to adjust to and manage their loss		O		
NC10	Contribute to developing and maintaining cultures and strategies in which people are respected and valued as individuals		O		
NC11	Contribute to the planning, implementation and evaluation of therapeutic programmes to enable individuals to manage their behaviour		O	O	
NC12	Help clients to eat and drink	O			
NC13	Prepare food and drink for clients	O			
NC2	Enable individuals, their family and friends to explore and manage change		O	O	
NC3	Support individuals and others through the process of dying		O		
NC4	Support inter-disciplinary teams in delivering individualised programmes of care to clients		O		
NC7	Contribute to raising awareness of health issues		O		
NC9	Represent individuals' and families' interests when they are not able to do so themselves		O		
O1	Foster people's equality, diversity and rights	Core			
O2	Promote people's equality, diversity and rights		Core	Core	AA4
O3	Develop, maintain and evaluate systems and structures to promote the rights, responsibilities and diversity of people			Core	Core
P4	Support parents in developing their parenting skills		O		

Code	Unit title	Care 2	Care 3	Care 4	DANOS
R2	Record and report the respiratory function of patients		O		
SC1	Contribute to the assessment of individuals' needs and the planning of packages of care		O		
SC14	Establish, sustain and disengage from relationships with clients			Core	AA2
SC15	Develop and sustain arrangements for joint working between workers and agencies			Core	BI2
SC16	Assess individuals' needs and circumstances			Core	
SC17	Evaluate risk of abuse, failure to protect and harm to self and others			Core	
SC18	Plan and agree service responses which meet individuals' identified needs and circumstances			Core	AG1
SC19	Co-ordinate, monitor and review service responses to meet individuals' identified needs and circumstances		O		
SC20	Contribute to the provision of effective physical, social and emotional environments for group care		O		
SC8	Contribute to the development, provision and review of care programmes		O		AG2
SNH4U4	Promote the interests of client groups in the community			O	
SNH4U6	Develop control for people who are at risk to themselves and others			O	
TC1	Record and evaluate an ECG at rest		O		
W2	Contribute to the ongoing support of clients and others significant to them	O			
W3	Support individuals experiencing a change in their care requirements and provision	O			
W5	Support clients with difficult or potentially difficult relationships			O	AB6
W6	Reinforce professional advice through supporting and encouraging the mother in active parenting in the 1st ten days of babies' lives		O		
W7	Support and encourage parents to care for babies during the first year of their lives		O		
W8	Enable individuals to maintain contacts in potentially isolating situations	O			
X1	Contribute to the support of clients during development programmes and activities	O			
X10	Assist with and carry out agreed physiotherapy mobility and movement programmes			O	
X12	Support clients during clinical activities			O	
X13	Undertake agreed clinical activities with clients whose health is stable in non-acute care settings			O	AH5
X14	Prepare equipment for, and support clients during, occupational therapy			O	
X15	Assist clients to develop self and environmental management skills			O	
X16	Prepare, implement and evaluate agreed therapeutic group activities			O	
X19	Prepare and undertake agreed clinical activities with clients in acute care settings			O	AH6
X5	Support clients during speech and language therapy			O	
X8	Prepare and restore the client and the environment prior to, and following, physiotherapy programmes			O	
Y1	Enable individuals to manage their domestic and personal resources		O		
Y2	Enable individuals to find out about and use services and facilities			O	AA3
Y3	Enable individuals to administer their financial affairs			O	AK4
Y4	Support individuals in undertaking health care			O	AH4
Y5	Assist individuals to move from a supportive to a more independent living environment			O	
Z1	Contribute to the protection of individuals from abuse	Core	Core		AB4
Z11	Enable clients to access and use toilet facilities	O			
Z12	Contribute to the management of client continence		O		
Z13	Enable clients to participate in recreation and leisure activities		O		
Z15	Contribute to the care of a deceased person	O	O		
Z16	Care for a baby during the first ten days of life when the mother is unable to do so	O	O		
Z19	Enable clients to achieve physical comfort	O			
Z5	Enable clients to maintain their mobility and make journeys and visits	O			
Z6	Enable clients to maintain and improve their mobility through exercise and the use of mobility appliances	O			
Z7	Contribute to the movement and handling of individuals to maximise their physical comfort	O	O		
Z8	Support individuals when they are distressed	O	O		AB1
Z9	Enable clients to maintain their personal hygiene and appearance	O			

**The National Treatment Agency
for Substance Misuse**

Staff development toolkit for drug and alcohol services.



CD is attached here.
If the disk is missing,
email nta.enquiries@nta.gsi.gov.uk
or phone 020 7972 2214
for a replacement disk.
(not for use on a machintosh)

CD of staff development toolkit for drug and alcohol services

Insert CD. The toolkit will open automatically on your screen. Click on pdf icon for full report. Click on either pdf or Word icon to view individual forms.

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