
Policy 6.6-7 – Leadership and management (all providers)

Suitable for all providers.

Note: this worked example policy is for illustrative information only. It may be used by an adult social care or healthcare organisation as a basis upon which to develop their own policy but should be fully customised and adapted to the specific needs of the organisation concerned.

Aim

The aim of this organisation is to ensure that strong and effective leadership and management is provided at all times that ensures the safety and well-being of service users.

Background

This organisation believes that the provision of strong and effective leadership and management is a key element in ensuring that health and social care providers deliver high quality services and meet the standards required of them by legislation.

The organisation recognises that leadership and management is critical to the success of any organisation, and this is especially true in the health or social care sectors. It is leaders and managers who "set the tone" for an organisation, who set and enforce standards, and who put in place the right policies and procedures. It is also leaders and managers who establish the "vision" and "values" for the organisation, stating what it believes in and what it stands for and defining its aims, goals and objectives. Taken together these aspects form the ethos of the organisation, within which managers and leaders should work at inspiring and encouraging staff and ensuring that they know what they are aspiring to achieve.

This organisation also recognises that leadership and management is an important part of compliance with the registration requirements of the Care Quality Commission. The organisation will therefore work at all times to ensure compliance with the following:

Care Quality Commission Regulatory Requirements

All adult social care providers must comply with the regulatory requirements of the CQC in order to maintain their registration.

The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, which include the Fundamental Standards, apply to health and social care providers from April 2015. The following regulations apply in relation to management and leadership:

- Regulation 4: Requirements where the service provider is an individual or partnership – which requires that, where a service provider is an individual or a partnership, they have the necessary qualifications, competence, skills and experience to carry on the regulated activity.
- Regulation 5: Fit and proper persons: directors – which requires that people who have director level responsibility for the quality and safety of care, and for meeting the fundamental standards are fit and proper to carry out this important role.
- Regulation 6: Requirement where the service provider is a body other than a partnership – which requires that a provider is represented by an appropriate person nominated by the organisation to carry out the management of the regulated activity provided.
- Regulation 7: Requirements relating to registered managers – which requires managers to be of good character.
- Regulation 17: Good governance – which requires that governance systems or processes must be established and operated effectively to ensure compliance with the requirements of the regulations.

In addition, the following Care Quality Commission (Registration) Regulations 2009 also apply in relation to the registration of services, their management and the need to make notifications to CQC:

- Regulation 14: Notice of absence – which requires the service to inform the CQC of a proposed absence for a continuous period of 28 days or more of the provider or the registered manager.
- Regulation 15: Notice of changes – which requires the service to inform the CQC of changes to the management.

Guidance for providers on meeting the regulations, published by the CQC in March 2015, includes further information about the regulations that service providers must take notice of.

Asking if services are well-led is also part of the CQC 5-key-question test that inspectors seek to answer during the inspection process and which contributes to the published rating for each service.

Asking if services are well led will include inspectors checking whether:

- the leadership, management and governance of the organisation assure the delivery of high-quality, person-centred care
- management and leadership encourage and deliver an open, fair, transparent, supporting and challenging culture at all levels
- staff are supported and provided with training and supervision.

Policy

In this organisation:

- Management and the quality, competence and development of managers will be considered a key priority in the running of the organization, with sufficient resources being employed to support managers to perform their roles successfully.
- Managers will be employed who are appropriately qualified and experienced, who have the qualities to uphold the highest standards of the organisation at all times, and who can manage the service to the highest standards.
- An ethos of excellence and achievement will be established and supported by management and managers that is open, transparent, innovative, inclusive and committed to providing compassionate person-centred care of the highest quality.
- Managers will be expected to reflect the ethos and philosophy of the organisation at all times, communicating a clear sense of direction and leadership to staff which reflects the aims and purpose of the organisation.
- Managers will be expected to always strive to promote and safeguard the wellbeing and interest of its service users.
- Managers will be expected to have the skills to develop and implement systems and policies to monitor, assess and improve service provision and delivery, ensuring that the organisation delivers compassionate care that meets requirements and reflects best evidence based practice.
- Managers will be expected to have the skills to develop and implement policies and strategies for assessing and managing all risks to the safety and well-being of service users, including monitoring and reviewing health and safety/risk assessment systems and investigating and analysing accident and incident reports.

- Managers will be expected to have the skills to provide staff with positive leadership and support and act as role models for junior staff – they should be honest and open in all of their actions, including dealings with financial transactions.
- Managers will be expected to adhere to professional values and practices, accessing training and supervision as required, fulfilling their continuous professional development (CPD) and registration requirements and demonstrating their competencies through regular supervision and annual appraisal.
- Managers will be expected to show commitment to involving service users, carers and other stakeholders in the running of the service, gaining service user feedback on a regular basis and investigating and responding positively to all complaints.
- Managers will be expected to demonstrate a commitment to continuous quality improvement which will include embracing and supporting change and innovation.
- Managers will be expected to manage staff according to the organisation's employment law policies and human resources policies in a way that is inclusive, fair and based on equal opportunities and respect for diversity.
- The managerial and leadership requirements of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 and the Care Quality Commission (Registration) Regulations 2009 will be met at all times, including all governance and quality assurance requirements, reporting and notification requirements, and all requirements relating to the training and competence of the registered person and managers.

Management duties

Managers and supervisors in the organisation have a duty to:

- always strive for excellence in both themselves and in the staff that they are responsible for
- show leadership and direction in their day to day and strategic management of the organisation
- create an atmosphere and culture in the organisation which is open, positive and inclusive
- monitor and respond to any concerns relating to the safeguarding of service users
- monitor service quality and work to ensure a continuous cycle of service improvement and excellence in all areas
- always support the provision of high-quality, compassionate care
- encourage innovation and creativity and support change in a positive and effective way
- encourage training and learning on the part of staff
- monitor complaints and compliments relating to services and respond to them appropriately
- monitor accidents and incident reports and respond to them appropriately
- properly employ staff management, supervision and appraisal skills to ensure that staff are working to the best of their potential and have the appropriate support to excel at work
- provide sound governance throughout the service
- work in partnership with other organisations to safeguard service users and ensure the provision of safe care.

Training

In this organisation:

- Managers will be expected to attend all training required for their role, including advanced safeguarding training, health and safety training (including fire training) and human resources training (including training in recruitment, equality and diversity, and appraisal).
- Managers will be given full access to sufficient continuing professional development (CPD) opportunities that meet their professional development needs and the needs of their professional regulation.
- Managers will themselves be provided with adequate supervision and appraisal.

Applicability and scope

This policy applies to all managers and supervisors working in or for the organisation without exception. All managers have responsibility for ensuring that they work within the remit of this policy and in the manner in which they have been trained.

Responsibilities

Responsibility for the implementation, monitoring and review of this policy lies with the service provider.

Signed:
Dated:

Policy reference number and version:

Author:

Implementation date:

Next review date: