

QCS 12 Key audits series: Understand why each audit is important and learn how to share your audit actions with the team

Resource 3: Workforce Planning



Why do we need to complete audits?

To achieve good governance in your service you must demonstrate continuous quality improvement. To do this, auditing and documenting the effectiveness of the processes and systems you have in place, and taking the time to observe and document how people experience your service, is essential.

Auditing and action plans offer evidence of the great care you provide. Where improvements are needed, they allow you to demonstrate openly and clearly how you plan to make the changes required that you have identified.

Workforce planning: the case for auditing

Effective workforce planning will support your service to run smoothly and safely whilst maximising the well-being of both your staff and the people you support. Auditing the process will inform decision-making and resource allocation, as well as highlight clearly any areas for improvement.

A robust and effective workforce planning audit will explore compliance with staff training and competency assessments, as well as induction, supervision and appraisal requirements. It will also shine a light on the staff rota, ensuring that this is available in advance, shifts are filled and annual leave and sickness/absence are well managed.

It is also vital that your workforce planning audit includes consideration of staff well-being and the well-being of the people you support. This should include ensuring care needs are being met in a timely manner and satisfaction surveys are being completed regularly and acted on.

Auditing allows you to identify potential challenges or gaps in your planning and gives you the opportunity to take necessary actions to make improvements.

- Audits are vital for promoting a culture of continuous learning and improvement
- Audits support you to examine and improve existing policies, procedures, and practices
- Audits can support and identify areas that require improvements

Workforce planning auditing: achieving compliance

The workforce planning audit will enable you to provide valid, up to date evidence to the CQC that you are managing your workforce needs effectively and meeting the required regulations such as:

- [Regulation 12: Safe care and treatment](#)
- [Regulation 17: Good governance](#)
- [Regulation 18: Staffing](#)
- [Regulation 19: Fit and proper persons employed](#)

Findings: what does the workforce planning audit tell you?

Example 1:

Your workforce planning audit revealed that some staff training in moving and positioning appears to have expired.

As a provider you should:

- Review the training matrix in full to ensure that all new training certificates have been added
- Identify which staff require update/refresher training, inform them immediately and book a training session **before their next shift on duty**
- Staff who do not have up to date training and competence in moving and positioning should not undertake any moving and position duties until their training and competence is updated successfully
- Complete a review of your training process to understand why the gap in training has occurred, put in place a plan to ensure it does not happen again, and share the learning from the review with the whole team

Example 2:

Your workforce planning audit has highlighted that call response times have increased and the people you support sometimes appear to wait long periods for their care.

As a provider you should:

- Review the assessment needs of the people you support, have they changed/increased over time?
- Speak with staff about how they meet the needs of the people they support, are care plans up to date and do they truly reflect the needs?
- Review the numbers of staff on duty, their skills, training, experience and competence, are they providing care efficiently?
- Observe the care in your service, it should not feel rushed, it should be compassionate and dignified
- Make sure shifts are being filled as per the planned rota. How is absence/sickness being managed?
- Make sure satisfaction surveys been completed recently and review what they tell you
- Based on your findings, put a plan of action in place to improve response times, and share this with the team
- Evaluate progress regularly, taking further actions as need to ensure improvement

So, what happens next?

Effective auditing can encourage staff to have confidence in your processes and in turn foster an open and transparent culture, where staff feel comfortable raising their concerns about staffing challenges so you can work together to resolve them.

Furthermore, the regulator and people who support the service will gain confidence in your processes and be assured that your good governance systems create an environment where learning and improvement thrive, benefiting the safety and well-being of those receiving care and support.

Once you have had a chance to review your audits you can then if needed:

- Allocate resources
- Implement prevention measures
- Increase/implement/refresh staff training
- Consider environmental changes
- Consider the use of assistive devices
- **Share the findings and actions with the team**

Now help your team learn about the workforce planning audit by completing our QCS Resource 3: Workforce Planning Audit - Group Learning Exercise.

**Resource 3: Workforce Planning Audit
– Group Learning Exercise**



Welcome to the group learning exercise for workforce planning. The aim of these exercises is to raise staff awareness of the audit process and what information is reviewed and why. Once staff knowledge and understanding has improved then workforce planning will improve, enhancing the quality of evidence and information.

Simply divide your attendees into small groups to complete this desktop exercise.

Section One (5 Minutes): As a group discuss why you review and audit workforce planning, write down your findings.

Section Two (15 minutes): As a group using the forms you have been given, review against the questions listed to understand how these are reviewed and how you learn from their completion.

Section Three (10 minutes): As a group discuss what you have reviewed and note your findings in the lessons learned section.

Finally, as a team regroup and discuss what you have found and how you may be able to make improvements in your service.

List of attendees				

Section One: Why do we review and audit workforce planning?

As a group, discuss why you think it is important to audit workforce planning.

Section Two: Your manager has given you a partially completed/blank 4-week rota. As a team, please attempt to complete the rota, then answer the audit questions below.

Question	Yes	No	N/A
Have the required number of staff been allocated to every shift?			
Are you confident that the number of staff allocated per shift will enable service users needs to be met effectively? (how do you know this)			
Are all the staff on the rota up to date with their mandatory training?			
Have any staff got long stretches of shifts? (for example more than three twelve hour shifts in a row)			
Does the skill mix on each shift meet the service users needs?			
Have staff shift requests/days off requests been included in the rota?			
Are contracted hours allocated each week?			
Have a fair and equal amount of weekends been allocated to individual staff?			
Are you confident that none of the staff on the rota are off on long term absence?			
Has annual leave been added to the rota?			
Has the new rota been shared with staff?			

Section Three: Lessons Learned	
What worked well (Evaluation and analysis)	
What shortcomings were identified (Conclusion)	
Lessons learned (Action planning)	