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Swansea Bay University
Health Board



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|--|---|-------------|-----------|
| | | Agenda Item | 5.3 (iii) |
| Freedom of Information Status | | Open | |
| Reporting Committee | Workforce and Organisational Development (OD) Committee | | |
| Author | Liz Stauber, Committee Services Manager | | |
| Chaired by | Tom Crick, Independent Member | | |
| Lead Executive Director (s) | Hazel Robinson, Director of Workforce and OD | | |
| Date of last meeting | 23 April 2019 | | |
| Summary of key matters considered by the committee and any related decisions made. | | | |
| Workforce and OD Framework – members considered the latest draft of the framework and were invited to submit comments for onward consideration by the Board. The final iteration is on the board agenda for approval. | | | |
| Key risks and issues/matters of concern of which the board needs to be made aware: | | | |
| Workforce Risks – the capacity of the workforce function remained the biggest risk but short-term investment had been made for the last reporting period. A new risk had been added for the April 2019 meeting in relation to the impact of the HMRC (Her Majesty’s Revenue and Customs) changes to pensions which was leading to doctors withdrawing from the scheme as well as some senior agenda for change staff Members noted that the Footprints programme had been shortlisted for a national award. | | | |
| Deep Dive: Personal Appraisal and Development Reviews Compliance – members received a deep dive into compliance with personal appraisal and development reviews (PADR). In comparison with other health boards, Swansea Bay University Health Board was 2% below average in terms of compliance. However, when broken down, every staffing group except estates and facilities was above average. Morriston Hospital had a compliance of 65% and the others more than 70%. Members expressed concern and stated that if the health board was serious about its values framework, compliance with PADRs was core, as staff should have the opportunity to meet with managers once a year to discuss their development. It was agreed quarterly updates would be received. | | | |
| Delegated action by the committee: | | | |
| Workforce and OD Committee Terms of Reference – these were approved (appendix one) | | | |
| Workforce and OD Committee Annual Report – this was approved (appendix two) | | | |
| Main sources of information received: | | | |
| Workforce Metrics – a report outlining performance against a number of key workforce metrics, such as sickness absence and compliance with mandatory and statutory training, was received with agreement made to receive a deep dive on compliance with personal appraisal and development reviews (PADRs). | | | |

Medical Agency Cap – members noted that compliance with the cap continued to improve.

Medical Recruitment Strategy – quarterly updates were to be received on progress against the strategy from June 2019.

Directors of Nursing Forum: National Efficiency Framework – a report outlining the data provided from the all-Wales Directors of Nursing forum in relation to the national efficiency framework was noted.

HIW KW Action Plan - a report setting out progress against the action plan following Healthcare Inspectorate Wales (HIW) review of the KW case was received and noted.

Highlights from sub-groups reporting into this committee:

Reports were received from:

- Vacancy Control Panel;
- Nursing and Midwifery Board;
- Medical Workforce Board.

Matters referred to other committees

No matters were referred to other committees.

Date of next meeting

28th May 2019



Workforce and OD Committee Annual Report 2018-19



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Contents

| | |
|---------------------|--------|
| Introduction | Page 3 |
| Committee Structure | Page 3 |
| Reports Received | Page 3 |
| Conclusion | Page 5 |

1. Introduction

The Workforce and Organisational Development (OD) Committee was established in 2009 and its principle focus is on 'all aspects of workforce as a resource aimed at ensuring the strategic and operational workforce agenda, priorities and work plan enables the delivery of the health board's objectives and supports quality and safety of healthcare and employment practice'.

During 2018-19, the committee met its responsibility by fulfilling its role as outlined in its terms of reference, and through the delivery of its work programme. The annual report summarises this.

2. Committee Structure

The membership of the Workforce and OD Committee during 2018-19 comprised:

Independent Members

- Ceri Phillips, independent member (committee chair until January 2019);
- Tom Crick, independent member (committee chair from February 2019)
- Emma Waygood, independent member;
- Jackie Davies, independent member.

Executive Directors

- Hazel Robinson, Director of Workforce and OD;
- Gareth Howells, Director of Nursing and Patient Experience;
- Richard Evans, Medical Director (from November 2018);
- Hamish Laing (until June 2018)
- Push Mangat, interim Medical Director (until September 2018);
- Alastair Reeves, interim Medical Director (until November 2018).

Committee support in terms of the circulation of the meeting papers and minute taking was undertaken by the corporate governance function to ensure continuity with other board committees. The secretary to the committee was Liz Stauber, committee services manager.

At the start of 2018-19, the terms of reference required the committee to meet bi-monthly, however, at the meeting in July 2018, members agreed revised terms of reference. These made provisions for the scope and membership of the committee to be expanded and for the frequency of meetings to increase to monthly.

3. Reports Received

Workforce is viewed by the board as one of the most significant risks the organisation holds. With the current challenges on finance, performance and quality and safety, workforce issues need to be addressed to enable the organisation to progress and improve.

As part of reviewing the governance structures, there has been some concern that the Workforce and OD Committee was not functioning as effectively as a board committee should. Over the past few months, it has benefitted from a new executive

lead, chair and membership, which is an opportunity to develop the future remit of the committee.

In-line with this, the way in which the committee functioned and the reports it received has varied during 2018-19 while its remit was properly established.

The first meeting of the year took place in July 2018, which was an opportunity for the Director of Workforce and OD to outline her views as to the current risks and challenges within the area of service. This provided members with the opportunity to discuss future focus of the committee and as such, agreed revised terms of reference.

In August 2018, the committee held its first meeting with an established agenda under its new remit, which included items such as future service models for occupational health, digital workforce strategy and physicians associates. However, when discussing these reports, members felt the level of detail and the recommendations were too operational for the committee, owing to the fact that there was not a relevant sub-group to which to report in the first instance. As such, it was agreed that a workforce and OD forum would be established as a sub-group to discuss such issues and the terms of reference for this group were agreed by the committee in November 2018.

Also in November 2018, the committee considered reports on nurse recruitment and retention and nursing standardised shifts at the request of the Quality and Safety Committee. The analysis of recruitment and retention identified the vacancies hotspots as well as the action being taken for both nursing and medical staff. One key area which needed improvement was the completion of exit interviews and it was hoped that changes to the electronic staff record (ESR) by the end of 2018 would increase completion.

Members noted that in relation to standardised nursing shifts, the health board potentially had around 90 different shift patterns within a given area, which was not only challenging to quality and safety of services, but also made it difficult for managers to fully know the establishment. As part of the work to standardise shifts, e-rostering was being implemented. It was already in place at Singleton Hospital and the roll-out had begun at Morriston Hospital. Members expressed their concern at the situation and emphasised the need to establish standardised shift patterns board-wide with urgency.

January 2019 saw the agreement of the committee's work programme, which included the transfer of workforce related items currently considered by other committees into this remit. The most significant of which were workforce metrics, medical agency cap and decisions made by the vacancy panel which had previously been considered by the Performance and Finance Committee.

Alongside this, reports were received outlining the work in response to the findings of the national survey to resolve concerns raised by staff. This was supported by a presentation specifically looking at the work to address the issue of bullying across the health board.

One of the biggest challenges faced by the organisation is recruitment and retention, particularly in relation to medical and nursing workforce. As such, as part of the January 2019 meeting, the plan for medical recruitment was outlined, including the challenges faced, which resulted in the committee seeking regular updates given the task in hand. In addition to this report, a draft outline for the overall workforce strategy was received to show the committee the intended direction of travel.

Alongside the strategic reports, regular standing items were received by the committee from the January 2019 meeting onwards, including workforce metrics *more details*, medical agency cap *more details* and Nurse Staffing Levels (Wales) Act 2016 *more details*.

The committee has a number of sub-groups for which regular reports outlining the discussions of each meeting were received. These comprised:

- Workforce and OD Forum;
- Nursing and Midwifery Board;
- Medical Workforce Board;
- Responsible Office Advisory Group.

4. Conclusion

This report demonstrates that the committee fulfilled its responsibilities through the reports it had received during the year from various services and sources.



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|---|--|-------------------|--------------------|-----------------|
| Meeting Date | 27th March 2019 | | Agenda Item | 4.2 |
| Report Title | Workforce and Organisational Development Committee Terms of Reference | | | |
| Report Author | Liz Stauber, Committee Services Manager | | | |
| Report Sponsor | Hazel Robinson, Director of Workforce and OD | | | |
| Presented by | Hazel Robinson, Director of Workforce and OD | | | |
| Freedom of Information | Open | | | |
| Purpose of the Report | The purpose of the report is to set out the revised terms of reference for the Workforce and Committee for approval. | | | |
| Key Issues | There are a number of track changes to the terms of reference. | | | |
| Specific Action Required <i>(please ✓ one only)</i> | Information | Discussion | Assurance | Approval |
| | | | | ✓ |
| Recommendations | Members are asked to : <ul style="list-style-type: none"> • NOTE the report and APPROVE the revised terms of reference. | | | |

REVISED TERMS OF REFERENCE FOR THE WORKFORCE AND OD COMMITTEE

1. INTRODUCTION

The purpose of the report is to set out the revised terms of reference for the Workforce and Organisational Development (OD) Committee for approval.

2. BACKGROUND

In-line with the standing orders, the health board established the Workforce and OD Committee to focus on 'all aspects of workforce as a resource aimed at ensuring the strategic and operational workforce agenda, priorities and work plan enables the delivery of the health board's objectives and supports quality and safety of healthcare and employment practice.' As such, terms of reference were developed to set out its role, responsibility and operating arrangements.

3. GOVERNANCE AND RISK ISSUES

At its meeting in July 2018, the committee agreed revised terms of reference. These made provisions for the scope and membership of the committee to be expanded and for the frequency of meetings to increase to monthly.

As part of the discussions, the need for a forum in which high risk workforce cases were considered was raised, but more clarity was needed as to how best to achieve this, as few board members needed to be involved as possible in case the need arose for them to be included in the investigations further down the line. To address this, a responsible officer advisory group has been established within the Medical Director's remit and this has been added to the terms of reference as a sub-group of the committee. An in-committee session of the Workforce and OD Committee will also take place, but with a reduced membership, in order to consider a routine review of all staff on suspensions.

At its February 2019 meeting, members considered the terms of reference and suggested that updates were required to the committee's purpose to reflect the fact that workforce metrics have transferred to its remit from that of the Performance and Finance Committee.

Minor alterations have also been made to the body of the terms of reference to update references to Welsh Government from assembly government and to change the Director of Corporate Governance's title from its previous iteration of Board Secretary.

4. FINANCIAL IMPLICATIONS

There are no financial implications for the committee to consider.

5. RECOMMENDATION

Members are asked to:

- **NOTE** the report and **APPROVE** the revised terms of reference.

| Governance and Assurance | | | | | | | |
|---|--|-----------|--|----------------|--|-----------------|---|
| Link to corporate objectives (please ✓) | Promoting and enabling healthier communities | | Delivering excellent patient outcomes, experience and access | | Demonstrating value and sustainability | | Embedding effective governance and partnerships |
| | | | | | | | |
| Link to Health and Care Standards (please ✓) | Staying Healthy | Safe Care | Effective Care | Dignified Care | Timely Care | Individual Care | Staff and Resources |
| | | | | | | | |
| Quality, Safety and Patient Experience | | | | | | | |
| Ensuring the committee carries out its business appropriately and aligned with standing orders is a key factor in the quality, safety and experience of patients receiving care. | | | | | | | |
| Financial Implications | | | | | | | |
| No financial implications for the committee to be aware of. | | | | | | | |
| Legal Implications (including equality and diversity assessment) | | | | | | | |
| It is essential that the committee complies with its standing orders, for which its responsibilities are outlined in its terms of reference. | | | | | | | |
| Staffing Implications | | | | | | | |
| No staffing implications for the committee to be aware of. | | | | | | | |
| Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015 - https://futuregenerations.wales/about-us/future-generations-act/) | | | | | | | |
| The approval of the terms of reference will enable the committee to continue as one of the main assurance committees to the board. | | | | | | | |
| Report History | The terms of reference are received by the committee at least annually for review. | | | | | | |
| Appendices | The revised terms of reference are attached as appendix one. | | | | | | |

Workforce &
Organisational Development (OD)
Committee

Terms of Reference & Operating
Arrangements

1. INTRODUCTION

- 1.1 The LHB's standing orders provide that "*The Board may and, where directed by ~~the Assembly~~Welsh Government must, appoint Committees of the LHB either to undertake specific functions on the Board's behalf or to provide advice and assurance to the Board in the exercise of its functions. The Board's commitment to openness and transparency in the conduct of all its business extends equally to the work carried out on its behalf by committees*".
- 1.2 In line with standing orders (and the LHB's scheme of delegation), the Board shall nominate annually a committee to be known as the **Workforce & Organisational Development (OD) Committee**. This committee's focus is on all aspects of workforce as a resource aimed at ensuring the strategic and operational workforce agenda, priorities and work plan enables the delivery of the LHBs objectives and supports quality and safety of healthcare and employment practice.
- 1.3 The detailed terms of reference and operating arrangements set by the Board in respect of this committee are set out below.

2. PURPOSE

- 2.1 The Workforce & OD Committee "the Committee" is established for the following purposes:
- **To provide assurance** – in relation to the LHB's arrangements for workforce & OD ensuring they are in accordance with its stated objectives and the requirements and standards determined for the NHS in Wales;

- To provide assurance to the Board in relation to the LHB's arrangements for the implementation of remuneration agreements and terms and conditions including contractual arrangements, for all staff, in accordance with the requirements and standards determined for the NHS in Wales and to perform certain, specific functions on behalf of the Board. This will exclude issues considered by the Remuneration and Terms of Service Committee.
- ~~To plan and design~~ – a forum at which strategic workforce priorities can be ~~identified-discussed~~ and agreed, ~~providing assurance to the board a vehicle for that~~ organisation wide multi-disciplinary ~~discussion and strategic~~ workforce planning ~~is being addressed~~ to support the development of workforce strategies and initiatives;
- To make decisions and provide advice ~~and assurance and~~ – on behalf of the Board ~~determine support~~ and agree workforce solutions and initiatives for implementation within the organisation. ~~and provide~~ evidence based and timely advice to the Board to assist it in discharging its functions and meeting its responsibilities with regard to workforce & OD matters;

2.2 The Committee will ~~not~~ routinely consider workforce matters that form part of the responsibility and that fall within the Terms of Reference of another LHB Committee. As such workforce performance metrics ~~(reviewed by the Finance and Performance Committee)~~ and the identified workforce projects and initiatives being managed through the Recovery and Sustainability will ~~not~~ feature within the core work of the Committee.

2.3 The Committee shall have no powers to develop or modify existing pay schemes.

3. KEY ACTIVITIES, DELEGATED POWERS AND AUTHORITY

Key Activities

3.1 With regard to its role in providing advice and assurance to the Board, the key activities of the Committee will include:

- Support and inform the development of a multi-disciplinary People Strategy for the Health Board, through the identification of key workforce priorities which:
- take account and responds to the outcomes and objectives of the Parliamentary Review
- identify and inform strategic workforce issues and ensure these are reflected in the Integrated Medium Term Plan (IMTP)
- enhance service/quality improvement;
- deliver sustained performance improvement and the organisational effectiveness of the workforce
- In respect to the development of a People Strategy the following areas of Workforce and OD activity will be specifically considered and informed by the Committee. The purpose being to develop plans and policy in the following areas of the strategic workforce agenda.
- Interventions to enhance staff engagement and experience, to include further embedding of Organisational values
- Review the outcomes of national and Organisational staff surveys to inform action and improvement plans
- Plans to enhance medical engagement
- Leadership development and management development
- Staff education and development, building teams, talent management and succession planning
- Recruitment and retention, to include the Widening Access and Working Longer agendas
- Prudent workforce resourcing encompassing workforce planning, role redesign, new role opportunities aligned to clinical service strategies
- Digital workforce solutions strategy and implementation
- Staff Health and well-being services ~~(not covered within the R&S work programme)~~
- Relationships with educational partners
- Oversee and ensure the alignment of the LHB's Workforce & OD policies and frameworks with those of NHS Wales, including the future role, remit and relationship with Health Education Improvement Wales (HEIW) and the development of a workforce across the Health and Social care sectors in line with the recommendations of the Parliamentary review of Health and Social Care January 2018
- Oversee the application of key workforce related legislation and contractual arrangements to support long-term business goals and outcomes
- Monitor action taken in response to internal and external reports relating to workforce in terms of the organisation not individuals

- Ensure that medical education issues affecting junior doctors including rota risks are reported to the Committee, which in turn will be reported to the Board to meet the requirements of the GMC.
- Routinely review all staff on suspension.
- Routinely review significant, sensitive and high-risk employee relations cases

Areas of Assurance

- 3.2 The Committee will, in respect of its assurance role, seek assurances that governance (including risk management) arrangements are appropriately designed and operating effectively to ensure the delivery of the workforce & OD agenda across the full range of the LHB's services and oversee the delivery of agreed workforce priorities.
- 3.3 The Committee's will ensure that, in relation to all aspects of workforce & OD:
- there is clear, consistent strategic direction, strong leadership and transparent lines of accountability;
 - the workforce is appropriately selected, trained, supported and responsive to the needs of the service, ensuring that professional standards and registration/revalidation requirements are maintained;
 - there is an ethos of continual quality improvement and regular methods of updating the workforce in the skills needed to demonstrate quality improvement throughout the organisation;
 - there is good team working, collaboration and partnership working to provide the best possible outcomes for its citizens;
 - there is continuous improvement in the workforce & OD agenda across the whole organisation – continuously monitored through the Healthcare and Standards for Wales;

Authority

- 3.4 The Committee is authorised by the Board to investigate or have investigated any activity within its terms of reference. In doing so, the Committee shall have the right to inspect any books, records or documents of the LHB relevant to the Committee's remit and ensuring patient/client and staff confidentiality, as appropriate. It may seek any relevant information from any:

- Employee (and all employees are directed to cooperate with any reasonable request made by the Committee); and
 - Other committee, subcommittee or group set up by the Board to assist it in the delivery of its functions.
- 3.5 The Committee is authorised by the Board to obtain outside legal or other independent professional advice and to secure the attendance of outsiders with relevant experience and expertise if it considers it necessary, in accordance with the Board's procurement, budgetary and other requirements.

Access

- 3.6 The Head of Internal Audit shall have unrestricted and confidential access to the Chair of the Workforce & OD Committee.
- 3.7 The Committee will meet with Internal Audit [and, as appropriate, nominated representatives of Wales Audit Office / Healthcare Inspectorate Wales] without the presence of officials on at least one occasion each year.
- 3.8 The Chair of the Committee shall have reasonable access to Executive Directors and other relevant senior staff.

Working Groups

The Committee may establish task and finish groups to carry out work on its behalf and will ask for report from existing groups where appropriate to include:

- Medical Workforce Group
- Nurse staffing Act Task and Finish Group
- Workforce Information System Board
- Health Professions Forum
- Therapies and Health Science Working Group
- Volunteers' Group
- Responsible Officer Advisory Group

MEMBERSHIP

Members

- 4.1 Membership will comprise of the following 4 Members:

| | |
|-------|---------------------------------|
| Chair | Non Officer Member of the Board |
|-------|---------------------------------|

| | |
|------------|---|
| Vice Chair | Non Officer Member of the Board |
| Members | Two other Non Officer Members of the Board. |

Attendees

- | | | |
|-----|---------------|---|
| 4.2 | In attendance | <p>Director Workforce and OD</p> <p>Assistant Directors of Workforce and OD</p> <p>Medical Director or nominated deputy</p> <p>Director of Nursing or nominated deputy</p> <p>Director of Therapies and Health Sciences or nominated deputy</p> <p>Chief Operating Officer (or nominated deputy)</p> <p>A representative from each Delivery Unit to reflect a full spread of professions and functions</p> |
| 4.3 | By invitation | <p>The Committee Chair may extend invitations to attend committee meetings as required to the following:</p> <ul style="list-style-type: none"> – The Chief Executive – Other Executive Directors; and/or – Any representative of operational service management as requested by the committee – Any representative of Swansea University – Any others officials from within or outside the organisation to attend all or part of a meeting to assist it with its discussions on any particular matter |

Secretariat

- | | | |
|-----|-----------|--|
| 4.4 | Secretary | As determined by the Board <u>Secretary</u> <u>Director of Corporate Governance</u> . |
|-----|-----------|--|

Member Appointments

- 4.5 The membership of the Committee shall be determined by the Board, based on the recommendation of the LHB Chair – taking account of the balance of skills and expertise necessary to deliver the committee’s remit and subject to any specific requirements or directions made by the Welsh Government.
- 4.6 Members terms of office will be reviewed annually by the Board Chairman. A member may resign or be removed by the Board.
- 4.7 Terms and conditions of appointment, (including any remuneration and reimbursement) in respect of co-opted independent external members are determined by the Board, based upon the recommendation of the LHB Chair

Support to Committee Members

- 4.8 The ~~Board Secretary~~Director of Corporate Governance, on behalf of the Committee Chair, shall:
- Arrange the provision of advice and support to committee members on any aspect related to the conduct of their role.

5. COMMITTEE MEETINGS

Quorum

- 5.1 At least two members must be present to ensure the quorum of the Committee, including either the committee Chair or Vice Chair.

Frequency of Meetings

- 5.2 Meetings shall be held monthly. The format of the Committee will operate on a bi-monthly cycle, with alternating months used for either development, planning and visioning to inform the development of key issues for consideration, decision and approval and assurance.

Withdrawal of individuals in attendance

- 5.3 The Committee may ask any or all of those who normally attend but who are not members to withdraw to facilitate open and frank discussion of particular matters.

6. RELATIONSHIPS & ACCOUNTABILITIES WITH THE BOARD AND ITS

COMMITTEES/GROUPS

- 6.1 Although the Board has delegated authority to the Committee for the exercise of certain functions as set out within these terms of reference, it retains overall responsibility and accountability for ensuring the workforce & OD agenda. The Committee is directly accountable to the Board for its performance in exercising the functions set out in these terms of reference.
- 6.2 The Committee, through its Chair and members, shall work closely with the Board's other committees, including joint (sub) committees and groups to provide advice and assurance to the Board through the:
- joint planning and co-ordination of Board and Committee business; and
 - sharing of information
- in doing so, contributing to the integration of good governance across the organisation, ensuring that all sources of assurance are incorporated into the Board's overall risk and assurance framework. This will be achieved primarily through the **Audit Committee**.
- 6.3 The Committee shall embed the LHB's corporate standards, priorities and requirements, e.g., equality and human rights through the conduct of its business.

7. REPORTING AND ASSURANCE ARRANGEMENTS

- 7.1 The Committee Chair shall:
- Report formally, regularly and on a timely basis to the Board on the Committee's activities. This includes verbal updates on activity, the submission of committee minutes and written reports, as well as the presentation of an annual report;
 - bring to the Board's specific attention any significant matters under consideration by the Committee;
 - Ensure appropriate escalation arrangements are in place to alert the LHB Chair, Chief Executive or Chairs of other relevant committees of any urgent/critical matters that may compromise patient care and affect the operation and/or reputation of the LHB.
- 7.2 The Board may also require the Committee Chair to report upon the committee's activities at public meetings, e.g. AGM, or to community partners and other stakeholders, where this is considered appropriate,

e.g. where the committee's assurance role relates to a joint or shared responsibility.

- 7.3 The ~~Board Secretary~~Director of Corporate Governance, on behalf of the Board, shall oversee a process of regular and rigorous self-assessment and evaluation of the Committee's performance and operation including that of any sub committees established.

8. APPLICABILITY OF STANDING ORDERS TO COMMITTEE BUSINESS

- 8.1 The requirements for the conduct of business as set out in the LHB's Standing Orders are equally applicable to the operation of the Committee, except in the following areas:

- Quorum
- Notice of meetings
- Notifying the public of Meetings
- Admission of the public, the press and other observers

9. REVIEW

- 9.1 These terms of reference and operating arrangements shall be reviewed annually by the Committee with reference to the Board.