



Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



<b>Meeting Date</b>	<b>28 November 2019</b>	<b>Agenda Item</b>	<b>3.7</b>
<b>Report Title</b>	<b>The Guardian Service &amp; #ShapingSBUHB</b>		
<b>Report Author</b>	Julie Lloyd, Staff Experience & OD Manager		
<b>Report Sponsor</b>	Hazel Robinson, Director of Workforce & OD		
<b>Presented by</b>	Julie Lloyd, Staff Experience & OD Manager and Simon MacRory, Director, The Guardian Service		
<b>Freedom of Information</b>	Open		
<b>Purpose of the Report</b>	<p>The purpose of this report is to present the first 6-monthly report and recommendations from The Guardian Service. It is also to provide an up-date on actions taken as a Health Board as part of the wider #ShapingSBUHB movement to provide assurance that feedback from staff and staff survey results relating to bullying has been listened to.</p>		
<b>Key Issues</b>	<p><b>The Guardian Service</b></p> <p>Since The Guardian Service launched on 13<sup>th</sup> May 2019 there have been <b>41 contacts</b> raising concerns (up until the end of October 2019). This has quadrupled the number of contacts in a shorter period than those previously received by The Staff Experience &amp; OD Manager, under the former internal process available.</p> <p>As a reminder of that process; the 'Procedure for NHS Staff to Raise Concerns' is an all Wales procedure adopted by the Health Board Partnership Forum in January 2018. Within the Health Board, staff previously raised concerns via the following email address, but there was no infrastructure in place to monitor, respond or support staff (<a href="mailto:abm.raisingconcerns@wales.nhs.uk">abm.raisingconcerns@wales.nhs.uk</a>). This created risk to staff, patients and the organisation and was not a sustainable solution. Between November 2018 and May 2019, <b>5</b> contacts were received via the internal process. Of those contacts, 2 agreed to meet to discuss their concerns, which were subsequently resolved/closed, 1 was transferred to the Patient Feedback Team and 2 did not respond when the offer of meeting/calling to discuss was provided.</p> <p>A copy of the 6-monthly cumulative report (May to October 2019) from the Guardian Service is provided in appendix 2.</p>		

	<p><b>#ShapingSBUHB</b>  The Staff Experience and Organisational Development (OD) Team facilitated a range of engagement sessions for staff across the Health Board on the back of Executive Engagement and the results of the NHS Wales Staff Survey 2018. The purpose of the engagement interventions were to gather ideas about what was important to staff and prioritise practical ways in which our staff experience could be improved.</p> <p>As part of our commitment to support Healthy Workplaces &amp; Wellbeing (one of the identified areas for improvement), a number of actions have commenced. These include the commissioning of ACAS to run workshops for managers, HR and Trade Unions in addressing inappropriate behaviours at work, including bullying, extending our offering of behaviour based Leadership Development Programmes, appointment of an HR investigations team, investment in operational HR teams and processes and the introduction of The Guardian Service.</p> <p>The introduction of a ‘no bystander / zero tolerance’ approach to bullying; <b>#LivingOurValues</b>, was also a priority area voted for by our staff during engagement, as a way of challenging behaviours and encouraging staff to be more aware of their behaviour and use of language. The campaign was launched on 18<sup>th</sup> July 2019 at the Health Board’s Leadership Summit.</p> <p>#LivingOurValues invites staff and/or teams to sign a <b>pledge</b> card which describes how they live our organisational values. A photograph is taken of the individual or team with their pledge and their participation is promoted through social media and internal communications.</p> <p>Since its launch, over <b>300 pledges</b> have been signed, combining of individual and team pledges and promoted via social media, internal communications and as part of national Anti-bullying week.</p>			
<b>Specific Action Required</b> <i>(please choose one only)</i>	<b>Information</b>	<b>Discussion</b>	<b>Assurance</b>	<b>Approval</b>
<b>Recommendations</b>	Members are asked to: <ul style="list-style-type: none"> <li>• <b>TAKE</b> assurance that feedback from staff and staff survey results relating to bullying have been</li> </ul>			

	<p>listened to through the action the Health Board has taken so far.</p> <ul style="list-style-type: none"><li>• <b>CONSIDER</b> the recommendations detailed in the 6-monthly report from The Guardian Service</li><li>• <b>NOTE</b> the up-date of progress on the #ShapingSBHB movement including; ACAS Training, Footprints and Bridges, Consultant Development Programme, #LivingOurValues, investment in HR Training and processes and The Guardian Service</li><li>• <b>SEEK</b> views of the Board in relation to the future continuation of a similar independent service</li></ul>
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# The Guardian Service Up-date & #ShapingSBUHB

## 1. INTRODUCTION

The purpose of this report is to present the first 6-monthly report and recommendations from The Guardian Service. It is also to provide an up-date on actions taken as a Health Board as part of the wider #ShapingSBUHB movement to provide assurance that feedback from staff and staff survey results relating to bullying has been listened to.

## 2. BACKGROUND

### 2.1 The Guardian Service

The NHS Wales Staff Survey 2018 results highlighted the need to focus on addressing bullying within the Health Board, with 20% of respondents confirming that they have experienced harassment, bullying or abuse at work from their manager/team leader or other colleagues (an increase of 4% since 2016). Whilst this increase was reported across NHS Wales, the Health Board reported higher than the national overall score of 18%. Reviewing the qualitative comments that accompanied the staff survey results, of 959 comments and feedback provided in the free-text section, 59 (6% of the overall qualitative data) referred specifically to the term 'bullying' at work from manager/team leader or colleagues.

Subsequent blogs issued by the Chief Executive and Director of Workforce & OD resulted in numerous comments from staff around the need to take action which will enable staff to speak up in a confidential way and the importance of resolution. The Director of Workforce & OD has kept staff up to date through regular intranet blogs on how our thinking was developing in responding to concerns around bullying. This resulted in useful data which shaped and informed the organisation's thinking about what was important to staff. In listening to staff feedback, important features of a raising concerns service included impartiality, independence, accessibility and responsiveness. With only 22% of Staff Survey respondents in the Health Board believing that the organisation would take action, the Executive Team have been fully committed to taking decisive and timely action to support staff and act on their feedback.

We sought experience and best practice in NHS England where **Freedom to Speak up** is mandated. This enabled us to design the service specification and test the market for a provider via the tender process. In response to the tender submission process, a multi-disciplinary panel, including Board trade union representation, awarded the contract to **The Guardian Service Ltd**. The contract was awarded for one year and the service was launched on **13<sup>th</sup> May 2019** for Bae Abertawe / Swansea Bay Health Board.

#### 2.1.1 Progress to Date

The Project Charter shown in appendix 1, details all of the activity that has taken place from initial research through to commissioning, launch, promotion and audit of the service, including a protocol for Executive and Senior Managers on-call responding to a 'red' category concern.

Since The Guardian Service launched there have been **41 contacts** raising concerns (up until the end of October 2019). This has quadrupled the number of contacts in a shorter period than those previously received by The Staff Experience & OD Manager, under the former internal process available.

As a reminder of that process; the 'Procedure for NHS Staff to Raise Concerns' is an all Wales procedure adopted by the Health Board Partnership Forum in January 2018. Within the Health Board, staff previously raised concerns via the following email address, but there was no infrastructure in place to monitor, respond or support staff ([abm.raisingconcerns@wales.nhs.uk](mailto:abm.raisingconcerns@wales.nhs.uk)). This created risk to staff, patients and the organisation and was not a sustainable solution. Between November 2018 and May 2019, **5** contacts were received via the internal process. Of those contacts, 2 agreed to meet to discuss their concerns, which were subsequently resolved/closed, 1 was transferred to the Patient Feedback Team and 2 did not respond when the offer of meeting/calling to discuss was provided.

A copy of the first 6-monthly cumulative report from the Guardian Service is provided in appendix 2 along with the monthly cumulative report for October 2019. In an attempt to triangulate data and evaluate return on investment, appendix 3 provides a breakdown of the number of contacts by Unit/Directorate against staff survey responses to the question relating to bullying, incidents reported via Datix relating to Staff to Staff Behaviour, Disciplinary & Grievances by Unit/Directorate and month and sickness absence by Unit/Directorate and month. It also details the areas requesting awareness presentations from The Guardian Service.

## **2.2 #ShapingSBUHB**

The Staff Experience and Organisational Development (OD) Team facilitated a range of engagement sessions for staff across the Health Board on the back of Executive Engagement and the results of the NHS Wales Staff Survey 2018. The purpose of the engagement interventions were to gather ideas about what was important to staff and prioritise practical ways in which our staff experience could be improved.

As part of our commitment to support Healthy Workplaces & Wellbeing (one of the identified areas for improvement), a number of actions have already commenced. These include the commissioning of ACAS to run workshops for managers, HR and Trade Unions in addressing inappropriate behaviours at work, including bullying, extending our offering of behaviour based Leadership Development Programmes, appointment of 2 investigating officers, investment in HR teams and processes and the introduction of The Guardian Service.

The introduction of a '*no bystander / zero tolerance*' approach to bullying; **#LivingOurValues**, was also priority area voted for by our staff during engagement, as a way of challenging behaviours and encouraging staff to be more aware of their behaviour and use of language. The campaign was launched on 18<sup>th</sup> July 2019 at the Health Board's Leadership Summit.

#LivingOurValues invites staff and/or teams to sign a **pledge** card which describes how they live our organisational values. A photograph is taken of the individual or

team with their pledge and their participation is promoted through social media and internal communications.

The campaign strengthens the impact of the actions we have already taken in Swansea Bay, reinvigorates our established organisational values, empowers colleagues to make a stand and, where appropriate, challenge inappropriate behaviours and language. The high profile campaign raises awareness and enables staff to speak out by:

- Respectfully drawing attention to behaviour that is not in keeping with our Values, at all levels of the organisation.
- Having a voice to tackle difficult conversations with honesty and respect.

### 2.2.2 Progress to Date

- Since its launch, almost **300 #LivingOurValues pledges** (increasing daily) have been signed, combining of individual and team pledges and promoted via social media and internal communications and as part of national Anti-bullying week.
- Since commissioning; a total of almost **300** of our leaders have attended both ACAS Training
- **26** newly appointed consultants have attended the Consultant Development Programme since revised programme launched in March 2019.
- over **68 senior leaders** (Band 8a and above) have attended the recently released 'Bridges' behaviour based leadership development programme and nearly **507 leaders and managers** (bands 4-7) have attended our 'Footprints' behaviour based leadership development programme since it was launched.
- Investment has been made in the training and development of operational HR teams and processes streamlined with the addition of an investigations team to improve the timeliness of resolving formal ER cases.

## 3 GOVERNANCE AND RISK ISSUES

- As we remain the only Health Board in Wales to take forward the service, we can only refer to colleagues and Trusts in England that have taken it forward and use it to learn lessons as we continue to test and trial the service.
- There is an on-going need to manage perception around the service and educate managers and staff about the service to be clear that this is an additional avenue for staff to reach out to in confidence and that it does not replace manager's managing staff, trade union support, HR processes or wellbeing support available.
- As we have taken a multi-faceted, multi-levelled approach as part of the #ShapingSBUHB movement to support a culture of openness, honesty and trust, it is difficult to fully evaluate the benefits of The Guardian Services and are unable to attribute reductions in disciplinary and grievance cases purely to the Guardian Service.
- It is still too early to fully evaluate the benefits of The Guardian Service and there is more work to be done to review and analyse data and activity i.e. Reasons for sickness absence, reasons for grievances, turnover and use of the Wellbeing service.
- Whilst there may have been a reduction in the number of formal Employee Relations cases, the introduction of the Guardian Service has resulted in further

enquiries and investigations for operational HR colleagues to respond to, raised at an earlier stage in the process.

- The 1 year pilot comes to an end in May 2020 and so there is an immediate need to commence re-tendering for an independent provider for staff to raise concerns, ahead of full evaluation of the pilot.

#### **4 RECOMMENDATION**

Members are asked to:

- **TAKE** assurance that feedback from staff and staff survey results relating to bullying have been listened to through the action the Health Board has taken so far.
- **CONSIDER** the recommendations detailed in the 6-monthly report from The Guardian Service
- **NOTE** the up-date of progress on the #ShapingSBHB movement including; ACAS Training, Footprints and Bridges, Consultant Development Programme, #LivingOurValues, investment in HR Training and processes and The Guardian Service
- **SEEK** views of the Board in relation to the future continuation of a similar independent service

<b>Governance and Assurance</b>		
<b>Link to Enabling Objectives</b> <i>(please choose)</i>	<b>Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities</b>	
	Partnerships for Improving Health and Wellbeing	<input checked="" type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	<b>Deliver better care through excellent health and care services achieving the outcomes that matter most to people</b>	
	Best Value Outcomes and High Quality Care	<input type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
<b>Health and Care Standards</b>		
<i>(please choose)</i>	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input type="checkbox"/>
	Effective Care	<input type="checkbox"/>
	Dignified Care	<input type="checkbox"/>
	Timely Care	<input type="checkbox"/>
	Individual Care	<input type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
<b>Quality, Safety and Patient Experience</b>		
<p>The <b>#ShapingSBUHB</b> campaign and The Guardian Service aims to improve staff experience through helping to create a culture of openness and honesty and demonstrate we are listening by responding to what staff asked for. The direct correlation between patient experience and staff experience is well documented.</p> <p>The previous Raising concerns process with no dedicated pathway or infrastructure to support staff creates risk to staff, patients and the wider organisation.</p>		
<b>Staffing Implications</b>		
<p>Consideration continues to need to be given for the time and resource required for roll-out of the Guardian service and continued education and collaboration with stakeholders i.e. Union representatives, HR, Staff Experience Team, Wellbeing, Communications, Patient Feedback Team and PALS, Executive and Non-Executive Lead.</p>		
<b>Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)</b>		
<p>Briefly identify how the paper will have an impact of the “The Well-being of Future Generations (Wales) Act 2015”, 5 ways of working.</p> <p><b>1. #ShapingSBUHB:</b></p> <ul style="list-style-type: none"> <li>○ <b>Long Term</b> – The campaign aims to build towards the future through increased employee engagement and improved staff experience and organisational culture in being an employer of choice for the current and future generation.</li> </ul>		

- **Prevention** – The #LivingOurValues element of the campaign is proactive, asking staff to pledge that they will challenge inappropriate behaviours but also to be accountable for their own behaviours. Creating this accountability reinforces our organisational values and behaviours, builds greater cohesion and reinforces zero tolerance of bullying.
- **Integration** – The campaign will support ‘A Healthier Wales’ in addressing bullying and harassment, positively impacting on the wellbeing of our workforce and attendance levels. The campaign will also help to create ‘A More Equal Wales’ as it will encourage individuals to challenge discriminatory behaviour and will also be bilingual to provide parity for the Welsh language.
- **Collaboration** – To maximise the success of the campaign we will be seeking to involve and gain support from as many people as possible across SBUHB.
- **Involvement** – To maximise the success of the campaign we will be seeking to involve and gain support from as many people as possible across SBUHB.

## 2. The Guardian Service:

The paper impacts on the Well-being of Future Generations (Wales) Act 2015 as it will impact on the long-term culture and behaviours of the organisation and its staff now and in the future. It aims to support staff, through working together to improve staff wellbeing and improve the quality of patient care and outcomes through early intervention and nipping concerns in the bud before they escalate.

<p><b>Report History</b></p>	<ul style="list-style-type: none"> <li>• Presented to Partnership Forum, 18<sup>th</sup> March 2019 - Addressing concerns around bullying in ABMU – Freedom to Speak up Service &amp; ACAS Training</li> <li>• Presented to Executive Team, 3<sup>rd</sup> April 2019 - Enhanced Raising Concerns – Appointment of The Guardian Service Ltd</li> <li>• Presented to Partnership Forum, 3<sup>rd</sup> June 2019 - #LivingOurValues campaign</li> <li>• Presented to Audit Committee – 15<sup>th</sup> July 2019 – Raising Concerns Report</li> <li>• Presentation from The Guardian Service Lt, Dr Simon McRory, Founder/Director - 16<sup>th</sup> July 2019, Special Partnership Forum</li> <li>• Presented to Partnership Forum, 24<sup>th</sup> September 2019 - #LivingOurValues &amp; Guardian Service Up-date</li> <li>• Presented to Senior Leadership Team, 2<sup>nd</sup> October 2019 - #LivingOurValues &amp; Guardian Service Up-date</li> <li>• Presented to Local Negotiating Committee, 7<sup>th</sup> November 2019 – Guardian Service Up-date &amp; #LivingOurValues</li> <li>• Presented to WOD Forum, 14<sup>th</sup> November 2019 - Guardian Service up-date &amp; #LivingOurValues</li> <li>• Presented to Audit Committee, 21<sup>st</sup> November 2019, Guardian Service &amp; #ShapingSBUHB</li> </ul>
<p><b>Appendices</b></p>	<p>Appendix 1, 2, and 3</p>

# Raising Concerns in Swansea Bay Health Board - The Guardian Service Ltd.

## Project Charter

**Project:** The Guardian Service

**Date Initiated:** November 2018

**Project Lead:** Julie Lloyd, Staff Experience & OD Manager

**Version:** 1

**Date Updated:** 23<sup>rd</sup> August 2019

**Project Sponsors:**

Executive Sponsor – Tracy Myhill, Chief Executive

Non-Executive Sponsor, Emma Woollett, Interim Chair

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## PROJECT DEFINITION

### Objectives

- To advise Executive Team on findings and recommendations, following the appraisal of options to enable Swansea Bay Health Board to provide a confidential, safe and effective pathway and process for staff to raise concerns.
- To tender and commission with an independent provider for staff to be able to raise concerns safely and confidentially.

### Project Stages

- **Stage 1 – Investigation:** Undertake research, connecting with stakeholders and colleagues in NHS England to inform an options appraisal into the Freedom to Speak up concept and other mechanisms available for staff to be able to raise concerns
- **Stage 2 - Tendering:** Work with procurement and a multidisciplinary panel to tender with an independent provider for staff to be able to raise work-related concerns effectively and safely.
- **Stage 3 - Commissioning:** Work with provider (The Guardian Service Ltd) and key stakeholders including Unions, HR, Wellbeing, Patient Feedback, Volunteers, Chaplaincy, Communications, Welsh Language, Information Governance, managers and staff at all levels to commission, launch and pilot the service for 12 months via a comprehensive, long-term communications strategy. Escalation path and processes to be identified, draft and published.
- **Stage 4 – Monitoring and Evaluation:** Work with provider for confidential monthly reporting of activity/contacts against themes, units and staff groups to Director of Workforce & OD and Chief Executive as Executive Sponsor. Reporting on an 8-weekly basis to Interim Chair and Non-Executive Sponsor. Reporting to Local Partnership Forum and Local Negotiating Committee agreed on a quarterly basis. Audit Report to be presented to Senior Leadership Team, Audit Committee and Board. Data to be triangulated with Patient complaints/compliments, ER Cases, Wellbeing, Union cases and incident reporting to provide a full evaluation of the benefits of the service.

### Critical Success Factors (project and organisational levels)

- Increase in the number of staff raising work related concerns (from 5 contacts within 7 months as per the previous internal service available).
- Increased timeliness of responses to concerns raised in line with RAG system – responses to any concern should be made within a minimum of 3 working days
- Increased culture of openness and honesty – less staff using anonymous comments and/or rumour line
- Reduction in the number of formal grievances raised and sickness absence (HR to provide figures)
- Increased sign posting to existing services as appropriate, such as wellbeing, Unions, HR, Patient Feedback, Chaplaincy
- Higher completion rate and engagement index than in 2018 (3.82) for future Staff Surveys
- Actions taken in response to recommendations from The Guardians Service at month 6 of the pilot.

### **Assumptions/Givens**

- The Guardian Service will replace the internal helpline available as part of the All Wales ‘Procedure for NHS Staff to Raise Concerns’, which is only a monitored e-mail address; [abm.raisingconcerns@wales.nhs.uk](mailto:abm.raisingconcerns@wales.nhs.uk)
- The Guardian service will not replace any other existing services available from HR, Unions, Wellbeing, Chaplaincy, Mediators and will sign post into the services as relevant
- The service will officially launch on 13<sup>th</sup> May 2019
- Swansea Bay will have 2 dedicated independent guardians and a dedicated free phone line for staff to make contact
- They will operate a 24/7 365 days a year providing an independent, confidential way for staff, volunteers and students to raise any work-related concern including those relating to patient safety.
- They do not offer legal advice, mediation or counselling
- The Guardians will not get involved in any formal organisational process until that process is complete
- The Guardians do not replace managers being required to investigate and resolve concerns raised

### **Constraints / Risks**

- It is still too early to know what the exact up-take for The Guardian Service will be.
- As we are the first Health Board in Wales to take forward the service, we can only refer to colleagues and Trusts in England that have taken it forward and use it to learn lessons as we test and trial the service.
- There is an ongoing need to manage perception around the service and educate managers and staff about the service to be clear that this is an additional avenue for staff to reach out in confidence and that it does not replace manager’s managing staff, trade union support, HR processes or wellbeing support available.

### **PROJECT MILESTONES / DELIVERABLES**

#	Milestones and Deliverables	Scheduled Date
1	Undertake research, connecting with stakeholders and colleagues in NHS England to inform an options appraisal into the Freedom to Speak up concept and other mechanisms available for staff to be able to raise concerns	September 2018 to November 2018
2	Open and honest dialogue with staff and partnership forum in regard to bullying concerns raised via Executive blogs, e-mails direct to Executives, HR, Unions and NHS Wales Staff Survey results	September 2018 on-going
3	Agreement from Executive Team to tender with External provider for staff to be able to raise concerns confidentially and safely 24/7	November 2018, communicated widely 20 <sup>th</sup> December 2018
4	Work with procurement and a multidisciplinary panel (including Board Staff Representation) to identify and tender with an independent provider for staff to be able to raise work-related concerns effectively, timely and safely.	13 <sup>th</sup> February 2019
4	Appointment of the Guardian Service Ltd	13 <sup>th</sup> February 2019
5	Work with provider (The Guardian Service Ltd) and key stakeholders to commission and launch the service	February to May 2019
6	Appointment of 2 dedicated independent guardians (undertaken externally by The Guardian Service Ltd) for Swansea Bay Health Board	4 <sup>th</sup> April 2019, commencing in post 7 <sup>th</sup> May 2019
7	Design, development and printing of tailored bilingual collateral as part of the communications strategy including posters, pull-up banners, business cards, postcards and pens	Delivered 1 <sup>st</sup> May 2019
8	Delivery of presentations to Senior Management Teams, Unit Team Briefs, Awareness Stands arranged across sites, presentations to Executive Team, Local Partnership Forum, Local Negotiating Committee, Values Led Induction, local departmental meetings as part of on-going promotion and communications strategy	February 2019 on-going. See attached.  Meeting Schedule.xlsx  v4 Latest Schedule of Key Events - Guar
9	Monthly reporting of activity and trends to Director of Workforce Chief Executive as Executive Sponsor and 8-weekly to Interim Chair as non executive sponsor	13 <sup>th</sup> June 2019 to 31 <sup>st</sup> May 2020
10	Director of Corporate Governance to be alerted to any 'Red' Category concerns in line with Public Interest Disclosure Act	13 <sup>th</sup> May 2019 on-going throughout contract

	1998.	
11	Work with stakeholders to triangulate data. Data to be triangulated with Patient complaints/compliments, ER Cases, Wellbeing, Union cases and incident reporting to provide a full evaluation of the benefits of the service.	May 2019 on-going
12	Monitoring and audit planned via: Senior Leadership Team Audit Committee Board	2 <sup>nd</sup> October 2019 21 <sup>st</sup> November 2019 28 <sup>th</sup> November 2019
13	Message promoting The Guardian Service added as a pop-up to the Datix system when staff go to submit an incident.	24 <sup>th</sup> October 2019
14	Commence investigation into re-commissioning of the service 6-months into pilot where benefits and recommendations will have started to be realized and reported.	Meeting with Procurement Lead 7 <sup>th</sup> November 2019

## RISKS & CONTINGENCIES

In commissioning the Guardian Service, a 'Protocol for Senior and Line Managers for Responding to Concerns Raised via The Guardian Service' has been produced for communication via the on-call distribution and arrangements, as guidance for executive and senior managers on call. It is to be read in conjunction with the All Wales 'Procedure for NHS Staff to Raise Concerns'. The protocol and procedure is attached below:



Protocol for Senior and Line Managers  
51. All Wales Information Governance

## Purpose of the paper

The purpose of this paper is to give insight to the progress and development of the service and recommendations from the themes arising from the cases received by the Raising Concerns Guardians.

## Promotion/Communication Visits

In the early stages it is important to develop a high-level communications plan. The communication plan has been developed for twelve months and is continuous in nature (weekly) through Guardian presentations to staff groups at team meetings, various sites across the health board and use of corporate wide communication channels.

The Raising Concerns Guardians also hold briefing sessions at induction on a monthly basis.

A total of 76 promotional visits have been held as at 31<sup>st</sup> October 2019.

## Number of concerns raised

There have been 41 concerns raised by staff from 13<sup>th</sup> May 2019, when the Guardian Service was introduced, until 31<sup>st</sup> October 2019.

Contact has been made from staff to the Raising Concerns Guardians via email (201), telephone (171) and face to face visits (51).

The Raising Concerns Guardians encourage face to face meetings but follow ups may be by telephone or email.

## Themes

The concerns raised are broken down into the following themes:

Themes	No. of concerns raised	%
Patient safety	3	7%
Management Concern	9	22%
System and Process	8	20%
Bullying and Harassment	12	29%
Discrimination and Inequality	2	5%
Behavioural / Relationship	5	12%
Other	2	5%
<b>TOTAL</b>	<b>41</b>	<b>100%</b>

The System and Process concerns relates to grievance / disciplinary process (4), job roles, ward access and service delivery (2). The “other” theme relates to concerns raised from staff that do not fall within the above categories. **To re-confirm, The Guardian Service does not intervene in formal Employee Relations Cases, however it is important to share feedback received in listening to staff as part of initial scoping of a concern.**

The outcome of the bullying and harassment concerns raised that are closed:

<b>Outcome of bullying and harassment concerns raised</b>	<b>Number</b>	<b>%</b>
Informally resolved with Guardian support	1	25%
Decided not to take forward	2	50%
Resignation	1	25%
<b>TOTAL</b>	<b>4</b>	<b>100%</b>

### **Staff Groups**

Detailed below are the staff groups who have raised concerns. The staff group is defined by the NHS.

<b>Staff Groups</b>	<b>Number</b>	<b>%</b>
Additional Clinical Services	2	5%
Administrative and Clerical	16	39%
Allied Health Professional	3	7%
Medical and Dental	3	7%
Nursing and Midwifery Registered	6	15%
Estates and Ancillary	1	2.5%
Healthcare Scientists	1	2.5%
Role not confirmed	9	22%
<b>TOTAL</b>	<b>41</b>	<b>100%</b>

### **Patient safety**

There have been three patient safety issues. One is an open case, another was in relation to staff shortages. The third issue has resulted in an action plan being developed and various meetings are being held to ensure implementation.

### **The reason why staff use the Guardian Service**

<b>Reason</b>	<b>Number</b>	<b>%</b>
Fear of damage to career	13	32%
Fear of losing job	3	7%
Fear of reprisal	12	29%
Believe they will not be listened to	4	10%

Believe the organization will not take action	7	17%
Have raised the concern before but have not been listed to / nothing has been done	2	5%
<b>TOTALS</b>	<b>41</b>	<b>100%</b>

### Cases by Directorates

The table below shows the number of concerns raised per directorate.

<b>Directorate</b>	<b>Number</b>	<b>%</b>
Morrison Delivery Unit	10	24%
Singleton Delivery Unit	10	24%
Neath Port Talbot Delivery Unit	8	20%
Primary & Community Services Delivery Unit	2	5%
HQ	5	12%
Not confirmed	6	15%
<b>TOTALS</b>	<b>41</b>	<b>100%</b>

### Action taken to improve speak up culture

#### Action taken to address themes

- In some instances, staff contact the Raising Concerns Guardian because a grievance process is taking too long. The Raising Concerns Guardian is able to explain the complexities and time constraints that may arise during an investigation, however is unable to intervene until after the case has been closed.
- The Raising Concerns Guardians supports staff by highlighting the benefit of facilitated or mediated meetings, and there is anecdotal evidence that the intervention of the Guardian Service has avoided a formal grievance.
- The Raising Concern Guardians guide and support staff to raise and take forward their concerns themselves by advising on the options available to them.

#### Communication and escalation

- The Raising Concerns Guardians attend meetings and events to brief staff about the service, which encourages staff to be aware of and use the service.
- The Raising Concerns Guardians become empathetic listeners when a staff member wishes to offload. However, as per our mandate we do not get involved in any internal disciplinary or grievance process. Staff are informed of this at the outset however Raising Concerns Guardians are available to listen in these

situations, and we inform the staff member of this position. We are here to listen in these situations which promotes the Speaking Up culture.

- Monthly meetings are held with the Director of HR to talk through the monthly activity reports which includes themes and outcome of cases. No individual can be identified by the report therefore keeping staff members' confidentiality. Eight weekly meetings are also held with the Acting Chair.
- Where an issue is agreed for escalation the system is used as follows:

<b>Red</b>	These scenarios require immediate escalation and response within 12 hours
<b>Amber</b>	A response is required within 48 hours
<b>Green</b>	A response is required with 72 hours

### Learning and Improvement

- The Raising Concerns Guardians attend monthly Guardian Service meetings where difficult concerns raised are discussed, peer support and learning gained and good practice shared. Again, confidentiality is held at all times and no individual is identified.
- As the Guardian Service has clients across a number of NHS Trusts, we are in a position to compare and contrast best practice approaches in respect to policy, service implementation and organisational response.

### Recommendations

- While the commitment of the Board and Executive team at Swansea Bay University Health Board to the Guardian Service has been excellent, consideration needs to be given to publicising personal commitments from each member with regard to "raising concerns" in order to further cement to staff that the Board/Executive team are committed to the "Raising Concerns" Policy.
- The issue of staff retention/turnover is a common theme from contacts and their needs to be a concerted effort to publicise to staff the considerable extent of the efforts being undertaken to recruit staff. The perception is that the Board are doing little.
- There has been some comment at the lack of a consistent policy with regard to exit interviews and where they have taken place and any actions/review being undertaken to learn any lessons.

- Staff are reporting that the length of time taken for grievances to be heard is too long and exceeds the policy. Regular communication with staff and keeping them updated with the reason for delay is important. This will also help encourage staff to further raise any concerns.
- A continued programme of communication and engagement sessions required to promote the Guardian Service to all staff groups wherever they are located, as there are still areas that are not aware of the service despite the excellent programme so far undertaken.
- There has been much work on “Living our Values” but there are clearly areas where the philosophy is as yet not embedded which causes issues as there is disagreement between staff. Real progress has been made especially with new staff, but there is still much to do particularly with regard to more established staff. Part of the embedding of the Values includes changing the culture that lets people believe they do not have the right to be treated well at work.



**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
RAISING PROFESSIONAL STANDARDS

## One-Month Review October

**Report for:** SBU  
**Prepared by:** June-Anne Murray  
**Date:** 31-10-19



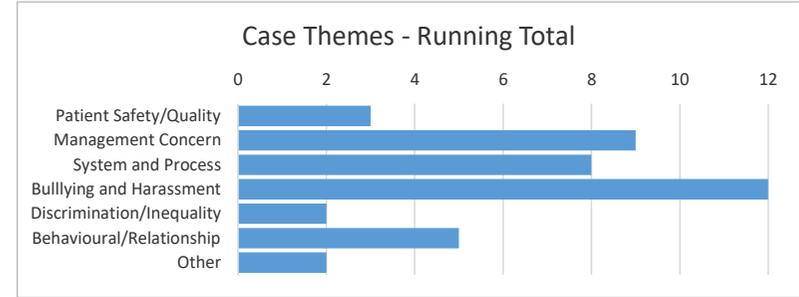
# The Guardian Service

Month:

October

## Visits

<b>This Month</b>	Number of case related visits	<b>15</b>
<b>This Month</b>	Number of Promotion / Communication Visits	<b>13</b>
<b>Year to date</b>	Number of case related visits	<b>51</b>
<b>Year to date</b>	Number of Promotion / Communication Visits	<b>76</b>



## Cases

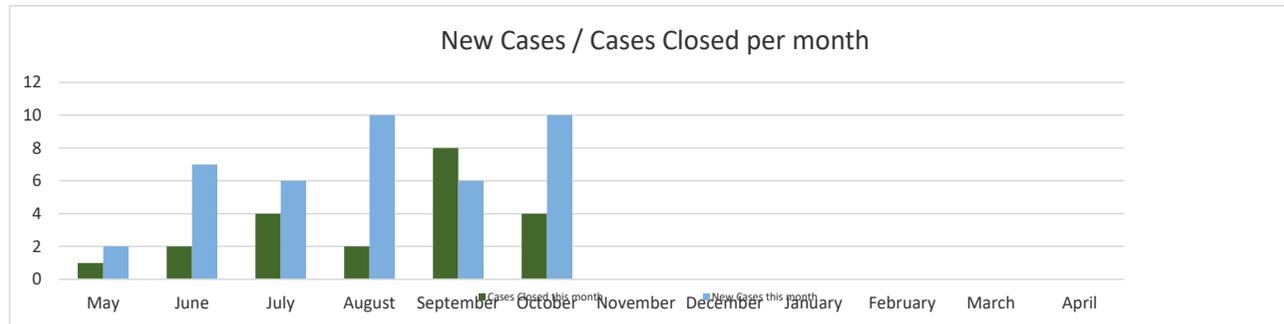
<b>This Month</b>	Number of new cases	<b>10</b>
<b>This Month</b>	Number of Cases Closed	<b>4</b>
<b>Year to date</b>	Total Number of Cases	<b>41</b>
<b>Year to date</b>	Number of Cases Open	<b>20</b>
<b>Year to date</b>	Number of Cases Closed	<b>21</b>

## Contact

<b>This month</b>	Email	<b>4</b>
	Telephone	<b>68</b>
	Face to face	<b>15</b>
<b>This Year</b>	Email	<b>201</b>
	Telephone	<b>171</b>
	Face to face	<b>51</b>

## Themes

<b>This Month</b>	Patient Safety/Quality	
	Management Concern	<b>1</b>
	System and Process	
	Bullying and Harassment	<b>5</b>
	Discrimination/Inequality	<b>1</b>
	Behavioural/Relationship	<b>2</b>
	Other	<b>1</b>



## Outcomes

<b>This Month</b>	Written/Verbal Outcome	<b>1</b>
	Ongoing	<b>7</b>
	Chose not to pursue	<b>2</b>

## No. of cases to date





# The Guardian Service

Month:

 October  
**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
RAISING PROFESSIONAL STANDARDS

## Case Status by Themes

Case Number	Start Month	Status		Patient Safety/Quality	Management Concern	System and Process	Bullying and Harassment	Discrimination/ Inequality	Behavioural/ Relationship	Other	"Other" Description
		Open	Closed								
SB1	May		x			1					
SB2	May		x						1		
SB3	June		x		1						
SB4	June		x	1							
SB5	June	x					1				
SB6	June	x			1						
SB7	June		x			1					
SB8	June		x		1						
SB9	June		x		1						
SB10	July	x		1							
SB11	July		x			1					
SB12	July		x					1			
SB13	July		x			1					
SB14	July		x						1		
SB15	July		x		1						
SB16	August	x								1	Various issues
SB17	August		x				1				
SB18	August		x		1						
SB19	August		x				1				
SB20	August		x		1						
SB21	August	x					1				
SB22	August	x					1				
SB23	August		x		1						
SB24	August	x					1				
SB25	August	x		1							
SB26	September	x							1		
SB27	September	x				1					
SB28	September		x			1					
SB29	September	x				1					
SB30	September	x				1					



Month:

October

# The Guardian Service

## Case Status by Themes

Case Number	Start Month	Status		Patient Safety/Quality	Management Concern	System and Process	Bullying and Harassment	Discrimination/ Inequality	Behavioural/ Relationship	Other	"Other" Description
		Open	Closed								
SB31	September	x					1				
SB32	October	x					1				
SB33	October	x			1						
SB34	October	x					1				
SB35	October	x					1				
SB36	October	x								1	Issues regarding job role
SB37	October		x				1				
SB38	October	x							1		
SB39	October		x				1				
SB40	October	x						1			
SB41	October		x						1		
<b>Totals</b>		20	21	3	9	8	12	2	5	2	

### Comments

Management concern relate to the following: Behaviour (2), not supported (2), process (2), style (3)

### Current Open Cases

<span style="background-color: red; width: 20px; height: 15px; display: inline-block;"></span>	No. of Cases =	<input type="text" value="1"/>
<span style="background-color: yellow; width: 20px; height: 15px; display: inline-block;"></span>	No. of Cases =	<input type="text" value="12"/>
<span style="background-color: green; width: 20px; height: 15px; display: inline-block;"></span>	No. of Cases =	<input type="text" value="5"/>
<span style="border: 1px solid gray; padding: 2px;">NR</span>	No. of Cases =	<input type="text" value="2"/>



Month:

October  
**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
 RAISING PROFESSIONAL STANDARDS

# The Guardian Service

## Case Status by Role

Case Number	Start Month	Status		Add Prof Scientific and Technic	Additional Clinical Services	Administrative and Clerical	Allied Health Professionals	Estates and Ancillary	Healthcare Scientists	Medical and Dental	Nursing and Midwifery Registered	Students
		Open	Closed									
SB1	May		x			1						
SB2	May		x			1						
SB3	June		x			1						
SB4	June		x			1						
SB5	June	x								1		
SB6	June	x			1							
SB7	June		x									
SB8	June		x					1				
SB9	June		x								1	
SB10	July	x								1		
SB11	July		x									
SB12	July		x									
SB13	July		x									
SB14	July		x									
SB15	July		x						1			
SB16	August	x								1		
SB17	August		x			1						
SB18	August		x			1						
SB19	August		x								1	
SB20	August		x		1							
SB21	August	x				1						
SB22	August	x				1						
SB23	August		x								1	



Month:

October  
**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
 RAISING PROFESSIONAL STANDARDS

# The Guardian Service

## Case Status by Role

Case Number	Start Month	Status		Add Prof Scientific and Technic	Additional Clinical Services	Administrative and Clerical	Allied Health Professionals	Estates and Ancillary	Healthcare Scientists	Medical and Dental	Nursing and Midwifery Registered	Students
		Open	Closed									
SB24	August	x				1						
SB25	August	x									1	
SB26	September	x				1						
SB27	September	x										
SB28	September		x									
SB29	September	x										
SB30	September	x										
SB31	September	x				1						
SB32	October	x				1						
SB33	October	x				1						
SB34	October	x				1						
SB35	October	x				1						
SB36	October	x									1	
SB37	October		x				1					
SB38	October	x									1	
SB39	October		x				1					
SB40	October	x					1					
SB41	October		x			1						
<b>Totals</b>		20	21		2	16	3	1	1	3	6	

Comments: Please note that some staff are not willing to tell you their role.



Month:

October

# The Guardian Service

## Case Outcomes

Case Number	Start Month	Status		Written / Verbal Outcome	Open	Chose not to pursue
		Open	Closed			
SB1	May		x	1		
SB2	May		x			1
SB3	June		x			1
SB4	June		x			1
SB5	June	x			1	
SB6	June	x			1	
SB7	June		x			1
SB8	June		x			1
SB9	June		x			1
SB10	July	x			1	
SB11	July		x			1
SB12	July		x			1
SB13	July		x			1
SB14	July		x			1
SB15	July		x			1
SB16	August	x			1	
SB17	August		x	1		
SB18	August		x			1
SB19	August		x	1		
SB20	August		x			1
SB21	August	x			1	
SB22	August	x			1	
SB23	August		x	1		
SB24	August	x			1	
SB25	August	x			1	
SB26	September	x			1	
SB27	September	x			1	
SB28	September		x			1

## Why Use the Guardian Service? (Year to Date)

Reason	No.	%
Fear of damage to career	13	32%
Fear of losing job	3	7%
Fear of reprisal	12	29%
Believe they will not be listened to	4	10%
Believe the organisation will not take action	7	17%
Have raised the concern before but have , not been listened to / nothing has been done	2	5%
<b>Totals</b>	<b>41</b>	<b>100%</b>

## Confidentiality - Year to Date

	No.	%
Keep it Confidential with Guardian Service remit	36	88%
Permission to escalate with names	4	10%
Permission to escalate anonymously	1	2%
<b>Totals</b>	<b>41</b>	<b>100%</b>



Month:

October  
**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
 RAISING PROFESSIONAL STANDARDS

# The Guardian Service

## Case Outcomes

Case Number	Start Month	Status		Written / Verbal Outcome	Open	Chose not to pursue
		Open	Closed			
SB29	September	x			1	
SB30	September	x			1	
SB31	September	x			1	
SB32	October	x			1	
SB33	October	x			1	
SB34	October	x			1	
SB35	October	x			1	
SB36	October	x			1	
SB37	October		x			1
SB38	October	x			1	
SB39	October		x			1
SB40	October	x			1	
SB41	October		x	1		
<b>Totals</b>		20	21	5	20	16



# The Guardian Service

Month:

 October  
**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
RAISING PROFESSIONAL STANDARDS

## Outcomes and Actions By Case

Case Number	Start Month	Status		(Date)	Escalation (To Whom)	Org. Response Time (Days)	Action Taken	Outcomes
		Open	Closed					
SB1	May		x	22-05-19	Information Governance Manager	same day	Spoke to manager regarding concern raised	Feedback given to staff member
SB2	May		x					Chose not to pursue
SB3	June		x					Chose not to pursue
SB4	June		x					Chose not to pursue
SB5	June	x						
SB6	June	x						
SB7	June		x					Chose not to pursue
SB8	June		x					Chose not to pursue
SB9	June		x					Chose not to pursue
SB10	July	x		08-07-19	Medical Director	same day	Action to be taken shared with staff	
SB11	July		x					Chose not to pursue
SB12	July		x					Chose not to pursue
SB13	July		x					Chose not to pursue
SB14	July		x					Chose not to pursue
SB15	July		x					Chose not to pursue due to personal circumstances
SB16	August	x						
SB17	August		x					Member of staff resigned
SB18	August		x					Chose not to pursue
SB19	August		x					Problem resolved by member of staff
SB20	August		x					
SB21	August	x		04-09-19	Director of Workforce and OD	same day	Member of staff on sick leave so unable to proceed until their return to work	
SB22	August	x		04-09-19	Director of Workforce and OD	same day	Meeting arranged with manager	
SB23	August		x	2.9.19	Matron	same day	Plan in place to resolve issues and expedite return to work	Plan in place to resolve issues and expedite return to work
SB24	August	x						
SB25	August	x						
SB26	September	x						
SB27	September	x						



Month:

October

**THE GUARDIAN SERVICE**  
PROTECTING YOUR CONFIDENTIALITY ADVOCATING PATIENT CARE  
 RAISING PROFESSIONAL STANDARDS  
**Outcomes**

# The Guardian Service

## Outcomes and Actions By Case

Case Number	Start Month	Status		(Date)	Escalation (To Whom)	Org. Response Time (Days)	Action Taken
		Open	Closed				
SB28	September		x				Chose not to pursue
SB29	September	x					
SB30	September	x					
SB31	September	x					
SB32	October	x					
SB33	October	x					
SB34	October	x					
SB35	October	x					
SB36	October	x					
SB37	October		x				Chose not to pursue
SB38	October	x					
SB39	October		x				Chose not to pursue
SB40	October	x					
SB41	October		x				Signposted to PALS team

Totals	20	21
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Month:

# The Guardian Service

## Cases by Directorate - Current Month and Cumulative Totals

	October	Year To Date
Morrison Delivery Unit	2	10
Singleton Delivery Unit	4	10
Neath Port Talbot Delivery Unit		8
Primary & Community Services Delivery Unit		2
Mental Health & Learning Disabilities Delivery Unit		
Workforce & OD		
Finance		
Informatics		
Director of Corporate Governance		
Director of Strategy		
Estates & Facilities		
Medical Directors Department		
Corporate Nursing Department		
HQ	3	5

Comments: Six members of staff did not confirm their area of work.



Month:

October

# The Guardian Service

## Appendix Job Groups

### Additional Prof., Scientific and Technical

Chaplain  
Clinical Psychologist  
Optometrist  
Pharmacist  
Practitioner  
Psychotherapist  
Social Worker  
Technician

### Additional Clinical Services

Apprentice  
Assistant/Associate Practitioner  
Counsellor  
Health Care Support Worker  
Healthcare Assistant  
Healthcare Science Assistant  
Healthcare Science Associate  
Helper/Assistant  
Nursery Nurse  
Phlebotomist  
Play Specialist  
Pre-reg Pharmacist  
Psychological Wellbeing Practitioner - Qualified  
Student Technician  
Technical Instructor  
Technician  
Trainee Healthcare Scientist  
Trainee Scientist

### Estates and Ancillary

Driver  
Support Worker

### Allied Health Professionals

Chiropodist/Podiatrist Consultant  
Dietitian  
Multi Therapist  
Occupational Therapist  
Orthoptist  
Physiotherapist  
Physiotherapist Manager  
Radiographer - Diagnostic  
Radiographer - Diagnostic, Manager  
Radiographer - Therapeutic  
Speech and Language Therapist

### Medical and Dental

Associate Specialist (Closed)  
Clinical Assistant  
Consultant  
Foundation Year 1  
Foundation Year 2  
Senior House Officer (Closed)  
Specialist Registrar (Closed)  
Specialty Doctor  
Specialty Registrar  
Staff Grade (Closed)  
Trust Grade Doctor - Career Grade level  
Trust Grade Doctor - SHO Level (Closed)  
Trust Grade Doctor - Specialty Registrar

### Students

Student Midwife  
Student Nurse - Adult Branch  
Student Nurse - Child Branch

### Nursing and Midwifery Registered

Midwife  
Midwife - Consultant  
Midwife - Manager  
Midwife - Specialist Practitioner  
Modern Matron  
Nurse Manager  
Sister/Charge Nurse  
Specialist Nurse Practitioner  
Staff Nurse

### Administrative and Clerical

Accountant  
Adviser  
Apprentice  
Board Level Director  
Chair  
Chief Executive  
Clerical Worker  
Manager  
Medical Secretary  
Non Executive Director  
Officer  
Receptionist  
Researcher  
Secretary  
Senior Manager  
Technician

### Healthcare Scientists

Biomedical Scientist (Closed)  
Consultant Healthcare Scientist  
Healthcare Science Practitioner  
Healthcare Scientist