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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	14 June 2022	Agenda Item	2.2
Report Title	Deep Dive into Speaking Up Safely in SBUHB, 2021-22		
Report Author	Julie Lloyd, OD & Staff Experience Manager		
Report Sponsor	Debbie Eyitayo, Director for Workforce & OD		
Presented by	Julie Lloyd, OD & Staff Experience Manager		
Freedom of Information	Open		
Purpose of the Report	The purpose of this paper is to provide a deep dive into Speaking Up Safely in SBUHB, including the end of year report for the period of 1 st April 2021 to 31 st March 2022 from The Guardian Service Ltd.		
Key Issues	<p>There is significant research, which confirms that a positive staff experience in Health Care links to positive outcomes and experience for our patients. Staff being able to raise concerns in a confidential and safe way is an important part of enabling staff to feel happy and engaged in work, supports staff retention and will help us to keep improving our services to patients and the working environment for our staff. This could not be more prevalent in the current post pandemic climate and the need to progress organisational recovery and sustainability.</p> <p>The Guardian Service has been available as an additional way for staff, students and volunteers to raise work-related concerns independently, anonymously and 24/7 within SBUHB since May 2019 and it continues to be an integral part of implementing our culture change programme and supporting our Health Board Values to become a lived experience for all.</p> <p>In evaluating the impact of the Guardian Service Ltd to date and for the last 12 months, the following points should be noted as key deliverables/outcomes:</p> <ul style="list-style-type: none"> • Provision of an independent, safe, confidential, bilingual service for staff, volunteers and students to raise any work-related concerns • Available 24/7, 365 days a year - majority of contacts are reported to want to meet outside of work hours • As a Health Board, we listened to staff and delivered what they asked for • The number of staff raising concerns and speaking up has significantly increased (from the former 		

	<p>internal process – only 5 concerns raised between November 2018 and May 2019)</p> <ul style="list-style-type: none"> • Progress towards our aim of creating a culture of openness and honesty, with 74.32% of contacts wanting to keep their concern confidential within the remit of the Guardian Service (an improvement of 20% in the last 12 months). • Number of concerns raised aligned to the 100 projected per year for the size of the organisation (96 by the end of the first 12 months). See Table 1 below for a comparison of activity by financial year to date. It shows how the service is continuing to be accessed with dips in access aligned to waves of the pandemic and staff capacity over the last 2 years. • 231 staff listened to/spoken up and or sign posted in confidence (May 2019 to March 2022) • 178 concerns resolved/closed (77% of total concerns raised to date, May 2019 to March 2022) • Provides an infrastructure to support and deliver the All Wales 'Procedure for NHS Staff to Raise Concerns' and the expectation to improve raising concerns across NHS Wales by Welsh Government • Compliant with the Welsh Active Offer with the service now available to contacts in Welsh. • The service is positively received by those contacts completing the anonymous feedback forms after using the service and raising a concern. • This year, there have been 104 promotional/communications visits (including evenings and weekends). <p>Appendix 1 provides the latest cumulative activity report from the Guardian Service for March 2022, appendix 2 provides a copy of an End of Year Report from the Guardian Service, including their findings and recommendations for action and appendix 3 provides a high-level dashboard detailing some of the data triangulation with wider Workforce data.</p>			
Specific Action Required (please choose one only)	Information	Discussion	Assurance	Approval
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> • Note the up-date speaking up safely within SBUHB and recommendations detailed in the End of Year Report from The Guardian Service for 1st April 2021 to 31st March 2022. 			

Deep Dive into Speaking Up Safely in SBUHB, 2021-22

1. INTRODUCTION

The purpose of this paper is to provide a deep dive into Speaking Up Safely in SBUHB, including the end of year report for the period of 1st April 2021 to 31st March 2022 from The Guardian Service Ltd.

2. BACKGROUND

2.1 Historical Context

There is significant research which confirms that a positive staff experience in Health Care links to positive outcomes and experience for our patients. Staff being able to raise concerns in a confidential and safe way is an important part of enabling staff to feel happy and engaged in work and will help us to keep improving our services to patients and the working environment for our staff. This could not be more prevalent in the current climate of an on-going pandemic and the need to progress organisational recovery and sustainability.

Prior to the Guardian Service being commissioned, there was evidence of the clear need to focus on addressing Bullying within ABMU (our predecessor organisation), in line with improving the experience and wellbeing of our staff and ultimately leading to better patient experience and outcomes. Evidence to support the need to address it included the tragic outcome of an inquest at that time, into the suicide of one of our staff. It was also the significant volume of responses to both the Chief Executive and Director of Workforce & OD's intranet blogs and the volume of e-mails of this nature sent direct to them both, as well as issues reported via Partnership Forum and e-mails received via the Raising Concerns Inbox, previously monitored by the OD & Staff Experience Team.

Both the 2018 and 2020 NHS Wales Staff Survey results also confirmed there is still the need to focus on Healthier Working Relationships and improving behaviours and culture across the organisation and NHS Wales. As a reminder, the 2020 national survey responses were as follows from those who said they had experienced bullying, harassment and abuse from:

- their manager - **9.1%**
- another colleague - **16.2%**
- a member of the public – **14.8%**

2.2 Progress to Date

The Guardian Service has been available as an additional way for staff, students and volunteers to raise work-related concerns independently, anonymously and 24/7 within SBUHB since May 2019 and it continues to be an integral part of implementing our culture change programme and supporting our Health Board Values to become a lived experience for all.

In evaluating the impact of the Guardian Service Ltd cumulatively to date, the following points should be noted as key deliverables/outcomes:

- Provision of an independent, safe, confidential, bilingual service for staff, volunteers and students to raise any work-related concerns

- Available **24/7, 365 days** a year - majority of contacts are reported to want to meet outside of work hours
- As a Health Board, we **listened** to staff and **delivered** what they asked for
- The number of staff raising concerns and speaking up has significantly **increased** (from the former internal process – only **5** concerns raised between November 2018 and May 2019)
- Progress towards our aim of creating a culture of openness and honesty, with **74.32%** of contacts wanting to keep their concern confidential within the remit of the Guardian Service (an **improvement of 20%** in the last 12 months).
- Number of concerns raised in a year aligned to the 100 projected for the size of the organisation (**96** by the end of the first 12 months). See Table 1 below for a comparison of activity by financial year to date. It shows how the service is continuing to be accessed with dips in access aligned to waves of the pandemic and staff capacity over the last 2 years.

Table 1.

Month	Contacts per month 2019-20	Contacts per month 2020-21	Contacts per month 2021-22
May	2	5	10
June	7	8	5
July	6	4	5
August	10	10	5
September	6	5	10
October	10	6	6
November	9	5	8
December	11	4	3
January	6	2	6
February	14	4	4
March	10	8	6
Total for period	91	61	68

- **231 staff** listened to/spoken up and or sign posted in confidence (May 2019 to March 2022)
- **178 concerns resolved/closed** (77% of total concerns raised to date, May 2019 to March 2022)
- Provides an infrastructure to support and deliver the All Wales '**Procedure for NHS Staff to Raise Concerns**' and the expectation to improve raising concerns across NHS Wales by Welsh Government
- Compliant with the Welsh Active Offer with the service now available to contacts in Welsh.
- The service is positively received by those contacts completing the anonymous feedback forms after using the service and raising a concern.

Following presenting the last Guardian Service Activity Report for April 2021 to August 2021 to Executive Team, the subsequent actions have been taken in order to maximise the benefits of the service for SBUHB.

1. Enhanced Communication and Promotion of the Service

A hybrid communication and promotions plan, comprising of both on-site and virtual awareness raising commenced in February 2022, following Government restrictions being lifted. This year, there have been **104 promotional/communications visits** (including evenings and weekends).

In addition, The Guardian Service along with other staff support services are promoted via the Health Board's Staff Briefing from the CEO, Virtual Induction for new starters, via Wellbeing, periodically via the quarterly Staff Experience e-Newsletter and via the Staff Experience SharePoint Site, The Guardian Service's dedicated Intranet/staff internet pages, ESR, Datix and via relevant campaigns such as Adult Learners Week and Anti-bullying Week as well as leadership development programmes, such as Footprints, Bridges and REACT Mental Health Training.

New, up-dated promotional material has been produced by The Guardian Service for use and display (infection control compliant) widely across the Health Board. The new resources will be bilingual and include a QR code for staff to quickly and confidentially access details of the service on their personal devices without the need to have access to a work PC or be concerned about being seen writing down the contact details.

Work continues to foster positive relationships with Trade Union Partners and has been reported encouraging from the Guardians, to see some increase in engagement. It is important to raise that [April's Stress Awareness Month Bulletin](#) resulted in a concerning number of 'anonymous' comments from staff raising issues in respect of culture and behaviour. In response, we published a bulletin promoting all of the ways that staff can speak up safely across the organisation, whilst enabling a response and where possible, a resolution or outcome. There is currently work taking place on a new Workforce & OD SharePoint site for staff where Speaking Up Safely can have a dedicated, easy access section and see the integration of support available and be clear on where to go.

Who can you talk to?

Swansea Bay University Health Board resources



2. Duty of Candour

In line with the recent change in legislation, the operational lead has met with the Executive Director of Nursing and those leading on the work in Welsh Government to ensure Swansea Bay UHB is compliant with the Duty of Candour in the operation of the Guardian Service from March 2022. The lead has also ensured connections have been made between the Duty of Candour Leads and the Lead for the National Speak Up Safely Group to ensure there isn't any duplication in the work being taken forward.

3. Visible Leadership and Internal Communications

Whilst the guardians have been complimentary on the responsiveness of our managers when taking a concern to them, concerns were raised by Executive Team on hearing from the most recent Guardian Service Report and discussing the reason that staff use the service. March 2021's report highlighted the main reason was due

to staff believing that they won't be listened to (43.94%). March 2022's report however, highlighted the main reason for using the service is due to staff feeling they *have* raised the concern through other Health Board channels, but have not been listened to / nothing has been done (41.89%) and it is worth noting that other reasons for using the service including; fear of damage of career, losing job and reprisal are on the increase. As a result of sharing similar findings following August's report with Executive Team, an action was raised around the need to focus on visible leadership and internal communications.

Since April 2021, a total of **456** leaders and managers have attended leadership development programmes including; Footprints, Bridges, Managers Pathway, the Consultant Development Programme, Coaching Skills and our recently launched 2-day Courageous Conversations Workshop. During March 2022, **55** managers also attended the 'Civility Saves Lives' sessions currently rolling out to embed the Health Working Relationships agenda and associated Respect & Resolution Policy.

Data is being shared and triangulated on a monthly basis with HR Business Partners and OD Leads, the Patient Feedback Team, Datix, the mediation co-ordinator and the Healthy Working Relationships and Just Project Lead in order to gain a picture of hot spot areas and enable targeted prioritisation of OD support. Appendix 3 provides a high-level dashboard detailing some of the triangulation with wider Workforce data.

2.3 Guardian Service End of Year Report – April 2021 to March 2022

During the last 12 months (1st April 2021 to 31st March 2022) there have been **74 concerns** raised. Importantly, **44 cases (59%)** have been also been resolved/closed during this period in spite of the on-going impact of the pandemic.

A copy of the End of Year report and recommendations from the Guardian Service is provided in appendix 1 and appendix 2 provides a copy of March's cumulative activity.

2.4 Speak Up Safely – Sub-group of Welsh Partnership Forum

The subgroup of Welsh Partnership forum set up to discuss and develop proposals for an All Wales approach to Raising Concerns has received the findings and recommendations from research undertaken by Professor Aled Jones of Cardiff University in relation to Freedom to Speak Up in NHS England (based mainly on internal Speak Up Guardians) which has been further supported by a recent article in the Nursing Times (31st March 2022) that talked about a decline in the speaking up culture in NHS England in spite of it being a mandate and monitoring by the National Guardian Office (NGO).

The sub-group has also undertaken an evaluation into the current/existing arrangements across NHS Wales for staff to speak up and raise concerns, which is to be shared with Welsh Partnership Forum. A framework and toolkit is currently being developed by the sub-group to supplement and enhance the All Wales Procedure for NHS Staff Raising Concerns and this work is to be linked with the Healthy Working Relationship agenda and Just & Learning Culture implementation.

3 GOVERNANCE AND RISK ISSUES

- As we remain the first and 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 monitor and evaluate the service.
- There is still the 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.
- As we continue to take a multi-faceted, multi-levelled approach as part of the Healthier Working Relationships agenda, improving partnership working with staff side and developing an organisational culture of openness, honesty and trust, it is difficult to fully evaluate the benefits of The Guardian Service and are unable to attribute reductions in disciplinary and grievance cases purely to the Guardian 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.
- As previously committed, the Local Partnership Forum will be offered to engage in a full evaluation of the Guardian Service.

4 RECOMMENDATION

Members are asked to:

- Note the up-date on speaking up safely within SBUHB and recommendations for action detailed in the End of Year Report from The Guardian Service for 1st April 2021 to 31st March 2022.

Governance and Assurance		
Link to Enabling Objectives (please choose)	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	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"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	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"/>
Health and Care Standards		
(please choose)	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"/>
Quality, Safety and Patient Experience		
<p>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>		
Legal Implications (including equality and diversity assessment)		
<p>It is important to consider the internal policies and the legislation which are linked to the provision of a confidential, safe and effective pathway and process for staff to raise concerns.</p> <p>Internal policies include but are not limited to –</p> <ul style="list-style-type: none"> -Grievance Policy -Disciplinary Policy -Dignity at Work Policy -Raising Concerns Policy <p>Public Interest Disclosure Act 1998</p> <p>If workers bring information about a wrongdoing to the attention of their employers or a relevant organisation, they are protected in certain circumstances under the Public Interest Disclosure Act 1998. This is commonly referred to as 'blowing the whistle'. The law that protects whistle-blowers is for the public interest - so people can speak out if they find malpractice in an organisation. Blowing the whistle is more formally known as 'making a disclosure in the public interest'.</p>		

Staffing Implications	
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.	
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)	
Briefly identify how the paper will have an impact of the “The Well-being of Future Generations (Wales) Act 2015”, 5 ways of working.	
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.	
Report History	<ul style="list-style-type: none"> • Presented to Partnership Forum, 18th March 2019 - Addressing concerns around bullying in ABMU – Freedom to Speak up Service & ACAS Training • Presented to Executive Team, 3rd April 2019 - Enhanced Raising Concerns – Appointment of The Guardian Service Ltd • Presented to Partnership Forum, 3rd June 2019 - #LivingOurValues campaign • Presented to Audit Committee – 15th July 2019 – Raising Concerns Report • Presentation from The Guardian Service Lt, Dr Simon McRory, Founder/Director - 16th July 2019, Special Partnership Forum • Presented to Partnership Forum, 24th September 2019 - #LivingOurValues & Guardian Service Up-date • Presented to Senior Leadership Team, 2nd October 2019 - #LivingOurValues & Guardian Service Up-date • Presented to Local Negotiating Committee, 7th November 2019 – Guardian Service Up-date & #LivingOurValues • Presented to WOD Forum, 14th November 2019 - Guardian Service up-date & #LivingOurValues • Presented to Audit Committee, 21st November 2019, Guardian Service & #ShapingSBUHB • Presented to Senior Leadership Team, 4th December 2019 – Retendering of an independent service for Staff to Raise Work-related Concerns • Presented to IBG, 19th December 2019 - Retendering of an independent service for Staff to Raise Work-related Concerns

	<ul style="list-style-type: none"> • Presented to Partnership Forum, 13th March 2020 - #LivingOurValues & The Guardian Service Up-date • Presented to Partnership Forum, 22nd October 2020 - The Guardian Service Ltd. End of Year Report • Presented to SLT, 4th November 2020 – The Guardian Service Ltd. End of Year Report and Decision to Contract • Presented to Audit Committee, 12th November 2020 – The Guardian Service Ltd. End of Year Report • Presented to Full Board, 26th November 2020 - The Guardian Service Ltd. End of Year Report • Presented to Executive Board, 28th April 2021 – The Guardian Service Ltd End of Year Report • Presented to LNC, 18th May 2021 – The Guardian Service Ltd End of Year Report • Presented to Quality & Safety Committee, 25th May 2021 – The Guardian Service Ltd End of Year Report • Presented to WOD Committee, 15th June 2021 - The Guardian Service Ltd End of Year Report • Presented to Executive Team, 22nd September 2021 - The Guardian Service Ltd. Up-date Report – 1st April 2021 to 31st August 2021 • Presented to WOD Committee, 12th October 2021 – A Deep Dive into the Guardian Service Ltd. • Presented to LNC, 18th January 2022 – Speak Up Safely Up-date • Presented to Audit Committee, 19th May 2022 – The Guardian Service End of Year Report, 1st April 2021 to 31st March 2022
Appendices	Appendix 1, 2 and 3.



Report Title **GUARDIAN ACTIVITY REPORT**

Report for : **SWANSEA BAY UNIVERSITY HEALTH BOARD**

Prepared by : **NATASHA BURGON**

Report Date : **31/03/2022**



MAR 2022

Visits

	This Month	This Year
No of case related visits	24	254
No of promo / comms visits	13	104

Outcomes

	This Month
Written / Verbal Outcome	1
Ongoing	5
Chose not to pursue	0

Contact

	This Month	This Year
Email	47	606
Telephone	31	337
Face to face	24	254

Themes

	This Month	This Year
Patient Safety / Quality	0	2
Management Concerns	1	27
System and Process	1	13
Bullying and Harrassment	0	6
Discrimination / Inequality	0	2
Behaviour / Relationship	3	22
Worker Safety	0	1
Other	1	1

Themes (Other)

	This Month	This Year
COVID	0	0
Fraud	0	0
Other	0	0

Cases

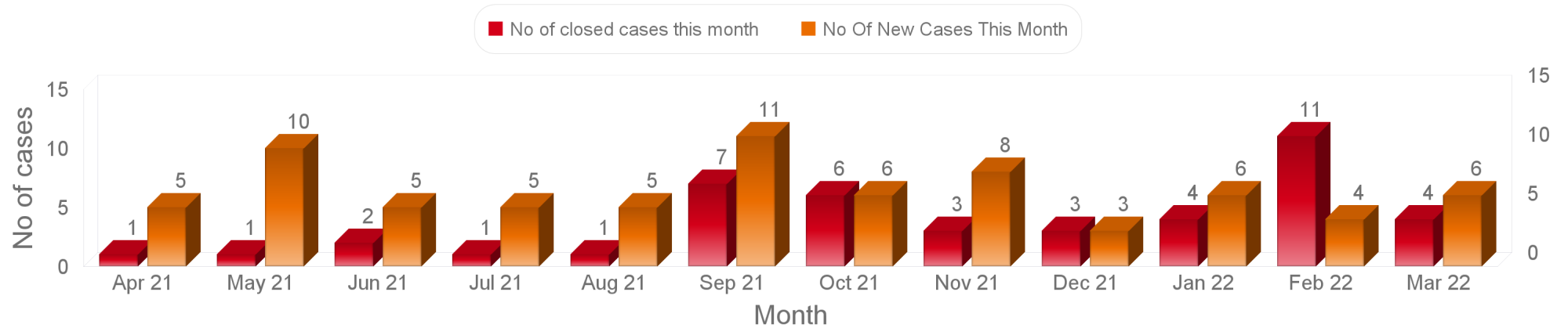
This Month	No of new cases	6
This Month	No of cases closed	4
Year to Date	Total no of cases	74
Year to Date	No of cases open	30
Year to Date	No of cases closed	44

Open cases

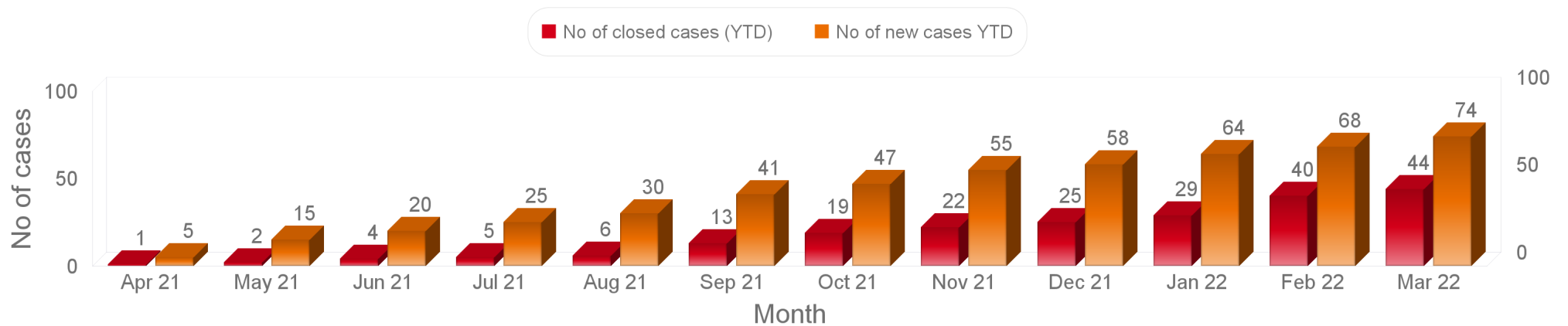
	Num
Red open cases	0
Amber open cases	20
Green open cases	10
No Risk open cases	0
Total No of open cases	30



Case Activity By Month

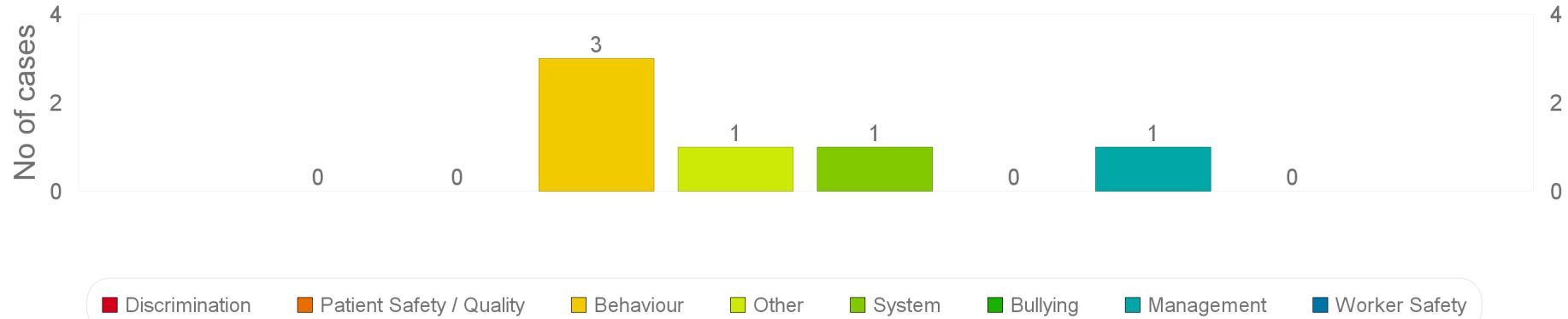


Cases Year To Date

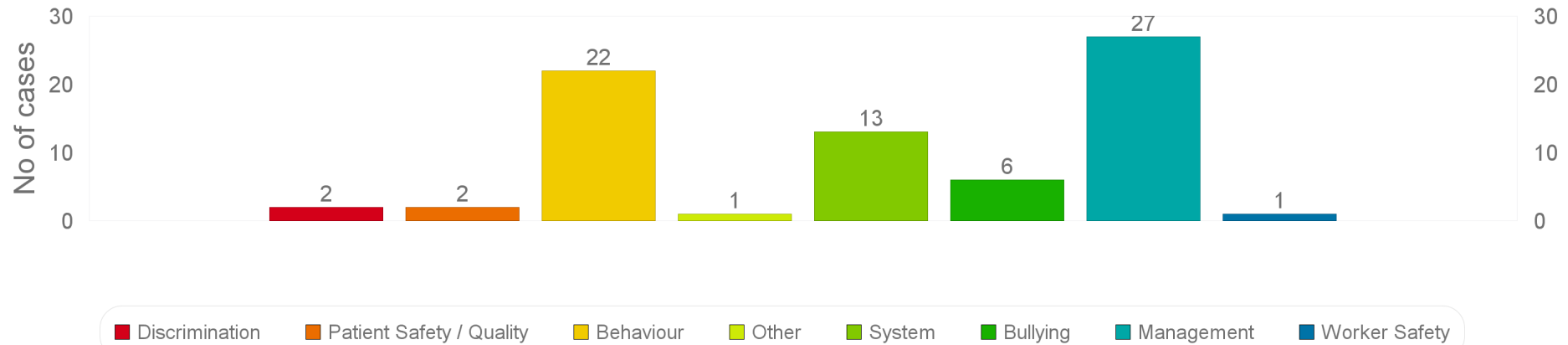




Case Themes This Month

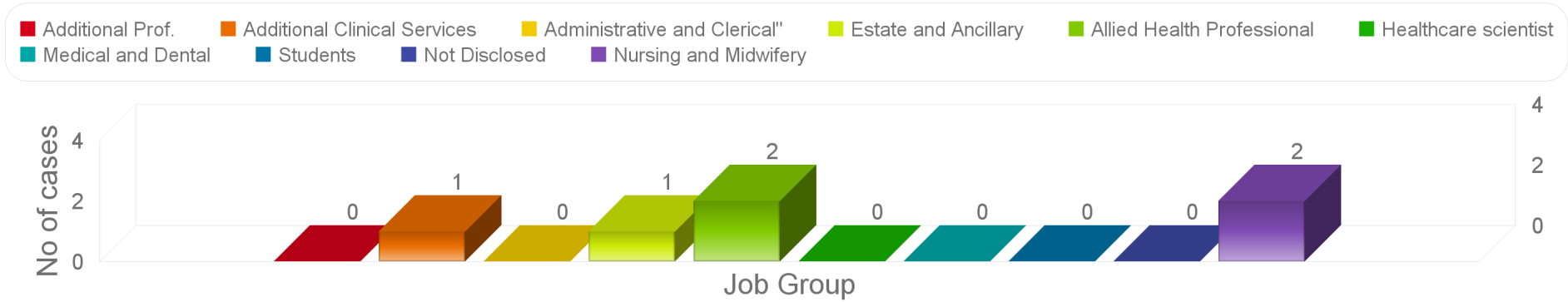


Case Themes YTD

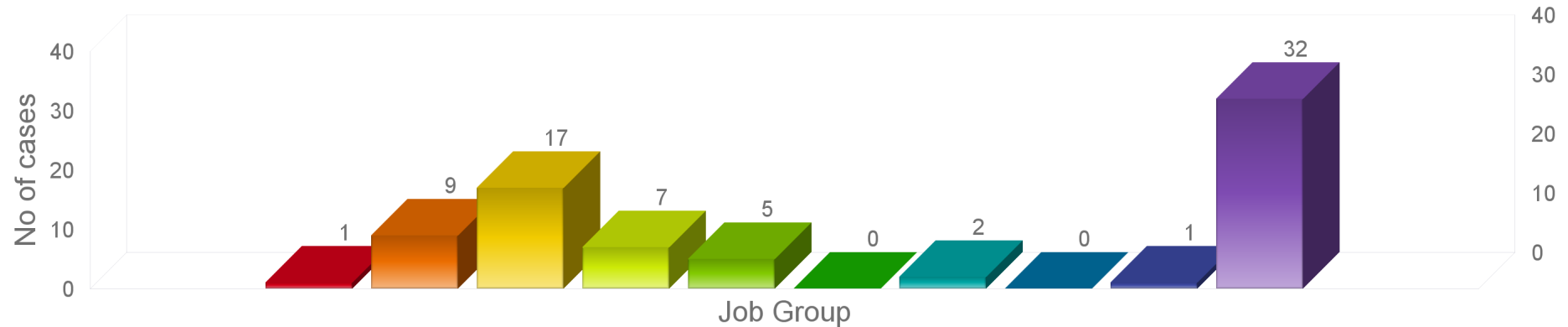




Cases by Job Group This Month



Cases by Job Group YTD



MAR 2022

Case status by Themes

Case Number	Start Month	Status Open	Status Closed	Patient Safety / Quality	Management Concerns	System and Process	Bullying and Harrassment	Discrimination /Inequality	Behaviour / Relationship	Worker Safety	Other
SBU01-21	Apr	1	0		1						
SBU02-21	Apr	0	1			1					
SBU03-21	Apr	0	1		1						
SBU04-21	Apr	0	1		1						
SBU05-21	Apr	0	1		1						
SBU06-21	May	0	1		1						
SBU07-21	May	0	1		1						
SBU08-21	May	0	1		1						
SBU09-21	May	0	1		1						
SBU10-21	May	0	1		1						
SBU11-21	May	0	1				1				
SBU12-21	May	0	1		1						
SBU13-21	May	0	1		1						
SBU14-21	May	0	1			1					
SBU15-21	May	0	1		1						
SBU16-21	Jun	0	1	1							
SBU17-21	Jun	1	0		1						
SBU18-21	Jun	0	1			1					
SBU19-21	Jun	0	1						1		

MAR 2022

Case status by Themes

Case Number	Start Month	Status Open	Status Closed	Patient Safety / Quality	Management Concerns	System and Process	Bullying and Harrassment	Discrimination /Inequality	Behaviour / Relationship	Worker Safety	Other
SBU20-21	Jun	0	1					1			
SBU21-21	Jul	0	1			1					
SBU22-21	Jul	1	0			1					
SBU23-21	Jul	1	0		1						
SBU24-21	Jul	1	0		1						
SBU25-21	Jul	0	1		1						
SBU26-21	Aug	1	0		1						
SBU27-21	Aug	0	1					1			
SBU28-21	Aug	0	1					1			
SBU29-21	Aug	0	1					1			
SBU30-21	Aug	0	1				1				
SBU31-21	Sep	0	1					1			
SBU32-21	Sep	0	1				1				
SBU33-21	Sep	0	1			1					
SBU34-21	Sep	0	1		1						
SBU35-21	Sep	1	0		1						
SBU36-21	Sep	0	1		1						
SBU37-21	Sep	1	0				1				
SBU38-21	Sep	0	1		1						

MAR 2022

Case status by Themes

Case Number	Start Month	Status Open	Status Closed	Patient Safety / Quality	Management Concerns	System and Process	Bullying and Harrassment	Discrimination /Inequality	Behaviour / Relationship	Worker Safety	Other
SBU39-21	Sep	1	0			1					
SBU40-21	Sep	0	1			1					
SBU41-21	Sep	0	1		1						
SBU42-21	Oct	0	1						1		
SBU43-21	Oct	0	1						1		
SBU44-21	Oct	1	0						1		
SBU45-21	Oct	0	1						1		
SBU46-21	Oct	0	1			1					
SBU47-21	Oct	0	1				1				
SBU48-21	Nov	0	1		1						
SBU49-21	Nov	1	0						1		
SBU50-21	Nov	1	0						1		
SBU51-21	Nov	1	0						1		
SBU52-21	Nov	1	0						1		
SBU53-21	Nov	1	0						1		
SBU54-21	Nov	1	0						1		
SBU55-21	Nov	1	0						1		
SBU56-21	Dec	0	1				1				
SBU57-21	Dec	1	0						1		

MAR 2022

Case status by Themes

Case Number	Start Month	Status Open	Status Closed	Patient Safety / Quality	Management Concerns	System and Process	Bullying and Harrassment	Discrimination /Inequality	Behaviour / Relationship	Worker Safety	Other
SBU58-21	Dec	0	1					1			
SBU59-21	Jan	1	0		1						
SBU60-21	Jan	1	0			1					
SBU61-21	Jan	0	1		1						
SBU62-21	Jan	1	0					1			
SBU63-21	Jan	1	0		1						
SBU64-21	Jan	1	0			1					
SBU65-21	Feb	1	0					1			
SBU66-21	Feb	0	1			1					
SBU67-21	Feb	0	1							1	
SBU68-21	Feb	1	0	1							
SBU69-21	Mar	1	0					1			
SBU70-21	Mar	1	0								1
SBU71-21	Mar	1	0					1			
SBU72-21	Mar	0	1		1						
SBU73-21	Mar	1	0					1			
SBU74-21	Mar	1	0			1					

MAR 2022

Case status by Themes

Case Number	Start Month	Status Open	Status Closed	Patient Safety / Quality	Management Concerns	System and Process	Bullying and Harrassment	Discrimination /Inequality	Behaviour / Relationship	Worker Safety	Other
Totals		30	44	2	27	13	6	2	22	1	1

Comments

1. SBU01-21, SBU03-21 - Management concern relating to Communication
SBU04-21 - Management concern relating to Process
SBU05-21 - Management concern relating to behaviour
2. SBU06-21, SBU07-21, SBU08-21, SBU09-21, SBU10-21, SBU13-21, SBU14-21 & SBU15-21 are Management concerns relating to process
3. SBU17-21 Management concern which relates to process
4. SBU23-21, SBU24-21, SBU25-21 are Management concerns relating to process
5. SBU34-21, SBU35-21, SBU36-21, SBU38-21 and SBU41-21 are management concerns relating to behaviour
6. SBU48-21 Management concern relates to process
7. SBU59-21, SBU61-21, SBU62-21 are management concerns relating to process
8. SBU72-71 management concern is process related

Case Status by Job Group

Case No	Start Month	Status Open	Status Closed	Additional Prof. Scientific Technical	Additional Clinical Services	Administrative and Clerical	Allied Health Professional	Estates and Ancillary	Healthcare Scientist	Medical and Dental	Nursing and Midwifery	Students	Not disclosed
SBU01-21	Apr	1	0	1									
SBU02-21	Apr	0	1	1									
SBU03-21	Apr	0	1	1									
SBU04-21	Apr	0	1	1									
SBU05-21	Apr	0	1	1									
SBU06-21	May	0	1	1									
SBU07-21	May	0	1	1									
SBU08-21	May	0	1	1									
SBU09-21	May	0	1	1									
SBU10-21	May	0	1	1									
SBU11-21	May	0	1	1									
SBU12-21	May	0	1	1									
SBU13-21	May	0	1	1									
SBU14-21	May	0	1	1									
SBU15-21	May	0	1	1									
SBU16-21	Jun	0	1	1									
SBU17-21	Jun	1	0	1									

Case Status by Job Group

Case No	Start Month	Status Open	Status Closed	Additional Prof. Scientific Technical	Additional Clinical Services	Administrative and Clerical	Allied Health Professional	Estates and Ancillary	Healthcare Scientist	Medical and Dental	Nursing and Midwifery	Students	Not disclosed
SBU18-21	Jun	0	1	1									
SBU19-21	Jun	0	1	1									
SBU20-21	Jun	0	1	1									
SBU21-21	Jul	0	1	1									
SBU22-21	Jul	1	0	1									
SBU23-21	Jul	1	0	1									
SBU24-21	Jul	1	0	1									
SBU25-21	Jul	0	1	1									
SBU26-21	Aug	1	0	1									
SBU27-21	Aug	0	1	1									
SBU28-21	Aug	0	1	1									
SBU29-21	Aug	0	1	1									
SBU30-21	Aug	0	1	1									
SBU31-21	Sep	0	1	1									
SBU32-21	Sep	0	1	1									
SBU33-21	Sep	0	1	1									
SBU34-21	Sep	0	1	1									

Case Status by Job Group

Case No	Start Month	Status Open	Status Closed	Additional Prof. Scientific Technical	Additional Clinical Services	Administrative and Clerical	Allied Health Professional	Estates and Ancillary	Healthcare Scientist	Medical and Dental	Nursing and Midwifery	Students	Not disclosed
SBU35-21	Sep	1	0	1									
SBU36-21	Sep	0	1	1									
SBU37-21	Sep	1	0	1									
SBU38-21	Sep	0	1	1									
SBU39-21	Sep	1	0	1									
SBU40-21	Sep	0	1	1									
SBU41-21	Sep	0	1	1									
SBU42-21	Oct	0	1	1									
SBU43-21	Oct	0	1	1									
SBU44-21	Oct	1	0	1									
SBU45-21	Oct	0	1	1									
SBU46-21	Oct	0	1	1									
SBU47-21	Oct	0	1	1									
SBU48-21	Nov	0	1	1									
SBU49-21	Nov	1	0	1									
SBU50-21	Nov	1	0	1									
SBU51-21	Nov	1	0	1									

Case Status by Job Group

Case No	Start Month	Status Open	Status Closed	Additional Prof. Scientific Technical	Additional Clinical Services	Administrative and Clerical	Allied Health Professional	Estates and Ancillary	Healthcare Scientist	Medical and Dental	Nursing and Midwifery	Students	Not disclosed
SBU52-21	Nov	1	0	1									
SBU53-21	Nov	1	0	1									
SBU54-21	Nov	1	0	1									
SBU55-21	Nov	1	0	1									
SBU56-21	Dec	0	1	1									
SBU57-21	Dec	1	0	1									
SBU58-21	Dec	0	1	1									
SBU59-21	Jan	1	0	1									
SBU60-21	Jan	1	0	1									
SBU61-21	Jan	0	1	1									
SBU62-21	Jan	1	0	1									
SBU63-21	Jan	1	0	1									
SBU64-21	Jan	1	0	1									
SBU65-21	Feb	1	0	1									
SBU66-21	Feb	0	1	1									
SBU67-21	Feb	0	1	1									
SBU68-21	Feb	1	0	1									



Case Status by Job Group

Case No	Start Month	Status Open	Status Closed	Additional Prof. Scientific Technical	Additional Clinical Services	Administrative and Clerical	Allied Health Professional	Estates and Ancillary	Healthcare Scientist	Medical and Dental	Nursing and Midwifery	Students	Not disclosed
SBU69-21	Mar	1	0	1									
SBU70-21	Mar	1	0	1									
SBU71-21	Mar	1	0	1									
SBU72-21	Mar	0	1	1									
SBU73-21	Mar	1	0	1									
SBU74-21	Mar	1	0	1									
Totals		30	44	1	9	17	5	7		2	32		1



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Case status by outcome

Case Number	Start Month	Open	Closed	Written/ Verbal Outcome	Ongoing	Chose not to pursue
SBU01-21	Apr	1	0	0	1	0
SBU02-21	Apr	0	1	1	0	0
SBU03-21	Apr	0	1	1	0	0
SBU04-21	Apr	0	1	1	0	0
SBU05-21	Apr	0	1	1	0	0
SBU06-21	May	0	1	0	0	1
SBU07-21	May	0	1	1	0	0
SBU08-21	May	0	1	1	0	0
SBU09-21	May	0	1	1	0	0
SBU10-21	May	0	1	1	0	0
SBU11-21	May	0	1	0	0	1
SBU12-21	May	0	1	1	0	0
SBU13-21	May	0	1	1	0	0
SBU14-21	May	0	1	1	0	0
SBU15-21	May	0	1	1	0	0
SBU16-21	Jun	0	1	0	0	1
SBU17-21	Jun	1	0	0	1	0
SBU18-21	Jun	0	1	1	0	0
SBU19-21	Jun	0	1	1	0	0



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Case status by outcome

Case Number	Start Month	Open	Closed	Written/ Verbal Outcome	Ongoing	Chose not to pursue
SBU20-21	Jun	0	1	1	0	0
SBU21-21	Jul	0	1	1	0	0
SBU22-21	Jul	1	0	0	1	0
SBU23-21	Jul	1	0	0	1	0
SBU24-21	Jul	1	0	0	1	0
SBU25-21	Jul	0	1	0	0	1
SBU26-21	Aug	1	0	0	1	0
SBU27-21	Aug	0	1	1	0	0
SBU28-21	Aug	0	1	1	0	0
SBU29-21	Aug	0	1	1	0	0
SBU30-21	Aug	0	1	1	0	0
SBU31-21	Sep	0	1	1	0	0
SBU32-21	Sep	0	1	1	0	0
SBU33-21	Sep	0	1	1	0	0
SBU34-21	Sep	0	1	1	0	0
SBU35-21	Sep	1	0	0	1	0
SBU36-21	Sep	0	1	0	0	1
SBU37-21	Sep	1	0	0	1	0
SBU38-21	Sep	0	1	0	0	1



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Case status by outcome

Case Number	Start Month	Open	Closed	Written/ Verbal Outcome	Ongoing	Chose not to pursue
SBU39-21	Sep	1	0	0	1	0
SBU40-21	Sep	0	1	0	0	1
SBU41-21	Sep	0	1	0	0	1
SBU42-21	Oct	0	1	1	0	0
SBU43-21	Oct	0	1	1	0	0
SBU44-21	Oct	1	0	0	1	0
SBU45-21	Oct	0	1	1	0	0
SBU46-21	Oct	0	1	1	0	0
SBU47-21	Oct	0	1	1	0	0
SBU48-21	Nov	0	1	1	0	0
SBU49-21	Nov	1	0	0	1	0
SBU50-21	Nov	1	0	0	1	0
SBU51-21	Nov	1	0	0	1	0
SBU52-21	Nov	1	0	0	1	0
SBU53-21	Nov	1	0	0	1	0
SBU54-21	Nov	1	0	0	1	0
SBU55-21	Nov	1	0	0	1	0
SBU56-21	Dec	0	1	0	0	1
SBU57-21	Dec	1	0	0	1	0



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Case status by outcome

Case Number	Start Month	Open	Closed	Written/ Verbal Outcome	Ongoing	Chose not to pursue
SBU58-21	Dec	0	1	1	0	0
SBU59-21	Jan	1	0	0	1	0
SBU60-21	Jan	1	0	0	1	0
SBU61-21	Jan	0	1	1	0	0
SBU62-21	Jan	1	0	0	1	0
SBU63-21	Jan	1	0	0	1	0
SBU64-21	Jan	1	0	0	1	0
SBU65-21	Feb	1	0	0	1	0
SBU66-21	Feb	0	1	1	0	0
SBU67-21	Feb	0	1	1	0	0
SBU68-21	Feb	1	0	0	1	0
SBU69-21	Mar	1	0	0	1	0
SBU70-21	Mar	1	0	0	1	0
SBU71-21	Mar	1	0	0	1	0
SBU72-21	Mar	0	1	1	0	0
SBU73-21	Mar	1	0	0	1	0
SBU74-21	Mar	1	0	0	1	0
Totals		30	44	35	30	9

Why use the Guardian service? (Year To Date)

Reason	Number	Percentage
A Fear of damage of career	3	4.05%
B Fear of losing job	5	6.76%
C Fear of reprisal	4	5.41%
D Believe they will not be listened to	18	24.32%
E Believe the organisation will not take action	13	17.57%
F Have raised concern but have not been listened to / nothing done	31	41.89%
Total	74	100.00%

Confidentiality	Number	Percentage
1 Keep it confidential within Guardian Service remit	55	74.32%
2 Permission to escalate with names	5	6.76%
3 Permission to escalate anonymously	14	18.92%
Total	74	100.00%



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU01-21	Apr	1	0					
SBU02-21	Apr	0	1					The contact has decided to resign from the HB.
SBU03-21	Apr	0	1					Contact resolved issue by discussion.
SBU04-21	Apr	0	1	Assistant Director of Health & Safety	29-Apr-2021	1 day	The Assistant Director of Health & Safety will conduct full site visit in the next 7 days and look to install CCTV and any other reasonable steps, including reviewing use of lone working policy. He will also circulate newsletter to all staff at site.	Yes
SBU05-21	Apr	0	1				Escalated to Divisional Head	Department reviewed and change ongoing
SBU06-21	May	0	1					Required no further action or support
SBU07-21	May	0	1	Head of Department	17-May-2021	Same Day	Escalated to Divisional Head	Department reviewed and change ongoing
SBU08-21	May	0	1	Head of Department	17-May-2021	Same Day	Escalated to Divisional Head	Department reviewed and change ongoing



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU09-21	May	0	1	Head of HR 19.7.21	19-Jul-2021	Same Day	HR manager is reviewing case and meeting with member of staff	Concern is now being dealt with formally, no GSL involvemnt
SBU10-21	May	0	1	HR Business Partner	18-May-2021	Same Day		Matter now resolved. SBU conductinng review into how such cases are managed
SBU11-21	May	0	1					Concern in relation to colleague is being progressed formarly through union representative.
SBU12-21	May	0	1	Head of Department	17-May-2021	Same Day	Escalated to Divisional Head	Department reviewed and change ongoing
SBU13-21	May	0	1					Contact resolved matter themselves by discussing with Management.
SBU14-21	May	0	1				Details provided of how to contact pensions	Contact spoke to pensions for information
SBU15-21	May	0	1					Contact empowered to raise staffing levels which were resolved in Unit.
SBU16-21	Jun	0	1				None	Staff member chose not to engage further wit GSL
SBU17-21	Jun	1	0					

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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU18-21	Jun	0	1	Asst Director of Health and Safety	16-Jun-2021	same day	Site visit conducted	Ongoing efforts to upgrade security
SBU19-21	Jun	0	1					Contact returned to work having developed strategies as well as raising issues.
SBU20-21	Jun	0	1					Concern empowered to raise issues and new rota agreed.
SBU21-21	Jul	0	1					The contact empowered to resolve issues themselves
SBU22-21	Jul	1	0	Director of Nursing	31-Aug-2021	1 day	Meeting arranged with staff to discuss solutions	Empowered to seek answers from Mgt
SBU23-21	Jul	1	0					
SBU24-21	Jul	1	0					
SBU25-21	Jul	0	1					
SBU26-21	Aug	1	0					
SBU27-21	Aug	0	1					Formal process to which contact was witness concluded.



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU28-21	Aug	0	1					Provided information on support and subsequently confirmed action taken
SBU29-21	Aug	0	1					Contact unhappy with service provided as they felt left to sort themselves.
SBU30-21	Aug	0	1					The contact empowered to resolve issues themselves.
SBU31-21	Sep	0	1					Emotional Support offered but declined as in formal process.
SBU32-21	Sep	0	1					The contact empowered to resolve issues themselves
SBU33-21	Sep	0	1					Formal process concluded.
SBU34-21	Sep	0	1					The matter is now formal so now only involved for welfare support
SBU35-21	Sep	1	0					
SBU36-21	Sep	0	1	Head of Learning and OD	29-Sep-2021	Same Day	Issued raised and now being internally reviewed.	Chose not to pursue



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU37-21	Sep	1	0				Issued raised and now being internally reviewed.	
SBU38-21	Sep	0	1	Head of Learning and OD	29-Sep-2021	Same Day	Issued raised and now being internally reviewed.	Chose not to pursue
SBU39-21	Sep	1	0	Director of Therapies	30-Sep-2021	Same Day	Further meeting arranged with more appropriate manager	
SBU40-21	Sep	0	1	Director of Therapies	30-Sep-2021	Same Day	Further meeting arranged with more appropriate manager	Staff member has now left post and no longer wishes to pursue
SBU41-21	Sep	0	1	Head of Learning and OD	30-Sep-2021	Same Day	Issued raised and now being internally reviewed.	Chose not to pursue
SBU42-21	Oct	0	1					Issue raised and now resolved to concerns satisfaction
SBU43-21	Oct	0	1					Concern sorted by individual
SBU44-21	Oct	1	0					
SBU45-21	Oct	0	1					The contact interacted with security to make them aware and the colleague also spoke with security.



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU46-21	Oct	0	1	Wellbeing on 23.10.21	23-Oct-2021	24 hours	Arrangements made for Teams engagement if contact wants.	Contact decided they would could handle the situation themselves without SBUHB support.
SBU47-21	Oct	0	1	Head Of Audiology Department	28-Oct-2021	Same Day	Meeting arranged with staff member	Now being progressed formally with union involved.
SBU48-21	Nov	0	1					Contact made decision that as they were in a formal process the Service could not assist.
SBU49-21	Nov	1	0					
SBU50-21	Nov	1	0					
SBU51-21	Nov	1	0					
SBU52-21	Nov	1	0					
SBU53-21	Nov	1	0					
SBU54-21	Nov	1	0					
SBU55-21	Nov	1	0					
SBU56-21	Dec	0	1					J is progressing matter formally with union
SBU57-21	Dec	1	0					
SBU58-21	Dec	0	1					Matter resolved through discussion.



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU59-21	Jan	1	0					
SBU60-21	Jan	1	0	Nurse Director	02-Feb-2022			
SBU61-21	Jan	0	1					Contact successful in another appointment with HB
SBU62-21	Jan	1	0					
SBU63-21	Jan	1	0					
SBU64-21	Jan	1	0					
SBU65-21	Feb	1	0					
SBU66-21	Feb	0	1	Executive PA	15-Feb-2022	Same Day	Escalated	Issue reviewed to prevent reoccurrence.
SBU67-21	Feb	0	1	Asst Director of Health & Safety	02-Mar-2022	same day	Situation to be reviewed	Situation rectified
SBU68-21	Feb	1	0					
SBU69-21	Mar	1	0					
SBU70-21	Mar	1	0					
SBU71-21	Mar	1	0					
SBU72-21	Mar	0	1					Individual moved to another post in SBUHB
SBU73-21	Mar	1	0					



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Cases By Outcome

Case Number	Start Month	Open Status	Closed Status	Escalated to	Escalation Date	Org Response time	Action Taken	Outcome after action taken
SBU74-21	Mar	1	0	Deputy Head of HR	09-Mar-2022	same day	Situation to be reviewed after meeting	HR addressing issues raised

Totals		30	44
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Case by Directorate	This month	Year to Date
Corporate Area/HQ	1	9
Director of Strategy		
Estates & Facilities		4
Finance		
Informatics		5
Mental Health & Learning Disabilities Delivery Unit		5
Morryston Delivery Unit	2	25
Neath Port Talbot Delivery Unit		7

Case by Directorate	This month	Year to Date
Not Disclosed	1	1
Primary & Community Services Delivery Unit	1	8
Singleton Delivery Unit	1	10
Workforce & OD		
Totals	6	74

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Cases by Professional level	This month	Year to Date
Worker	6	68
Not Disclosed		1
Manager		5
Senior Leader		
Totals	6	74

**Guardian Service Report
TWELVE MONTH REPORT 1 APRIL 2021 to 31 MARCH 2022**

Purpose of the paper

The purpose of this paper is to share the continued progress, development and evaluation of the service and recommendations from the Raising Concern Guardians. The paper has to be considered in light of the continuing Covid-19 pandemic, its impact over the last 12 months, the renewal of the contract for another 12 months from November 2021 which was made in order to continue to provide an additional avenue to support staff during the most challenging of times. With the appointment of Dafydd Owen the service has been available bilingually which has been taken up in at least one instance where the contact preferred to be supported via that language medium.

Promotion/Communication Visits

As was the case in the previous year the Raising Concern Guardians continued to follow the Government and Health Board guidelines to work from home throughout the period of the report. This has changed from February 2022 with access being granted to rooms on a pre-booked basis at the 3 major sites, utilising the Chapel at Singleton, Library at Morriston and a room in Block D at NPT near to Occupational Health. A full programme of virtual drop-in sessions have been undertaken throughout the year via MS Teams to replace the onsite promotional visits along with the offer of virtual presentations for teams and departments which after a slow initial uptake has begun to increase. It is therefore planned, that for the forthcoming year a hybrid mix of online and onsite opportunities will be offered as requested by the staff who have engaged and it is planned that the provision of F2F sessions will increase during the year.

There have been 104 promotional/communications sessions/presentations during the year with a spread of dates/times to reflect the 24/7 work patterns.

Number of concerns raised

There have been 74 (66 last year and 91 previous year) concerns raised by staff during the period of this report.

Contact has been made from staff to the Raising Concerns Guardians via email (606), telephone (337) and face to face visits (254). In 2020 the figures were 1441, 471 and 254 while in 2019 the figures were 906, 1493 and 152 respectively. The use of Microsoft Teams certainly increased during the year as the Health Board's main online platform resulting in the use of other online options decreasing.

The Raising Concerns Guardians encourage face-to-face meetings online but follow ups may be by telephone or email. **With the continuing impact of the pandemic the quality of engagement to this point has been affected by not being able to meet contacts face-to-face and a return to sites is now being discussed and planned.**

There has also been a suggestion raised that the service should be signposted/directed to areas under pressure for staff support.

Themes

The concerns raised are broken down into the following themes:

Themes	No. of concerns raised		Percentage	
	01/04/21-31/03/22	Previous 12 months	01/04/20-31/03/21	Previous 12 months
Patient safety	2	0	3%	0%
Management Concern	27	30	36%	45%
System and Process	13	3	18%	5%
Bullying and Harassment	6	10	8%	15%
Discrimination and Inequality	2	4	3%	6%
Behavioural / Relationship	22	13	30%	20%
Worker Safety	1	0	1%	0%
Other	1	6	1%	9%
TOTAL	74	66	100%	100%

The System and Process concerns relate to job roles (8) and service delivery (5). The “other” theme relates to concerns raised from staff that do not fall within the above categories, i.e. request for information. It should be noted that often the concerns raised could be reflected in more than one theme but a decision has to be made as to the most appropriate. **Whenever a contact is made we always suggest to staff (if they are members) to make contact with their Trade Unions to ensure that staff are aware of all the options available to them. 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 as well as providing emotional support.**

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

Outcome of bullying and harassment concerns raised	Number		Percentage	
	12 months	Previous 12 months	12 months	Previous 12 months
Informally resolved with Guardian support	3	3	50%	43%
Decided not to take forward	3	4	50%	57%
Resignation	0	0	0	0 %
TOTAL	6	7	100%	100%

The contacts follow a similar pattern to last year and again it was possible to help staff avoid engaging in a formal process, by empowering them to raise the issue themselves, while the service provided ongoing support.

Staff Groups

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

Staff Groups	Number		Percentage	
	01/04/21-31/03/2022	Previous 12 months	01/04/21-31/03/2022	Previous 12 months
Additional Clinical Services	9	8	10.5%	12%
Additional Professional Services	1	1	1.25%	1.5%
Administrative and Clerical	17	15	24%	23%
Allied Health Professional	5	9	8%	14%
Medical and Dental	2	2	2.5%	3%
Nursing and Midwifery Registered	32	28	44%	42%
Estates and Ancillary	7	0	8.5%	0%
Healthcare Scientists	0	0	0	0%
Role not confirmed	1	3	1.25%	4.5%
TOTAL	74	66	100%	100%

There are some interesting elements to these figures in that there continues to be a marked reduction in contacts from the Administrative and Clerical area over the past 2 years from the first year which may well reflect the number of staff working from home. As expected those from Nursing and Midwifery increased again unsurprising being very “the front line”. The efforts over past years are beginning to bear fruit with several concerns raised from within Estates & Ancillary. Also during the period of this report we had our first contact from a student and a volunteer.

Patient safety

There have been two patient safety issues raised for the period of the report which in both cases were due to miscommunication which were resolved. In addition one of the contacts from a previous year remains open. An action plan had been developed but as a result of the pandemic it had to be “put on hold” and as hopefully we come out of the pandemic it will be a focus to ensure things get back on track. Of course the action plan will need to be reassessed in light of the learning over the past couple of years. Whilst the concerns raised did not have a specific concerns relating to Patient Safety it should be remembered that the Francis Report revealed that overall patient outcome was diminished as a result of cultures and practices.

The reason why staff use the Guardian Service

Reason	Number		Percentage	
	01/04/21-31/03/2022	Previous 12 months	01/04/20-31/03/2021	Previous 12 months
Fear of damage to career	3	5	4.5%	7.5%
Fear of losing job	5	0	7%	0%
Fear of reprisal	4	5	5.5%	7.5%
Believe they will not be listened to	18	29	24%	44%
Believe the organization will not take action	13	21	17%	32%
Have raised the concern before but have not been listened to / nothing has been done	31	6	42%	9%
TOTALS	74	66	100%	100%

There has been a marked increase in staff believing that they have raised the concern before but have not been listened to / nothing has been done. The figures would suggest that the organization has much work to do dealing with long standing issues that maybe due to the pandemic have not been addressed. The introduction of the “Just Culture” initiative is to be welcomed as this may assist in lowering this figure over the next year.

Cases by Directorates

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

Directorate	Number		Percentage	
	01/04/21-31/03/2022	Previous 12 months	01/04/21-31/03/2022	Previous 12 months
Morrison Delivery Unit	25	25	34%	38%
Singleton Delivery Unit	10	11	13.5%	17%
Neath Port Talbot Delivery Unit	7	5	9.5%	7%
Primary & Community Services Delivery Unit	8	8	11%	12%
Mental Health & Learning Disabilities	5	13	6.5%	20%
Informatics	5	1	6.5%	1.5%
Strategy	0	1	0	1.5%
Corporate Area / HQ	9	0	12.5%	0
Cimla	0	0	0	0
Estates & Ancillary	4	0	5.5%	0
Not confirmed	1	2	1.5%	3%
TOTALS	74	66	100%	100%

It is worth noting here the increase in HQ related activity from previous years. While the number of concerns from the Mental Health and Learning Disabilities directorate have dropped, the issue around “case management” remains a focus of concerns.

Action taken to improve speak up culture

Action taken to address themes

- In some instances, staff contact the Raising Concerns Guardian because formal processes are taking too long, although it has been noted that there has been a reduction in this sort of contact since other measures to improve formal processes were put in place by the Health Board. The Raising Concerns Guardian is able to explain to a contact; the complexities and time constraints that may arise during a formal investigation to support them make a decision around the course of action they would like to take. However we are unable to engage until after the case has been closed if this is the route they have decided to take or have already taken.
- There is no doubt that that many staff even though they maybe going through a formal process value the Service as it gives them a safe space to vocalise their feelings/emotions as the Guardians have time to give them. This has been especially noticeable during the pandemic when demands on staff are increased.
- The Raising Concerns Guardians supports staff by offering information on the options available to them in taking forward their concern, offering safe, independent listening without judgement, highlighting the benefit of facilitated meetings. We always suggest that if members of a Trade Union they should make contact with the applicable Trade Union thereby ensuring that they have explored all the options open to them before deciding what (if any) action they propose to take.
- A benefit reported by the Raising Concerns Guardians where cases have been closed, is that they have enabled and empowered the contact to raise and take forward their concerns themselves by ensuring they have as much information as possible as to their options without engaging in a formal process.

Communication and escalation

- For the majority of the year it has not been possible for the Raising Concerns Guardians to attend meetings and events including the monthly staff inductions to brief staff about the service. The Service was included as part of the virtual induction and a series of online sessions have been made available for staff across a range of days/times. In addition Guardians have since February made a limited return to site with sessions in Block D at NPT, the Library at Morriston and the Chapel at Singleton. The access/contact details to the Guardian

Service are available on posters displayed across all sites, all the Health Board's online systems with several referrals coming from the Health Board's Wellbeing Service. However, the Service has instigated a revamp of all artwork which will be delivered in April, so an audit of posters etc will be required which hopefully will further assist in raising the profile.

- The Raising Concerns Guardians become empathetic listeners when a staff member wishes to offload. However, as per our mandate we do not become involved in any internal disciplinary or grievance process. Staff are informed of our position at the outset as well as advised that in order to make a decision, they should consider all options including speaking with their Trade Union if applicable. However, Raising Concerns Guardians are available to listen in these situations and thereby promote the Speaking Up culture. It is pleasing to report that there has been some small improvement regarding interaction with the Trade Unions which has been beneficial to both parties when this has occurred. The Service would positively encourage "working together" with all Trade Unions as it can only be beneficial for the staff.
- Monthly meetings are held with the Director of Workforce & Organisational Development 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, which is essential and a contractual obligation. Eight-weekly meetings have been held with the Chair of the Health Board along with the Chair of the Workforce and OD Sub-Committee and both of their commitment to the Service is clear.
- Throughout the pandemic there have been regular virtual meetings with our Liaisons, Julie Lloyd and Kay Myatt which currently are on a 3-week cycle to ensure that any issues are discussed/resolved. We have also regularly engaged with Leads for the BAME Network and Calon throughout the year as well as meeting with the Lead regarding the "Just Culture" work which is so aligned to the service we offer.
- As a general rule we have made every effort to close cases as quickly as possible but there have been some that remain open as with Children's Community Services for longer than we would like. We have made a real effort to improve this rate by instigating regular "case review" meetings with our Line Management which has borne dividend.
- Where an issue is agreed for escalation the system is used as follows:

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

Learning and Improvement

- The Raising Concerns Guardians attend fortnightly (increased activity since the start of the pandemic) Guardian Service meetings where difficult concerns raised are discussed, peer support and learning gained, and good practice shared. Again, confidentiality is always held, and no individual is identified.
- During the year the Guardians have a six monthly supervision sessions with an external Psychologist to consider any difficult cases as well as their own mental/emotional wellbeing.
- As the Guardian Service has clients across a number of English NHS Trusts, we are in a position to compare and contrast best practice approaches (while acknowledging the difference approaches in the Home Countries) in respect to policy, service implementation and organisational response. This enabled at the height of the pandemic a report on COVID-19 issues from all Trusts using the Guardian Service to be circulated as well as other promotional ideas/videos to be shared where applicable.
- During the period of this report the Guardians joined the “Time to Change Wales training session.
- Whilst the concerns raised did not have a specific concerns relating to Patient Safety it should be remembered that the Francis Report revealed that overall patient outcome was diminished as a result of cultures and practices. The themes other than ‘Patient Safety’ can provide an insight to the cultures and practices. In his letter to the Sec of State for Health Sir Robert in relation to his review stated:

“....It did not listen sufficiently to its patients and staff or ensure the correction of deficiencies brought to the Trust’s attention. Above all, it failed to tackle an insidious negative culture involving a tolerance of poor standards and a disengagement from managerial and leadership responsibilities. This failure was in part the consequence of allowing a focus on reaching national access targets, achieving financial balance and seeking foundation trust status to be at the cost of delivering acceptable standards of care.”

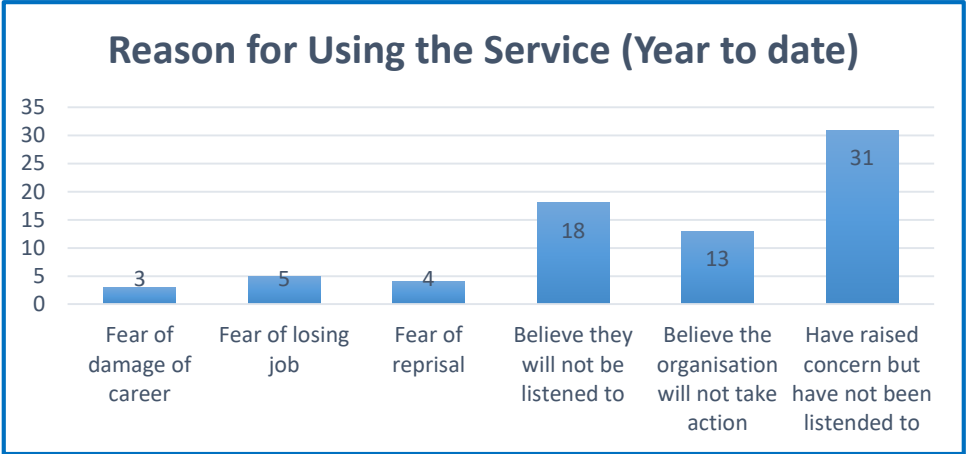
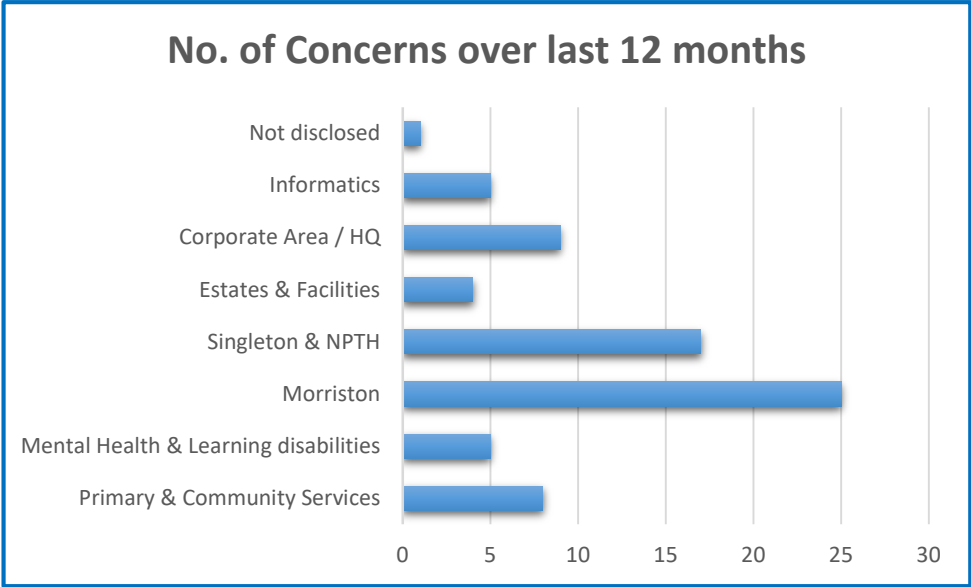
Recommendations

There is no doubt that the COVID-19 situation continued to impact on the plans that we had jointly developed last year to develop the Service. With the limited opportunity to returning to site, it is pleasing that we are now in a position to plan our face to face promotion of the service and propose we progress the following recommendations over the next 12 months:

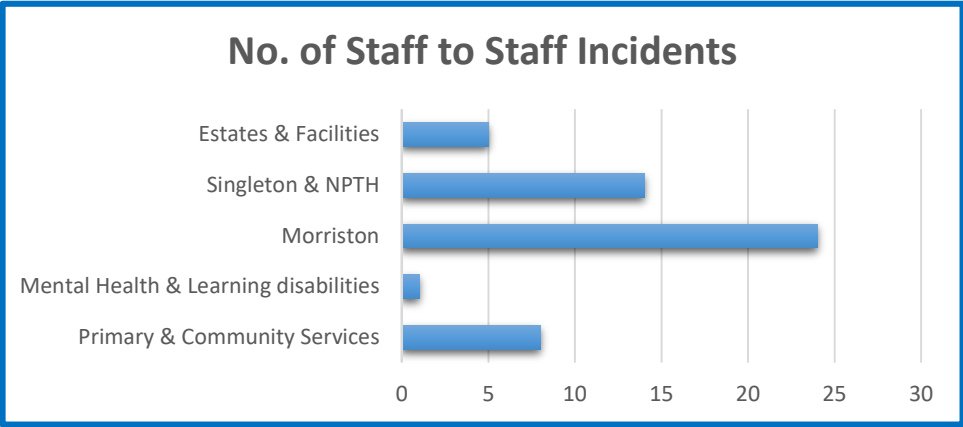
- While the commitment of the Board and Executive team at Swansea Bay University Health Board to the Guardian Service has been excellent, consideration should be given to publicising personal commitments from each member with regard to “raising concerns” in order to further cement to staff that the Board/Executive team are committed to the “Raising Concerns” Policy.
- A series of 1-1 meetings be arranged with each member of the Board and Executive Team to further strengthening the understanding of the Service as an agent for change working with the organisation for the betterment of staff.
- We would suggest that as a matter of course the Board undertake an Annual Review utilising the National Guardian Office Toolkit which in England is a mandatory function but would help embed the Service further.
- A continued focus on reducing the number of “open” cases will remain although much progress has been made this year in reducing the number.
- The issue of staff turnover is common theme from staff and there needs to be a concerted effort to publicise to staff the considerable extent of the efforts being undertaken to recruit new staff while ensuring that the programmes to retain and value existing staff continue. There is no doubt that the pandemic has also meant that many staff have reevaluated their lives which will have an impact on retirements etc. In respect of recruiting new staff, the perception is that the Executive Team are doing little, which we know is not the case, so there is still work to do to educate around this. We would encourage in particular a focus of A&E due to the continuing pressures and the Service is more than willing to attend settings with appropriate PPE if required to talk with staff.
- There has been considerable feedback on the lack of a consistent policy with regard to exit interviews with different directorates seemingly following their own guidelines/policies. On a number of occasions when staff have made the decision to leave the Health Board they have wanted to undertake an exit interview to give the organisation the opportunity to review any appropriate actions that might be applicable but this has unfortunately not happened. Whenever this has been requested on behalf of a staff member it has been facilitated by HR but there is a concern as to whether there could be good learning opportunities being missed.
- Staff continue to report that the length of time taken for grievances to be heard is too long and exceeds the policy. Steps have been made to improve this with the introduction of the national Respect & Resolution Policy and there is some evidence of positive impact, but it is essentially important that regular communication with staff to keep them updated is undertaken. This will also help encourage staff to raise any further concerns.
- A continued programme of communication and engagement sessions is 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 comprehensive plan undertaken so far. **This will be even more important as the Health Board works to recover from Covid-19.**

- 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 when there is conflict between staff. This is shown in the considerable increase in “behavioural responsibility” concerns, however real progress has been made, especially with new staff, but there is still much to do particularly with regard to more established staff. Contacts often tell us that they have been promoted to positions with little or no experience of or training to equip them for managing staff. There have been instances where staff have intimated that they would rather take sick leave than speak up, as they believe they will not be listened to or that the Health Board will take no action. There clearly is still a lot of work to be done to allow staff to feel they can trust the organisation and the Guardians are happy to work with the continuing initiatives that the Board have undertaken as well as assist in developing any new ones.
- In last year’s report it was noted that there had been a good level of engagement from HR at certain sites and it is good to report that this has been forthcoming from all areas this year – long may it continue. Our specific thanks should be noted to Kay Myatt and our direct liaison, Julie Lloyd who have always been prepared to assist whenever we have contacted them which has made our work so much easier.
- While that level of support would I guess be expected from HR staff (although in our view this is greater than necessary) there remains an often element of ignorance at Line Management level who fail to see the Guardian Service as agent to help sort issues rather preferring to take a defensive approach/view. Clearly there is much work here for Management training to become more fully embedded.
- The Guardian Service remains very keen to develop a working relationship with the Trade Unions and will support any measures that senior management feel appropriate as this would have a positive impact with staff. It remains disappointing that engagement remains limited as this is something that our colleagues in all other Trusts including those in Scotland do not encounter thereby providing an enhanced offer to staff.
- Consideration be given to formulate an action plan from these recommendations that would be discussed monthly along with the monthly reports to ensure actions are taken and progressed.

Guardian Service Dashboard - Concerns and Reasons for using the Service (April 21 to March 2022)



Datix Staff to Staff Incidents (April 21 to March 22)



Mediation Requests and Reasons (April 21 to March 22)

