

Staff Governance Standard

for NHSScotland employees

Foreword

We are delighted to see the launch of the Staff Governance Standard for NHSScotland. It rightly puts a spotlight on how staff are managed and feel they are managed in the largest employer in Scotland.

For the first time staff across the whole of the country will be asked in a systematic and professional way about how their employer runs their organisation and the quality of their working lives and environment. The results will be shared publicly and looked at locally and nationally to help improve the way NHSScotland works. Progress will be tracked by following the changing views of staff over the years to come.

Each part of the Standard has been developed jointly by managers and trade unions/professional organisations working together. The same will apply to the process of evaluating the results and deciding what needs to happen as a result.

Our hope is that as many staff as possible take this chance to have their say and help shape the way forward in NHSScotland.



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Index

Section	Page
Introduction	4
Strategic Framework	5
Definition of Staff Governance	8
Definition of Standards	9
Evidence	11
Roles and Responsibilities	13

Introduction

The Scottish Health Plan *Our National Health: a plan for action, a plan for change* sets out a number of challenges for the service and in particular new NHS Boards. One of the key challenges was the establishment of a **Staff Governance Standard** for NHSScotland employees.

Following the principles of *Our National Health*:

- *Local Staff Partnership Forums will be directly involved in assessing the performance of NHS Boards as employers through audits of the component organisations, as part of the new accountability arrangements.*
- *We intend to raise the status of good people management in the NHS in Scotland, to emphasise its importance alongside corporate and clinical governance.*
- *We propose to establish a new Staff Governance Standard for the NHS in Scotland.*
- *Under the Staff Governance Standard, staff will be entitled to be:*
 - *Well informed*
 - *Appropriately trained*
 - *Involved in decisions which affect them*
 - *Treated fairly and consistently*
 - *Provided with an improved and safe working environment*
- *Performance against the Staff Governance Standard will be assessed by the Scottish Partnership Forum and Local Partnership Forums and form an integral part of the new Performance and Accountability Framework.*

Staff Governance introduces the third component of governance combining with financial and clinical governance to complete the governance framework within which NHS Boards and Special Health Boards are required to operate. Each Board will be expected to have three standing committees covering these three critical areas. The new Performance and Accountability Framework for NHSScotland will, for the first time, ensure that Boards are equally accountable for how they behave as employers (or as a family of employers) as well as their existing accountability for finance and clinical matters. Boards will be expected to demonstrate that they are exemplar employers.

Strategic Framework

Towards a New Way of Working, the Human Resources Strategy for the NHS in Scotland, which was launched in 1998, required a fundamental change in culture within the NHS and placed the concept of partnership working at the heart of how employment issues should be dealt with within the service. The introduction of a Staff Governance Standard requires consideration of progress made in delivering the staff management agenda set out in the Strategy.

A number of policies and agreements have since been agreed and organisations are expected to implement these:

- *Learning Together, the Education, Training and Lifelong Learning Strategy*
- *New Deal for the Unemployed*
- *Partnership Model*
- *Scottish Integrated Workforce Planning Group Report*
- *Employee Director on NHS Board*
- *Student Nurse Intake Planning*
- *Medical Census*
- *PIN Guidelines*
- *Organisation Change*
- *Use of Temporary Contracts*
- *Temporary Measures, Use of Bank and Agency Staff*
- *Discretionary Points*
- *Towards a Safer, Healthier Workplace, the Occupational Health and Safety Services Strategy*
- *New Deal for Junior Doctors*
- *Working Time Regulations*

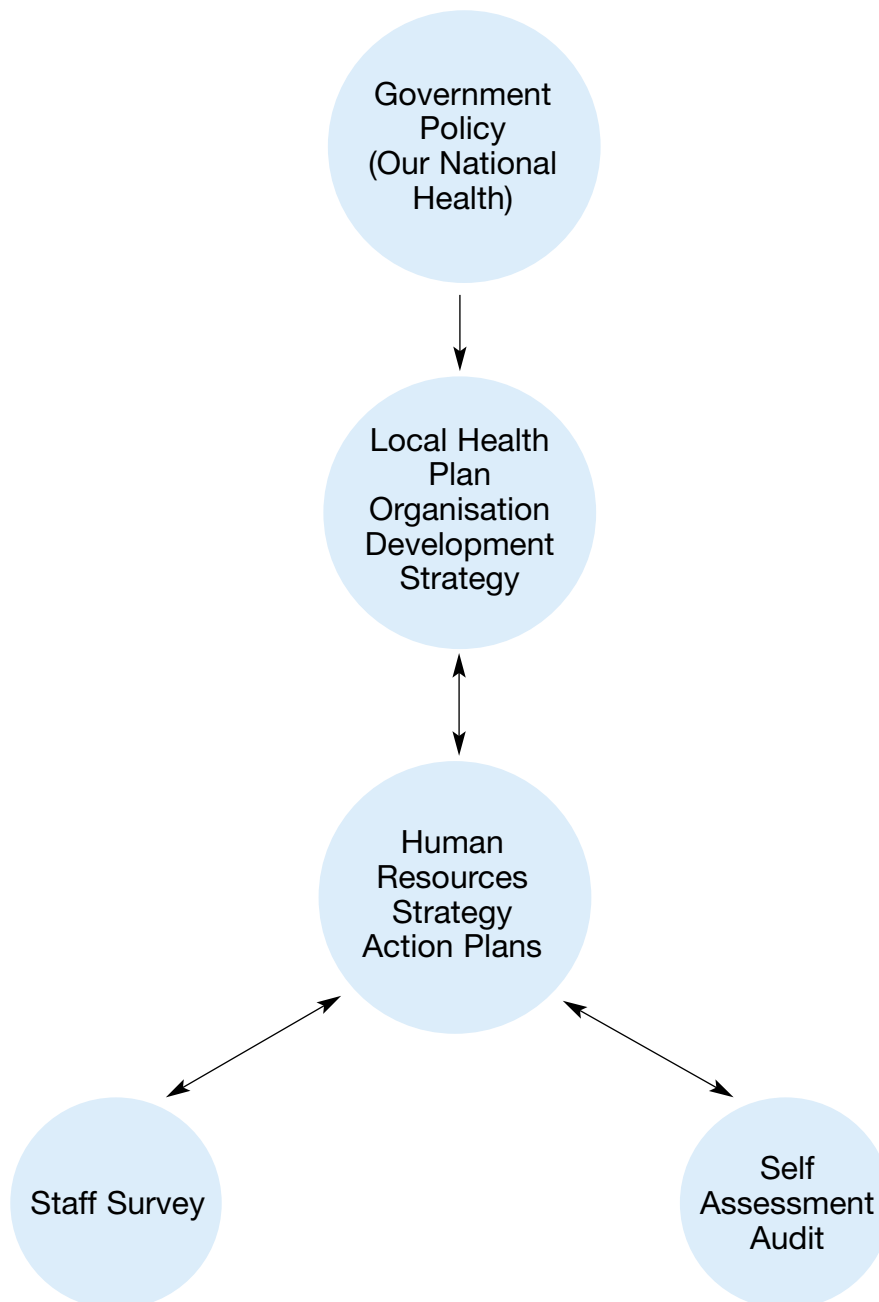
Implicit in the implementation of the Staff Governance Standard is that all legal obligations are met.

As well as the implementation of existing policies and agreements organisations are asked to continuously improve in relation to the fair and effective management of staff and the definitions provided within this standard document. Measurement of success will be carried out locally but results will be submitted to the Scottish Executive Health Department under the new Performance Assessment Framework.

The Performance Assessment Framework will include the five standards which form the Staff Governance Standard. Each standard will be assessed in relation to policy, targets and organisation effectiveness. No one form of measurement will be utilised and there is flexibility for local health systems to agree and set their own priorities. Therefore, information will be submitted within this framework in the following way:

- *audit report from the Local Partnership Forum*
- *staff survey results and action plans*
- *human resource and organisation development strategies*
- *statistical information against agreed targets*

This process is reflected here



Given this, Staff Governance is part of a wider evolutionary process which can, and should, be viewed in the wider context in terms of responsibilities of the individual and the team within an organisation. The Standard definitions and evidence collected should be reviewed on an annual basis to take account of the evolutionary nature of staff governance and the differences between organisations. The Standard should also be set in the context of existing audits carried out by the Clinical Standards Board, CNORIS, Scottish Health Advisory Service and Audit Scotland.

The Staff Governance Standard sets out the minimum standard which must be achieved by each NHSScotland employer in the management of staff.

Definition of Staff Governance

Staff Governance is a system of corporate accountability for the fair and effective management of all staff.

The public values NHS staff, and the NHS must do the same. Staff Governance underpins the cultural change initiated with the national Human Resources Strategy which asks employers to recognise that investment in staff must be viewed as a direct investment in patient care. Staff Governance has five key standards which employers will be required to deliver, entitling staff to be:

- *Well informed*
- *Appropriately trained*
- *Involved in decisions which affect them*
- *Treated fairly and consistently*
- *Provided with an improved and safe working environment*

Definition of Standards

Well informed

- All staff receive information about their organisation at regular intervals
- Leadership arrangements will ensure all staff have regular dialogue and communication with the opportunity to feedback on organisational issues at all levels
- All staff will have access to communication systems including IT and will be provided with appropriate training

Appropriately trained

- Organisations will implement Learning Together the Education, Training and Lifelong Learning Strategy
- There will be equity of access to training irrespective of working arrangements or profession
- Resources including time and funding will be allocated to meet the training and development needs identified locally

Involved in decisions which affect them

- All staff will have the opportunity to be involved in planning and development decisions which affect them
- A framework for partnership working including local and area partnership forums will exist to enable staff involvement through their trade union/professional organisation representatives
- Service developments will be planned in partnership with full consideration to workforce issues including planning which will be costed and included as standard practice

Treated fairly and consistently

- NHSScotland will be an exemplar employer with best practice human resources policies and procedures in use
- Employees within NHSScotland will be treated fairly and consistently with PIN guidelines being met or exceeded wherever they work within the service
- Staff within NHSScotland can expect security of employment throughout the modernisation agenda and organisational change

Provided with an improved and safe working environment

- Organisations will implement Towards a Safer Healthier Workplace the Occupational Health and Safety Services Strategy
- Resources including time and funding will be allocated to meet a Health and Safety Strategy agreed and audited annually by the local Health and Safety Committee, Board and Partnership Forum. These resources will be applied on an equitable basis irrespective of working arrangements or profession
- NHS premises will be fit for purpose and the personal safety of patients and employees will be paramount in the design and operation of the service

Evidence

Evidence to measure success against the standard will be provided in three ways, the self-assessment audit tool will be completed and will provide the qualitative information required to measure against policy. Statistical returns, some of which are currently required, will provide the quantitative information required to measure progress towards targets and finally a staff survey will be conducted to gauge organisation effectiveness against the full standard.

As a minimum the tools provided will measure the following:

Well informed

- Regular staff meetings take place with management and trade unions/professional organisations
- A system is in place which ensures shiftworkers/part-time/night staff have equal access to information
- A communications strategy is developed in partnership and is audited at regular intervals
- An audit of staff is conducted to ascertain what information is required
- Action plans to develop communications systems including IT are in place and monitored

Appropriately trained

- All staff will have a Personal Development Plan
- Local Learning Plans will be developed and implemented
- Induction Training and Personal Development Planning and Review PIN Guidelines will be implemented
- New Deal targets for the unemployed will be monitored
- Training activity records will be maintained
- Monitoring of the prevalence of open learning centres, night and weekend training events will be carried out
- A training budget will be allocated and monitored together with activity

Involved in decisions which affect them

- An organisational change/change management procedure will be put in place which gives staff the opportunity to be involved
- An Employee Director will sit on the NHS Board
- A communications strategy will include provision for the involvement of staff in decisions which affect them
- A Local Partnership Forum will be in place addressing key organisational/strategic issues
- An Area Partnership Forum will be in place addressing key organisational/strategic issues
- A facilities budget to support partnership working will be established
- The Facilities Arrangements PIN Guideline will be implemented
- No service development plans will be considered without the workforce issues having been included in the plan
- SNIP returns will be monitored
- Medical census returns will be monitored

Treated fairly and consistently

- Temporary contracts will be used as determined within the National Agreement
- Use of bank and agency staff will be monitored
- Uptake of family friendly policies will be monitored
- Family Friendly Policies, Management of Employee Conduct, Equal Opportunities Policies and Dignity at Work PIN Guidelines will be implemented
- Numbers of disciplinaries/grievances/tribunals will be monitored
- Discretionary points will be applied within the scope of the National Agreement
- The New Deal for Junior doctors will be implemented
- Staff turnover and vacancy rates will be monitored
- The Organisational Change National Agreement will be implemented

Provided with an improved and safe working environment

- A health and safety strategy will be in place and reviewed regularly
- OHS minimum data requirements will be met and an action plan put in place as appropriate
- Staff absence rates will be monitored
- Number of accidents/near misses will be monitored
- Compliance with the Working Time Regulations will be achieved
- CNORIS level 1 will be achieved
- SHAW bronze award will be achieved in the first instance

Roles and Responsibilities

NHS Board

Responsibility and accountability for performance against the Staff Governance Standard addressing the issues of policy, targets and organisational effectiveness will lie ultimately with the NHS Board. Boards will be expected to demonstrate achievement and progress towards the standard through:

- *qualitative data collected during the self-assessment audit conducted by the Local Partnership Forum*
- *the action plans submitted to, and approved by, the Staff Governance Committee*
- *staff survey results*
- *quantitative data provided in statistical returns*

This information will form part of the submission of the Board required for the Performance Assessment Framework which will inform regular discussions between the Health Department and NHS Boards in relation to their performance.

Staff Governance Committees will be established as standing committees of the NHS Board which, together with the Clinical Governance Committee and Audit Committee, will form the full governance arrangements for NHS Boards.

As a minimum the Staff Governance Committee will comprise of the Chair from each of the NHS employers within the Board area and the Employee Director. Membership of the Staff Governance Committee thereafter will be decided locally to meet the needs of the NHS Board.

Staff Governance Committee

The remit of the Staff Governance Committee is to support the creation of a culture within the health system, where, the delivery of the highest standard possible of staff management is understood to be the responsibility of everyone working within the system and is built upon partnership and collaboration. The Staff Governance Committee will require to introduce structures and processes which assure that this is happening.

Much of the monitoring and evaluation at this level will be done through the approval of strategies and implementation plans. This committee will support any policy amendment, funding/resource submission to achieve the Staff Governance Standard.

The committee will be responsible for the timely submission of all the data required as part of the Performance and Accountability Framework.

The Staff Governance Committee should establish a Remuneration Sub-Committee which will consider remuneration of the Executive Directors within the NHS Board area.

The Remuneration Sub-Committee may also consider the remuneration of staff employed under executive and senior manager pay arrangements where appropriate. Where this is not the case component organisations should put in place appropriate arrangements agreed with the Remuneration Sub-Committee to fulfil this responsibility.

Membership of the Remuneration Sub-Committee should comprise of the Chair of each component organisation and one further Board Non-Executive Director who will also receive appropriate training. It is a local decision whether this could appropriately be the Employee Director.

These arrangements also apply to Special Health Boards.

Local Partnership Forum

Local Partnership Forums are required to undertake a self-assessment audit to assess performance against the Staff Governance Standard. The audit report will form part of the return to the Scottish Executive Health Department under the Performance Assessment Framework.

From the audit report a Human Resources Strategy and Organisation Development Strategy should be produced at organisation level which will be submitted to the Area Partnership Forum for consideration together with nationally agreed initiatives in the development of the Local Health Plan.

To assess organisation effectiveness and the impact of this on staff a staff survey will be carried out. The Local Partnership Forum will play a key role in the promotion of the survey, the administration of questionnaires and feedback of results to staff. The Local Partnership Forum will work with local managers and staff to produce action plans in light of survey results. Action plans and summaries of survey results will be submitted to the Area Partnership Forum where a system of measurement for continuous improvement between surveys will be agreed. All of this information will be subject to approval of the Staff Governance Committee.

Area Partnership Forum

The Area Partnership forum within the NHS Board area will take an overview of local organisations and assure that best practice is shared across the area. It will also be a role of the Area Partnership Forum to recognise where a joint health system approach would be of optimum benefit. Policy development across the health system to support staff governance will also be carried out by the Area Partnership Forum.

Action plans, human resource strategies, organisation development strategies produced locally will be considered by the Area Partnership Forum together with the wider issues across the health system for inclusion in the Local Health Plan.

Likewise the results of the staff survey and action plans will be shared with the Area Partnership Forum which will be responsible for putting in place any interim measurement and monitoring arrangements required between surveys.

It should be noted that the Area Partnership Forum will be involved in issues beyond human resources.

The Area Partnership Forum will contribute to the development of the local health plan and assess the impact of decisions upon the staff governance agenda feeding in solutions/proposals as necessary.

The Area Partnership Forum will liaise with the Scottish Partnership Forum providing reports on progress within their area. This flow of information will be two way and the Scottish Partnership Forum will consult with the Area Partnership Forums on any proposals for policy development they are considering and any problems highlighted from statistical returns that require local attention or explanation.

Scottish Partnership Forum/Audit Scotland

Audit Scotland have recently issued *Managing People in the NHS in Scotland* which externally audits many areas of the Human Resources and Staff Governance agenda. To avoid any unnecessary duplication the Scottish Partnership Forum is in discussion with Audit Scotland exploring the possibility of external evaluation through visits in partnership.

Links between the Area Partnership Forums and the Scottish Partnership Forum will be strengthened to allow for any difficulties/problems that are unable to be resolved at local level to obtain support. This will provide the Scottish Partnership Forum with much of the information to support its agenda in formulation of policy and strategic direction to support the service in achieving national goals.

Staff Governance Standard Working Group

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