

Clinical Commissioning Group Governing Body
Paper Summary Sheet
Date of Meeting: 24 March 2015

For: PUBLIC session PRIVATE Session
 For: Decision Discussion Noting

Agenda Item and title:	GOV/15/03/19 Workforce Report CSU – Q3
Author:	Kate Roberts, Human Resources Business Partner, CSCSU
Lead Director/GP from CCG:	David Noyes, Director of Planning, Performance and Corporate Services
Executive summary:	This report is designed to update the CCG on workforce activities up to the end of Q3 and provide workforce data.
Evidence in support of arguments:	HR Workforce Profile Report and Core Training Report
Who has been involved/contributed:	David Noyes and Rob Hayday in commenting on draft workforce data.
Cross Reference to Strategic Objectives:	Crosses all strategic objectives
Engagement and Involvement:	No direct patient or public involvement or staff side engagement and consultation required
Communications Issues:	n/a
Financial Implications:	Managing establishment and workforce within budget restrictions is a requirement; this report gives a high level overview of the current workforce position and areas for development.
Review arrangements:	n/a
Risk Management:	The implementation of Objectives, absence management and statutory and mandatory training across the organisation ensures legal compliance and minimises risk to the organisation and its staff members.
National Policy/ Legislation:	n/a
Equality & Diversity:	This report provides a breakdown of Equality and Diversity Data for the organisation in relation to race, disability and gender.
Other External Assessment:	n/a

What specific action re. the paper do you wish the Governing Body to take at the meeting?	The Governing Body are asked to review and discuss the report.
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Wiltshire CCG, Workforce Report - Quarter 3, 2014-15

1. Introduction

This report has been prepared for Wiltshire CCG and represents the HR report for Quarter as at 31st December 2014. Attached to this narrative report at Appendix 1 is the HR Workforce Profile Report, at Appendix 2, the Core Training Report, and at Appendix 3, the Appraisal activity report. Each report outlines key statistical data. The narrative also provides some updates to the CCG on current workforce activities within the organisation.

This report will be produced at the end of each quarter, the next report covering Quarter 4 – January to March 2015 - will be produced by the 30th April 2015.

2. Establishment

Wiltshire CCG has reached a relatively stable position in employee numbers since the last report, and has now reached a slightly increased headcount of 128, with a whole time equivalent (WTE) of 111.71. Previous headcount for the period ending 30th September 2014 was 121, and the WTE was 105.43.

Robust recruitment checking processes are in place to ensure all recruitment activity has finance and director approval prior to proceeding to advert, in order to monitor and control running costs.

Those staff who may be working on an interim or agency basis with the CCG and who are not on the payroll are not included in these numbers.

More detailed information relating to the starters and leavers during this period can be found on Page 3 of the attached Workforce Profile report, but the year to date summary is shown below:

Month	Starters Headcount	Turnover Headcount
April	5	0
May	8	1
June	0	1
July	0	4
Aug	2	3
Sep	1	3
Oct	4	1
Nov	4	2
Dec	4	1
Total	28	16

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

(NB the previously reported headcount of 121 for the end of Q2 did not reflect two additional starters who were processed through payroll after the cut-off point for the report. In addition, 3 leavers left the CCG on the 30th September, so were reported within the headcount of 123 as they were still employed on that day. Final adjusted headcount for Q2 therefore was 120, which with 4 more leavers and 12 new starters in Q3 gives a new headcount of 128 for the end of Q3).

Comparative year-to-date leaver data for the same months of last year (2013) can be seen on Page 3 of the attached Workforce Profile report.

2.1. New Staff

12 new staff were recruited during this period in the following roles:

- **Commissioning – WWYKD Group**
 - Interim Learning and Disability Commissioning Lead
 - Mental Health, LD & Dementia Commissioner
- **Continuing Healthcare**
 - CHC Administrator
 - Business Manager CHC/FHC – Specialist Placements
- **Continuing Healthcare Retro Team**
 - Administrator
- **Exceptions & Prior Approvals**
 - Administrator
- **Finance**
 - Invoice Query Manager (two posts)
 - PALS Officer
- **Quality**
 - Quality and Patient Safety Manager
 - Administrator (two posts)

2.2. Turnover and Reasons for Leaving

There have been 4 leavers recorded since 1st October 2014, giving an average quarterly turnover rate of 3.18%. This is calculated by dividing the number of leavers by the average headcount in this period (125.6), multiplied by 100. This is significantly fewer than the 10 leavers recorded for the previous quarter.

The 4 leavers were in the following posts:

- AD Commissioning
- Administrator
- PALS Officer
- Governance Pharmacist

Of the 4 staff who left the CCG during the quarter, the reasons given were:

- Voluntary Resignation - Other/Not Known (two posts)
- Redundancy – Compulsory
- End of Fixed-term Contract

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

2.3. Exit Interviews & Survey Monkey questionnaires

ConSultHR have recently introduced the use of on-line questionnaires via the Survey Monkey tool.

The on-line questionnaires have a number of benefits and allow us to:

- Send a link to staff to enable them to complete the survey on-line quickly and easily
- Collate initial results automatically
- Encourage higher response rates

No exit interview surveys have however been returned for this quarter, but this issue will be revisited in Quarter 4.

2.4. Length of Service

Actual continuous NHS length of service for Wiltshire CCG staff is shown in the table on Page 3 of the attached Workforce Profile report.

2.5. Business Unit Structure

The CCG structure shown in Appendix 1 is a direct report from the Electronic Staff Record (ESR) system which was established for the organisation on 1st April 2013.

The directorate titles for reporting requirements should be regularly reviewed by the CCG to ensure they are meaningful and continue to reflect the organisation's structure.

3. Monthly HR reporting

ConSultHR is now producing monthly reports to support the HR Manager in on-going monitoring for the CCG in respect of:

- starters and leavers
- sickness absence in detail (both long and short-term, by individual employee)
- fixed-term contracts, and
- professional registration renewal dates.

4. Core Training

Provision for statutory and mandatory training is via the Skills for Health e-learning platform, with the exception of Information Governance training which is provided via the Connecting for Health platform. .

During the second year of reporting the levels of statutory and mandatory training compliance have been built cumulatively. The progress achieved during the year reflects the importance the organisation has attached to this training, and the attention and support it has been given by CCG Directors and Senior Managers and the CSCSU HR Manager aligned to Wiltshire CCG in particular.

To give the fullest picture as at 31st December 2014, the attached report gives the data for a rolling 12 month period rather than just for the first three quarters.

ConSultHR has undertaken additional work to enhance this report so that it provides greater detail on, for example, due dates for training renewal. This has now presented in a 'Red/Amber/Green' format which provides more detailed and targeted support to line managers in monitoring both the completion and (importantly) the maintenance of all necessary mandatory training programmes for their teams.

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

Red indicates that employees have either not registered for Skills for Health at all, or have allowed one or more of their modules to lapse beyond its renewal date. Amber has been lengthened and now represents those employees with a module due for renewal in the next 4 months, and Green represents those with certificates with more than 3 months to go before renewal is due.

Levels of compliance for the Fire Safety module have dropped somewhat – compliance levels were running at 57% at the end of the last quarter, but have now dropped a little to 53%. Once refresher training has been completed by those with overdue renewal dates, this position should improve and stabilise – Fire Safety training has recently changed from an annual renewal cycle to a two-yearly renewal requirement.

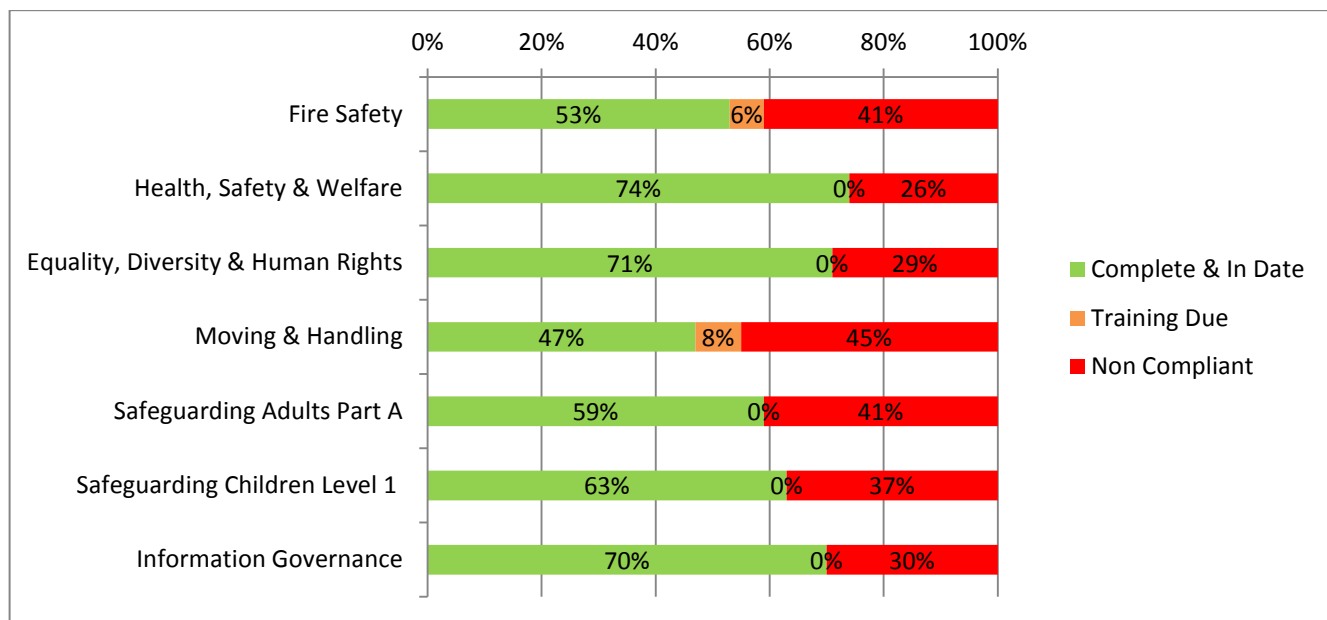
Core Training completion remains a priority for the organisation and it is recommended that Directors and Managers should be tasked with raising the profile of this across the organisation to ensure their staff are compliant with organisational requirements.

By using the detailed breakdown attached at Appendix 2, the CCG should ensure that Directorate Managers discuss training completion with each member of staff who has not yet commenced and completed or updated their statutory training, and agrees the target and date for achieving full compliance for the organisation.

4.1. Core Training Completion Summary

The summary of completion to 31st December 2014 is shown below; the full details are shown in Appendix 2.

Summary – Wiltshire CCG from 1st January 2014 to 31st December 2014



5. Appraisals

An appraisal and objective-setting process has been established and communicated within the CCG and work to ensure that all staff have annual objectives in place for this financial year has been a subject of focus over recent months.

To support this process, a methodology for managers to report on completion of appraisals has been developed with the HR Manager so that this information can be recorded and reported on by ConSultHR each quarter as part of this Workforce Report.

This reporting mechanism has been implemented and enables the CCG to monitor the completion of performance reviews, together with objective-setting and the development of individual Personal Development Plans for all employees. The detailed analysis of appraisal activity over the last year is attached at Appendix 3, and a summary can be seen below.

Feedback from the Staff Survey report indicates that staff would welcome more regular performance reviews and opportunities for feedback from their line managers, and this will be progressed as part of the follow-up activities agreed by the Executive team following the survey. (see Section 10 below).

Quarter 3 - 2014/15 - Performance Reviews/ Objectives Completed - Wiltshire CCG

	Number of staff reporting appraisal activity*	Percentage of total number of Wiltshire CCG staff
Performance reviewed and objectives set in last 12 months	64	50%

**This number reflects those staff who reported having had an appraisal or performance review in this period. Activity levels may be higher if there has been a degree of under-reporting.*

Once all or most CCG employees have an agreed PDP in place it is intended that ConSultHR will work with Directors to undertake a Training Needs Analysis later in the year.

6. Line Manager training

Line manager training has been delivered by ConSultHR in previous months on Performance Management, Appraisal, Sickness Absence Management and Recruitment & Selection. This opportunity continues to be available.

This training programme will be reviewed in the next quarter to determine what other provision might be required. This may include further sessions on Appraisal to support the re-launch of this process across the CCG.

7. Pensions Briefing sessions

A Pensions briefing was delivered to CCG staff by ConSultHR to highlight and explain the forthcoming changes in the new NHS Pensions Scheme which will be in place from April 2015.

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

8. Attendance Management

Sickness rates across the organisation remain acceptable and reasonably low, although they have reduced very slightly since Q1. Historically, average sickness rates in the PCT were recorded at around 2 to 3%.

Wiltshire CCG sickness absence figures are currently running at 2.76% for the year ending 31st December 2014. This is comparable to the absence figure for the year ending 30th September when the absence rate was 2.74%.

The report on page 3 of the attached Workforce Profile shows sickness absence as a monthly percentage across the whole year, and clearly shows the peaks and troughs of absence during the rolling year across the organisation.

Of particular note are the higher absence rates of 5.03%, 3.57% and 3.24% for the months of October, November and December respectively. This was a high quarter overall, and the 5.03% absence rate for October was the highest monthly rate of absence for the whole year.

The HR Manager continues to work closely with CCG managers to ensure that the culture of sickness reporting is embedded with their teams and they are well supported with any attendance issues.

Locally delivered HR Line Manager Training on Absence Management is also available in order to coach, support and train managers in handling these issues effectively.

8.1. Long Term Sickness

During Quarter 3 the CCG had 4 staff members on long term sick (any period over 1 month). These cases are being reviewed and managed with HR support and advice on a regular basis.

9. Employee Relations

9.1. Disciplinary, Capability and Grievance issues

ConSultHR has provided extensive advice and support to the CCG in managing a number of significant/complex formal employee relations issues, relating to both capability and conduct.

9.2. Industrial action

ConSultHR has provided regular briefings and guidance for the CCG over recent months in relation to the national programme of industrial action which began on 13th October. Whilst the impact upon the CCG itself was limited, the wider issue for the CCG was in understanding and monitoring the potential impact upon the ability of key local providers to maintain clinical services for their local population.

This national dispute over the implementation of the national Agenda for Change pay award has continued and worsened over recent weeks, and further advice and readiness guidance has been issued to the CCG. Additional dates for both strike action and action short of striking - eg ensuring breaks were taken and overtime not done - were scheduled for January and February.

At the time of writing the imminent threat of action has been suspended pending formal consideration by the Trades Unions of a revised offer by the Government of a national pay award much closer to the original recommendation by the Pay review Body. Informal signs are that this offer is likely to be accepted.

10. Staff Survey

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

The first annual Staff Survey Report for Wiltshire CCG was delivered during this period, with the survey itself running for three weeks and closing on the 5th October. The CCG achieved a response rate of 57% (69 staff, based on the headcount at that point) which was clearly better than the average response rate of 49% for NHS organisations taking part in the NHS 2013 Staff Survey.

A full Survey Report with a detailed analysis of the results was delivered to the Director of Planning, Performance and Corporate Services in November, followed by a meeting to discuss taking the key findings of the survey forward. The key themes arising where we can do better were:

- Internal communication flow and consistency of messaging via dialogue with senior and line managers
- Establishment of clear priorities and application of the appraisal system (including Personal Development Plans)

Action planning processes were proposed and discussed, and an approach to communicating the results and the next steps throughout the CCG was agreed.

ConSultHR will be working closely with the DPPCS to support the implementation of the Action Planning process over the coming period.

11. Equality and Human Rights

The HR Workforce Profile Report at Appendix 1 shows in more detail the breakdown of the staffing within the CCG. This is useful information to demonstrate that the make-up of the workforce is being reviewed and can provide information on an annual basis to meet equality requirements. Broadly the organisation reflects the Wiltshire demographic although it should be noted that ethnic minorities are under-represented within the workforce. Consideration may need to be given to this as part of recruitment if the CCG wish to encourage the development of a more diverse workforce.

The CSU is working with the CCG to provide support in identifying legal requirements, tools for self-assessing equalities performance and conducting Equality Impact Analyses, access to EIA training and running equalities awareness sessions for the Governing Body and managers.

12. Health and Wellbeing

12.1. Flu Clinic

A 'flu clinic' was arranged by the ConSultHR team and provided by the CCG's Occupational Health provider. This clinic offered all CCG staff the opportunity to have an annual flu vaccination.

13. New developments

13.1. Total Reward Statements

Total Reward Statements (TRS) were rolled out by ConSultHR in Q3 on behalf of the CCG as part of the national implementation programme. TRS provide individualised summaries for all staff on their own benefits package – including their basic salary, any allowances, their (NHS) pension benefits, and any other benefits including childcare vouchers or local personal learning pots.

Information was sent to staff with their payslips in October and the personal statements became accessible for staff to view online from the end of October.

Statements are planned to be updated on annual basis, and the information is based upon the data held in ESR.

This report has been prepared by Central Southern Commissioning Support Unit, ConSultHR Service.

13.2. E-Expenses

Following the negotiation of discounted licence and implementation costs delivered by ConSultHR, Wiltshire CCG are implementing a new e-expenses system for all staff travel payments. ConSultHR has produced a detailed implementation plan to achieve a go-live date of 1st April 2015.

A programme is in place to introduce User guides, FAQs and system demonstrations for staff prior to the launch. A Travel and Expenses Policy has been drafted for the CCG by ConSultHR to support the introduction of this new system.

14. Appendices

Appendix 1 – HR Workforce Profile Report Q3

Appendix 2 – Core Training Report Q3

Appendix 3 – Appraisal activity Q3

Below is a short summary of the workforce profile for Wiltshire CCG as at 31/12/2014

Workforce Information

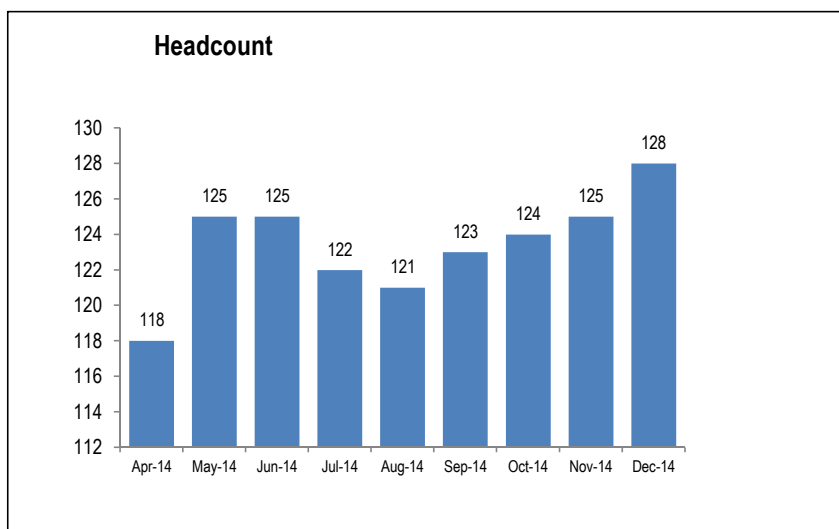
Wiltshire CCG employs 128 people. Of these 88 (68.75%) are employed full time and 40 (31.25%) are part time roles. The total full time equivalent employed is 111.71 (FTE).

The workforce hold 129 job contracts, which consists of 116 employees on permanent contracts, 9 on fixed term contracts, 2 on bank and 2 on other contracts.

The structure is as below:

Business Unit	full time	part time	total	%
983 Governing Body Directorate	9	5	14	10.94%
983 Medicines Management Directorate	3	6	9	7.03%
983 Finance & Information Directorate	15	3	18	14.06%
983 Exceptions & Prior Approvals Directorate	4	0	4	3.13%
983 Quality & Patient Safety Inc Meds Mgmt & CHC Directorate	31	13	44	34.38%
983 Commissioning - WWYKD Group Directorate	7	4	11	8.59%
983 Corporate Services Directorate	4	3	7	5.47%
983 Referral Support Directorate	6	2	8	6.25%
983 Commissioning - NEW Group Directorate	6	2	8	6.25%
983 Commissioning - SARUM Group Directorate	3	2	5	3.91%
Grand Total	88	40	128	100.00%

Headcount



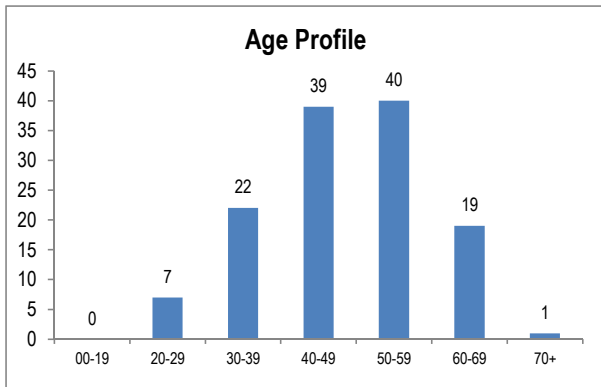
Demographics

100 (78.13%) of the workforce is female and 28 (21.88%) are male, but 32 (80.00%) of the part-time workforce is female.

The workforce age profile is:

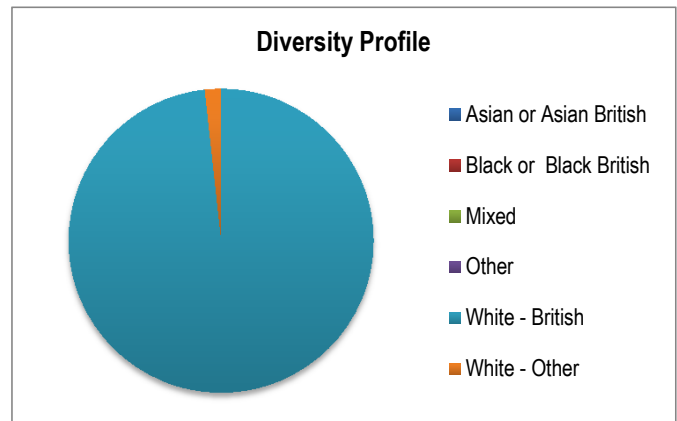
Age Group	No. of Emps	%
00-19	0	0.00%
20-29	7	5.47%
30-39	22	17.19%
40-49	39	30.47%
50-59	40	31.25%
60-69	19	14.84%
70+	1	0.78%
Grand Total	128	100.00%

The average age of an employee is 47.



The diversity profile is:

Ethnic Group	No. of Emps	%
Asian or Asian British	0	0.00%
Black or Black British	0	0.00%
Mixed	0	0.00%
Other	0	0.00%
White - British	114	98.28%
White - Other	2	1.72%
Total (without 'Unspecified')	116	100.00%
Unspecified	12	9.38%
Grand Total	128	100.00%



Disability

Disabled	No. of Emps	%
Yes	2	1.87%
No	105	98.13%
Total (without 'Unspecified')	107	100.00%
Unspecified	21	16.41%
Grand Total	128	100.00%

A disabled person is defined as someone who has a physical or mental impairment that has a substantial and long term adverse effect on his or her ability to carry out normal day to day activities.

Religion & Belief

Religion	No. of Emps	%
Atheism	12	9.38%
Buddhism	0	0.00%
Christianity	68	53.13%
Hinduism	0	0.00%
Islam	0	0.00%
Sikhism	0	0.00%
Other	7	5.47%
I do not wish to disclose my religion/belief	41	32.03%
Unspecified	0	0.00%
Grand Total	128	100.00%
Total (without 'Unspecified')	128	100.00%

Sexual Orientation

Sexual Orientation	No. of Emps	%
Bisexual, Gay and Lesbian	2	1.56%
Heterosexual	95	74.22%
I do not wish to disclose my sexual orientation	31	24.22%
Unspecified	0	0.00%
Grand Total	128	100.00%
Total (without 'Unspecified')	128	100.00%

Length of Service (at Wiltshire CCG)

128 (100.00%) of staff have been employed less than 5 years, 0 (0.00%) have been employed between 5 and 19 years and 0 (0.00%) have been employed for 20 years or more.

Length of Continuous NHS Service

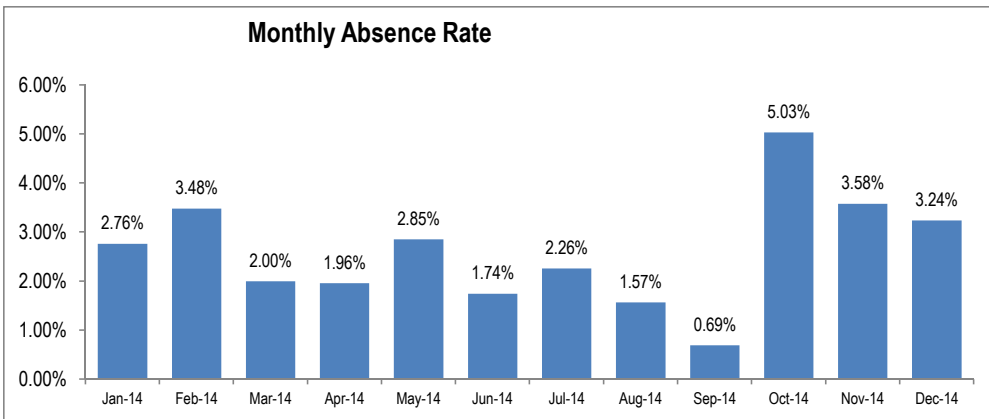
Continuous period of service	Headcount	% of total headcount
0 to 1 year	18	14.06
1 to 2 years	28	21.88
2 to 5 years	18	14.06
5 to 10 years	26	20.31
Over 10 years	38	29.69

Sickness

The cumulative WTE absence from 01-JAN-2014 to 31-DEC-2014 is 1,065.44

The cumulative WTE available for the period of 01-DEC-2014 to 31-DEC-2014 is 38,560.54

The cumulative WTE rate for the period of 01-DEC-2014 to 31-DEC-2014 is 2.76%



Starters

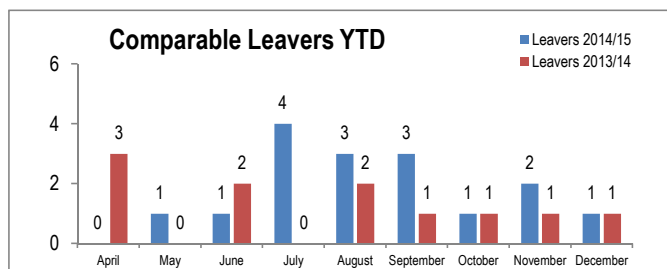
For the period 01-Oct-2014 to 31-Dec-2014.

Role	Total
Clerical Worker	8
Senior Manager	1
Officer	1
Manager	2
Grand Total	12

Leavers

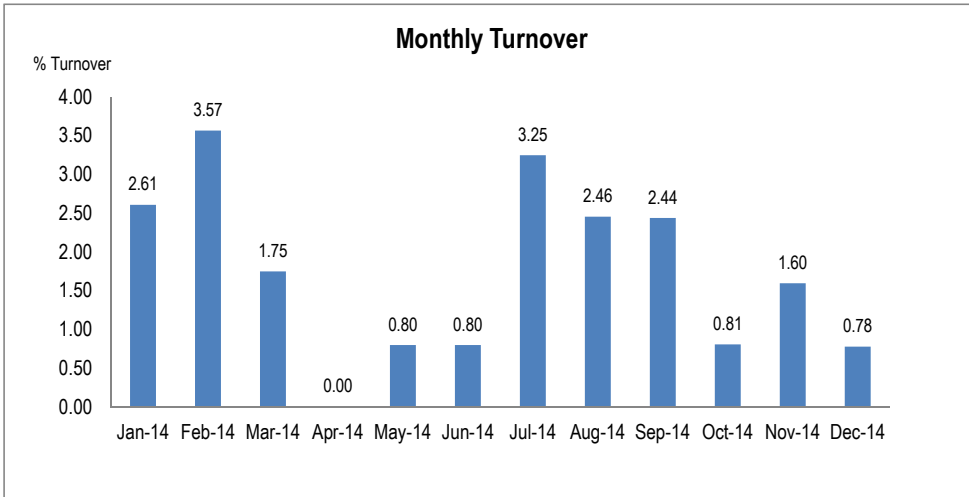
For the period 01-Oct-2014 to 31-Dec-2014.

Role	Total
Senior Manager	1
Clerical Worker	1
Officer	1
Pharmacist	1
Grand Total	4



Staff Turnover (permanent and fixed term staff)

The staff turnover for the period 01-OCT-2014 to 31-DEC-2014 is 3.18%. (No. of Leavers / Average Quarterly Headcount)

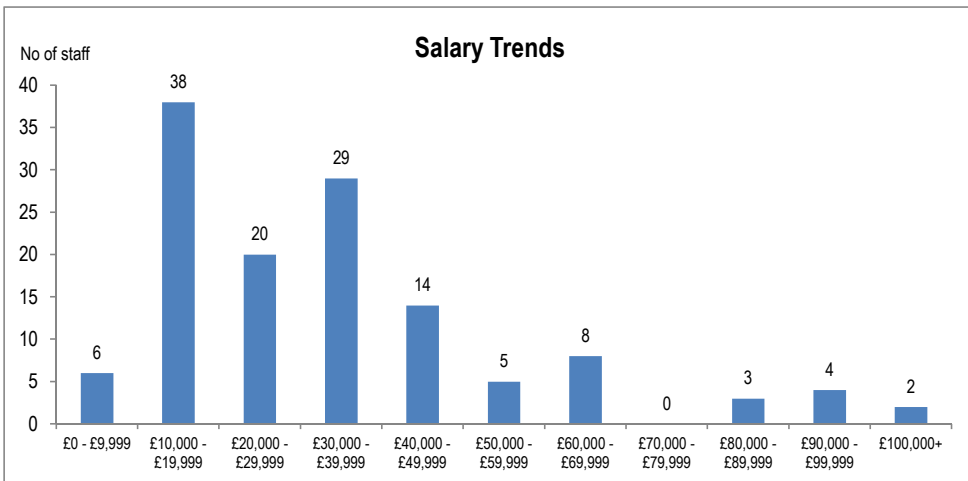


Salary

The following shows contracted basic salary per assignment (so reflects the part-time salary if applicable)

Salary Band	Assignment Count	%
£0 - £9,999	6	4.65%
£10,000 - £19,999	38	29.46%
£20,000 - £29,999	20	15.50%
£30,000 - £39,999	29	22.48%
£40,000 - £49,999	14	10.85%
£50,000 - £59,999	5	3.88%
£60,000 - £69,999	8	6.20%
£70,000 - £79,999	0	0.00%
£80,000 - £89,999	3	2.33%
£90,000 - £99,999	4	3.10%
£100,000+	2	1.55%
Grand Total	129	100.00%

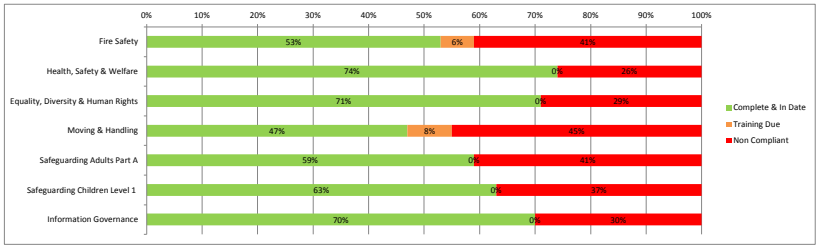
The average salary is £34,326.33.



End

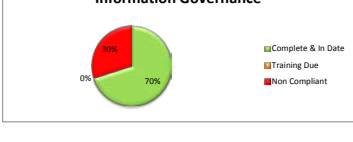
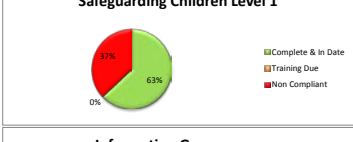
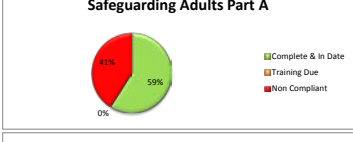
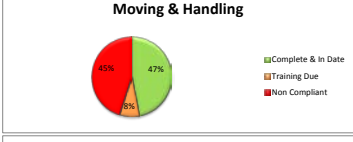
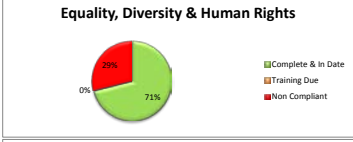
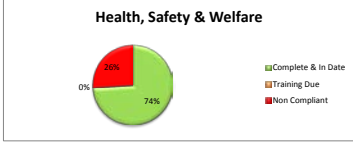
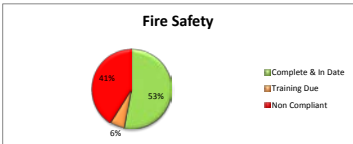
Quarter Three

Statutory & Mandatory Training - Wiltshire CCG



Statutory & Mandatory Training	Complete & In Date	Training Due	Non Compliant	Total
Fire Safety	53%	6%	41%	100%
Health, Safety & Welfare	74%	0%	26%	100%
Equality, Diversity & Human Rights	71%	0%	29%	100%
Moving & Handling	47%	8%	45%	100%
Safeguarding Adults Part A	59%	0%	41%	100%
Safeguarding Children Level 1	63%	0%	37%	100%
Information Governance	70%	0%	30%	100%

RAG Key
Expired or not complete
Due for renewal within 4 months
Complete & In Date



Wiltshire Clinical Commissioning Group - Appraisal Report

Directorate	Organisation	Total Staff	Review undertaken in last 6 months (as at 31.12.14)			Review undertaken in last 12 months (as at 31.12.14)		
			Percentage of staff received a review in last 6 months	by team	by Directorate	Percentage of staff received a review in last 12 months	by team	by Directorate
Executive	CEO/Board	8	0%	0	0	64%	7	9
	Chair & Non-Execs	6		0			2	
Sarum	Commissioning - SARUM Group	5	24%	3	4	59%	3	10
	Referral Support Service	8		1			7	
	Exceptions & Prior Approvals	4		0			0	
WWYKD	Commissioning - WWYKD Group	11	82%	9	9	82%	9	9
NEW	Commissioning - NEW Group	8	88%	7	7	88%	7	7
Quality & Patient Safety	Continuing Healthcare	18	39%	6	21	41%	6	22
	Continuing Healthcare Retro Team	3		0			0	
	Medicines Management	9		6			6	
	Nursing	2		1			1	
	Safeguarding	5		4			4	
	Quality	17		4			5	
Planning, Performance & Corporate Services	Communication & PR	2	57%	0	4	86%	1	6
	Risk Management	1		1			1	
	Corporate Costs & Services	2		1			2	
	Admin Projects	2		2			2	
Finance	Finance	15	0%	0	0	6%	1	1
	Business Informatics	2		0			0	
Total Staff		128	35%	45		50%	64	

Note - headcount does not include bank staff or interim staff