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By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: Emma Carrington

Date: 14th September 2020

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Unit code	**Unit title:** Contributing to Improving Organisational Performance	**Assessment criteria no.**	**Evidence description**	**Evidence reference number**	**Assessor initials**	**I/V initials i sampled**
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Candidate declaration:

- I confirm that the work/evidence presented for assessment is my own unaided work.
- I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action.
- I agree to this work being subjected to scrutiny by textual analysis software if required.
- I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998.
- I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records.
- I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.

Signature:	**ELCaarington**	**Date:**	**09/09/20**

Executive Summary

Performance Management (PMs) are the processes that contributes to the effective management of individuals and teams to achieve high levels of performance and aims to maintain and improve employee performance in line with an organisation's objectives. The objective of Performance Appraisal (PA) is to have a positive influence on individual and collective performance, raise morale, identify development opportunities, improve communication and reinforce management control and improve understanding of organisational goals.

PMs support employee's performance through identifying development needs, providing ongoing feedback and review and coaching (where required). PMs are also becoming significant factors of Development and Talent Management (Aguinis et al., 2012). Although performance appraisals theoretically are designed for employee development purposes, they typically are used for reward or compensation purposes. According to a 1977 survey by Locher and Teel (Schnake, 1987), 80.6% of small organisations surveyed and 62.2% of all large organizations use performance appraisals for this purpose.

PMs establishes shared understanding regarding what is to be achieved and an approach to leading and developing people which will ensure that its achieved (Armstrong & Baron, 2005; CIPD 2012i, p1). Appraisal and assessment have traditionally been completed in isolation and therefore have not been able to demonstrate their value to organisational performance. The 1990's saw an increased interest in PM ensuring that HRM is seen as vital to organisations, leading to improvements in performance and competitive advantage (Armstrong & Baron, 2004). The results of a ten-year international study within both the public and private sectors indicated that 23% of organisations were more productive when PM practices that met targets, incentives and monitoring were in place (Bloom et al, 2012).

The relevance of PM systems has been debated and questioned in relation to changing business models, workplace structures, technological developments, patterns of workplace conflict and the evolving needs of a diverse workforce. Armstrong *et al* (2004) claims that the focus of PM is on elements such as recognition, constructive feedback, personal development and career opportunities.

However, there will always be an inevitable tension within career management which has to satisfy both the interests of the organisation and those of the employee. Individuals may request a career where there is scope for development and progression, however, organisations need to ensure they have the right people in the right jobs and are building a talent pool for the future' (CIPD, 2003).

Good performance management arrangements can help an organisation to motivate staff, check that all staff are making valuable contributions towards organisational goals, develop staff, recognise and acknowledge the good work of employees, deliver tasks and projects quickly and to required standards, spot and improve poor performance. However, it is important to keep the arrangements as simple as possible, so that managers and staff do not work around it.

Performance management policies and processes within HEIW and the roles and responsibilities of those involved in them.

HEIW Values Based Performance Appraisal and Development Policy

On 5th March 2019, HEIW produced a Values Based Performance Appraisal and Development Policy (HEIW, 2019; NHS Employers, 2017; CIPD, 2019; Cardiff and Vale University Health Board) which will be reviewed during March 2022 (appendix 1). HEIWS vision is to, *"Transforming the workforce for a healthier Wales". The policy* was developed through engagement with employees, stakeholders and partners.

The policy (appendix 2) ensure consistency and covers six key principles: Values and behaviours, fundamental rights, Shared responsibility, Meaningful Process, Meaningful objectives and continuous development (EU Parliament, 2009; European Commission 2016; NWSSP 2017; Lencioni, 2002). HEIW involve all employees, trade unions and the NHS staff council within the consultation of all policies and procedures (Unison, Unite, ACAS).

HEIW's new values-based performance appraisal aims to determine personal and team objectives. It encourages honest and constructive feedback in an environment where productive, two-way discussions between line managers and employees become natural. Learning and Development (CIPD, 2020; HR Zone, 2020; HBR, 2019; IMD, 2020) is a core feature of the scheme. HEIW pledge to continually develop leaders and managers so that they undertake their roles with consistency and competence allowing employees to have a clear line of sight to the Annual Plan.

The people team provide training to line managers and appraisers on the policy, along with the development of action plans for the promotion of health and wellbeing at work as a means of improving the wellbeing and work performance of employees (Judge et al 2001, Lyubmirsky et al 2005; Peccei et al, 2013; Van de Voorde et al 2012; Engage for success, 2014; Bailey et al, 2015a, 2015b; Dylag et al 2013; Oswald et al, 2014; Zelenski et al, 2008; Gallup, 2013; Diener and Chan, 2011; Staw et al, 1994; Grey, 2014; ACAS, 2020).

Line managers are responsible for setting speciality and departmental objectives in support of HEIW's strategic aims; applying the policy to all employees and reporting information on completion of the review process as required. The Executive team is responsible for setting the strategic direction within the organisation, developing HEIW's strategic aims and objectives and ensuring that these are cascaded to the Senior Leadership Team. The people team, line manager and employee are responsibilities are outlined within the policy (appendix 3).

Capability Policy

HEIW capability policy (appendix 4) aims to provide a framework within which managers can work with employees to maintain satisfactory performance standards whilst encouraging improvements where necessary. The policy has exceptions; Medical and Dental staff where specific apply in cases of professional conduct or competence i.e. General Medical Council (GMC); Agency and bank workers or self-employed contractors.

It safeguards the health and wellbeing of employees whilst ensuring that performance concerns are dealt with fairly i.e. establishing fact to ensure employees have an opportunity to respond to informal dialog before formal action is considered. Relevant Codes of conduct and professional code of practice is considered, along with professional advice before action. Where an employee is either jointly employed or is not an employee of HEIW but provides a service for NHS Organisations, a capability issue will be dealt with under the scope of the lead employer policy. However, HEIW have an active role in the management of the issue to ensure

that performance standards required are met by HEIW. Depending on the outcome of informal or formal stages, it may be appropriate to defer handling the issue under the capability policy and refer to alternative appropriate policies e.g. Disciplinary and Managing Attendance at Work Polices.

Line Managers are responsible for ensuring that all new employees undertake both HEIW Induction and local induction upon appointment (ACAS, 2012; CIPD, 2019). In addition, they are given a JD and Personal Specification and will be given a clear understanding of duties and standards expected. Each line manager is responsible for assessing the developmental needs of new or promoted employees. Line manager are responsible for bringing any issues regarding performance to the attention of their employee. Although during induction period its acknowledged that an employee support from a line manager will be greater than once an employee has settled in. The people team, line manager and employee are responsibilities are outlined within the policy (appendix 5).

All employees participate in a PR where a PDP is agreed on an annual basis. This is in line with pay progression.

The policy advocates that all employees should be treated with dignity and respect.

An appropriate Workforce and OD practitioner within the people team is available to support line managers and employees in the application each policy.

Flexible Working and Agile working Policy

The purpose of this policy (appendix 6) is to provide a working pattern framework which is flexible to the needs of both the employee as well as the needs of the service, providing the managers with the tools they need to fully support their staff. It describes the range of options that may be available to accommodate an individual's circumstances, depending on business need, and the process which will be followed in considering requests for flexible working in a fair and consistent manner and ensures that HEIW meets its statutory obligations in a positive manner. Flexible working can benefit health and wellbeing and this policy affirms HEIWs commitment to the NHS Wales Health and Well Being Charter (Powys Teaching Health Board, 2012) aim of promoting and supporting work/life balance through a range of flexible working arrangements and initiatives. The Flexible Working Policy is an opportunity to promote a compassionate workplace and compassionate and collective leadership. In doing so individual responsibilities include:

Employee:

- Be kind to myself
- Know myself
- Know my strength and learning

Team, Manager and Employee:

- Regularly listen, talk and pay attention to each other
- Create belonging
- Understand each other's roles and expectations
- Value each other for being different

Full responsibilities are outlined within appendix 7.

Managing Attendance at Work (MAAW) Policy

The MAAW policy (appendix 8) was approved by the Welsh Partnership Forum Business Committee and was effective on 1st October 2018 (Review Date: 2021 - Quarterly evaluation). It replaces the NHS Wales sickness policy and is proactive rather than reactive with an emphasis on retention. Its underpinned by the Healthier Wales quadrupole aim, NHS Core Principles and HEIWs values and behaviours and aims to ensure employees are treated in accordance with their circumstances and needs (appendix 9). It outlines the employee requirements in respect of consistent and effective attendance at work to ensure continuity of service provision. The policy sets out the responsibilities of both employees and managers (appendix 10). The policy ensures obligations and compliance with the Equality Act 2010 thus ensures fair treatment of employees with a disability are met. It furthermore acknowledges employers' rights to sickness absence and pay, when they are unable to work due to illness or injury. It furthermore ensures managers support employees when they are unable to work sue to sickness.

1.2 Explain key sources of information, including legislative information, which underpin performance management activities

Employment rights act 1996

All HEIWs performance management policies are underpinned by the Employment Rights Act 1996. It defines capability as skills, aptitude, health or any other physical or mental quality. Section 94 of the act states that an employee has a right not to be unfairly dismissed by their employer. There are exceptions i.e. An employee must have worked for their employer for a minimum period of 2 years (as of 6th April 2012) before qualifying for the right to claim unfair dismissal at a tribunal. Some groups of employees are protected by discrimination law thus protecting them from unfair dismissal, even when the law of dismissal does not e.g. dismissal of an employee on the grounds of gender, race or sexuality is unlawful. In contrast, section 98 of the Employment rights act details five potentially fair reasons for dismissal: Capability or qualifications; conduct; redundancy; statutory ban; some other substantial reason. Before dismissing an employee, HEIW should make sure that they have a potentially fair reason by demonstrating reasonableness has been established in case law thus following correct procedures (Taylor & Wilkinson, 2019; Daniels, 2019; ACAS).

The specific part of an employee's contract needs to be identified to determine whether the actions of an employer has amounted to breaches within contracts, i.e. capability, misconduct etc. A breach of contract can be 'righted' at a later date (Daniels, 2019). During recruitment a HEIW line manager would make sure an employee understands the job requirements, determine training needs and action them. HEIW would inform an employee of the consequences of failing to meet the required standards. If an employee does not meet required standards HEIW would be expected to try to assist the employee through further training and education before taking disciplinary action. If capability relates to ill health HEIW must have due regard for the Equality Act, 2010 and must consider the nature of the illness, the actual potential length of absence and the employer's situation e.g. the impact the absence is having on the business. HEIW would take reasonable steps to understand the issues and investigate potential solutions. If capability remains an issue but the organisation has taken action to help the employee improve the standards of performance, and capability remains an issue, dismissal can be potentially fair.

In June 2019, the *Health and Social Care (Quality and Engagement) (Wales) Bill 2019 (WG, 2020)* set out the intention to strengthen the existing duty of quality and to establish an organisational duty of candour. From a HEIW perspective this is embedded in our policies,

education and training programmes and incorporated in our leadership development work (West *et al*, 2017; West et al, 2020; McKinsey, 2020).

Equality Act 2010

HEIW conduct business in accordance with the Equality Act (2010) and the Welsh specific duties contained within the Equality Act (2010) (statutory duties) (Wales) Regulations 2011. HEIW engage with people from protected characteristic groups or their representatives in the development and co-production of the Strategic Equality Plan; undertaking and publishing Integrated Equality Impact Assessments; publication of Equality Objectives; preparation of an annual report and four yearly reviews; provision of accessible information; and collection of information on the protected characteristics and training staff (WG, 2010;)

HEIW are under a legal duty to make reasonable adjustments to ensure workers with disabilities, or physical or mental health impairments, are not disadvantaged when doing their jobs. This also apply to job candidates at the onset of the employment cycle. Reasonable tailored adjustments, such as short to medium term changes that can help support the health and wellbeing of the employee has been incorporated into the Managing Attendance at Work Policy (which replaces the old sickness policy). HEIW are under a legal duty to make reasonable adjustments to ensure workers with disabilities, or physical or mental health impairments, are not disadvantaged when doing their jobs. This also apply to job candidates at the onset of the employment cycle. Reasonable tailored adjustments, such as short to medium term changes that can help support the health and wellbeing of the employee has been incorporated into the Managing Attendance at Work Policy (which replaces the old sickness policy). The MAAW policy advocates, HEIW managers to consider tailored adjustments where possible and implemented at the earliest opportunity to help an employee. Beyond legal requirements for disabled employees, evidence has shown that good work is beneficial for health and wellbeing and that work can aid recovery for employees with physical and mental health conditions (Attachment 11).

Also, The Wellbeing of Future Generations (Wales) Act aligns with the ambitions for Welsh Governments announcement to enact the Socio-Economic Duty, *Part 1, Section1 of the Equality Act 2010* will result in HEIW working in partnership with Welsh Government in the development of technical guidance. HEIW have developed an integrated approach to equality impact assessments (attachment 12), enabling us to assess the socio-economic impacts of our strategic decisions and highlight how our decisions might help to help reduce health inequalities associated with socio-economic disadvantage. Whilst being reflective and aligning with not only A Healthier Wales (2018) but also Is Wales Fairer? (2018) and Well-being and Future Generations Act (2015) to further ensure we embed actions towards a more equal Wales.

A Healthier Wales

The 2018 publication of the Welsh Government's response to the Parliamentary Review of Health and Social Care ('A Healthier Wales – The Long Term Plan for Health and Social Care') set out an ambitious plan for a whole system revolution and provides essential context for all NHS plans going forward. In addition to the workforce strategy referred to above it challenges HEIW along with other NHS organisations to develop sustainable plans and actions to deliver care closer to home, through strengthening primary and community services, and refocusing on prevention. It also emphasises the importance of quality improvement in a transformational system, and the need to maximise the opportunities of digital and other technology. The quadruple aim which underpins the long-term plan also highlights the critical importance of staff engagement and well-being which will be a key focus for the new organisation. The prudent healthcare principles (Wilson, 2014) have been embraced by *HEIW* and have an

important influence on how we design our roles and teams to get maximum value. In particular, HEIW ensures that education and training commissioned or delivered by the organisation supports these principles.

Performance Management activities are furthermore underpinned by other provisions such as:

- ACAS Code of practice (ACAS, 2015).
- CIPD Code of Professional Conduct (CIPD, 2020).
- Equality of Human Rights Code of Practice (Equality and Human Rights Commission, 2019).
- Employment Statutory Code of Practice (Equality and Human Rights Commission, 2010)
- Performance Management advice via CIPD (CIPD, 2016, 2019 etc.)
- Research (Deloitte, 2015; Buckingham & Goodall, 2015).
- Relevant Codes of Conduct and Professional Practices i.e. General Medical Council (GMC)
- Capability Procedures (ACAS).
- GDPR and Freedom of Information.

HEIW use KPIs to define and measure progress towards goals (Kilpfolio; Twin, 2020) . As the primary means of communicating performance across HEIW, NHS Wales, and Welsh Government, KPIs focus on a range of areas and safeguard the way HEIW measure progress against objectives and business goals.

Provide timely and accurate information to colleagues regarding performance management activities

During COVID-19 HEIW became a 100% working from home organisation which came with its pressures. It became evident to the Executive board that employees were not taking their annual leave and concerns were raised with line managers regarding the Health and Wellbeing of employees and the potential for staff burnout which would lead to employees being less productive and the potential that performance may become an issue. I was asked by my line manager to undertake a literature review regarding the benefits of taking annual leave during lockdown (Appendix 13). The information was disseminated within a formal e-mail from the director of workforce and employees were encouraged to take their annual leave to prevent burnout (Appendix 14). As a result, employees are taking their leave and productivity is improved as employees are feeling refreshed. Low sickness rates support this.

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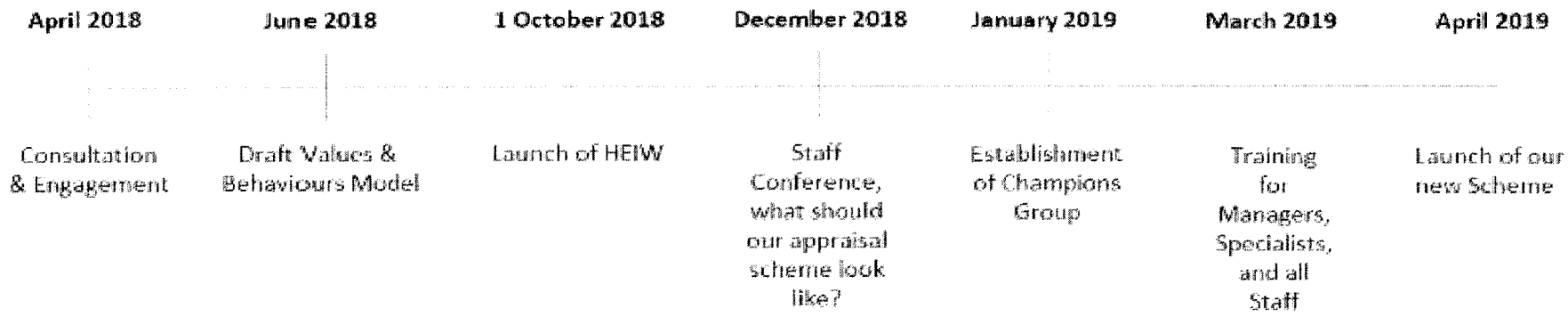
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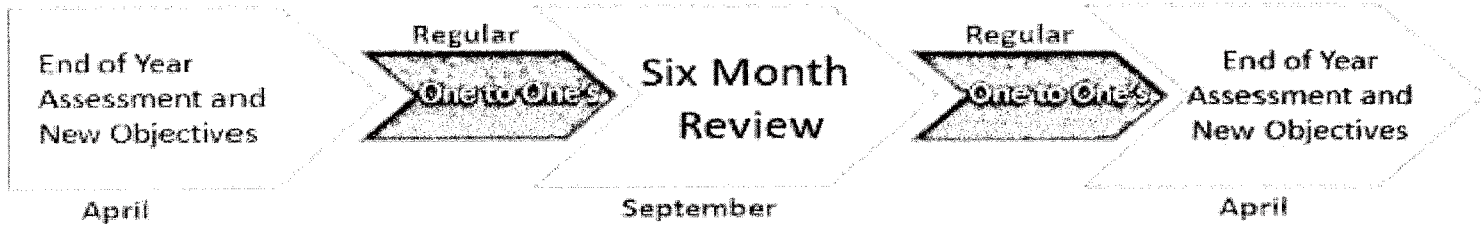
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Appendix 1

Our Journey







GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Health Education and Improvement Wales Values Based Performance Appraisal and Development Policy

Approved by: Executive Team

Issue Date: 5th March 2019

Review Date: Ongoing

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1. Purpose

This Policy details HEIW's Values Based Performance Appraisal and Development system. It enables managers and employees to participate in and deliver a meaningful performance appraisal process and creates an environment for success.

This policy ensures that:

- employee performance is reviewed against previous objectives ;
- succession planning for critical posts are identified and developed ;
- employee performance is assessed against HEIW's values and behaviours ;
- work related objectives are agreed for the following year and are linked to HEIW objectives ;
- regular one to one and talent conversations take place, enabling employees to discuss their future career aspirations and potential development opportunities are identified ;
- employees and line managers are given details of opportunities that are available, to ensure they are developed in a way that brings job satisfaction, but also supports HEIW in meeting its objectives.

2. Scope

This policy will apply to all employees of HEIW. The lead responsibility for performance management and development sits with line managers, who will be supported by members of the People team as appropriate. HEIW is committed to promoting and supporting the health and wellbeing of all workers and employees. Colleagues with a line management responsibility should actively support a positive approach to employee health and wellbeing, ensuring this is discussed as part of the appraisal as well as ongoing discussions. For further information please see the appendices section at the end of this policy.

3. Principles

This policy covers six key principles:

3.1 **Principle 1 - Values and Behaviours** – HEIW is committed to engaging all workers in a dialogue about how they display the HEIW values and behaviours in what they do. With a total of 23 behaviours, it is possible to apply them differently depending on the project. This allows for reflection and learning.

3.2 **Principle 2 - Fundamental Right -** All employees have a fundamental right to come to work and:

- Understand what is expected of them ;
- Understand where they need to improve and develop ;
- Understand how they are performing against those expectations.

3.3 **Principle 3 - Shared Responsibility** - Both employees and line managers share responsibility for ensuring performance appraisal and personal development takes place and is part of everyday practice.

3.4 **Principle 4 – Meaningful Process –** This is a meaningful process. Education and Improvement is at the heart of what we do. It is so much more than a 'tick box' exercise. It is part of our culture and way of working.

3.5 **Principle 5 – Meaningful Objectives**

Objectives set must be:

- In line with the departments objectives ;
- Relevant to the HEIW's overall objectives ;
- With employees members' development in mind.

3.6 **Principle 6 – Continuous Development –** Continuous Development and Improvement is an important aspect of our culture. As a result :

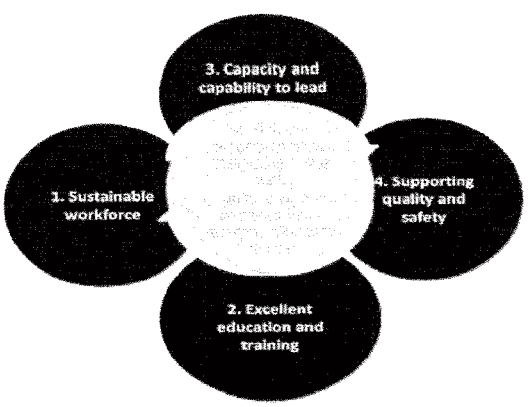
- One to ones with employees are essential ;
- Talent should be spotted and encouraged for those who want to progress ;
- On-going feedback must be provided on all issues *(both positive and requiring improvement)*.

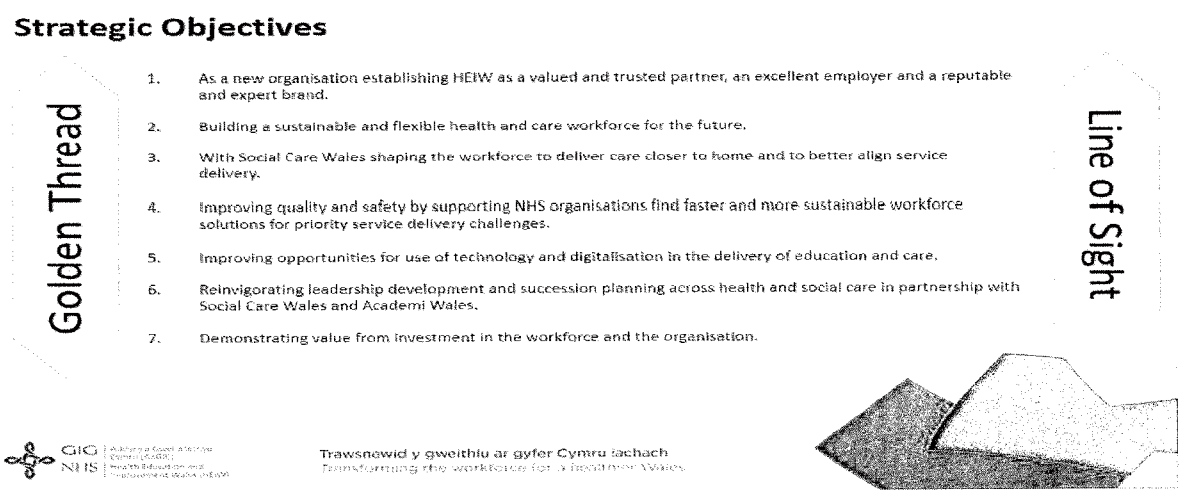
Appendix 2

Appendix 11 - HEIW IMTP Executive Summary

This IMTP is centred around 6 Strategic aims, 4 of which are externally facing and 2 are predominantly internally facing and about how we work with others. Together they present HEIW with the opportunity to make a real difference to patients, quality of care, trainee and student experience and the wellbeing of the NHS workforce culture. These are:

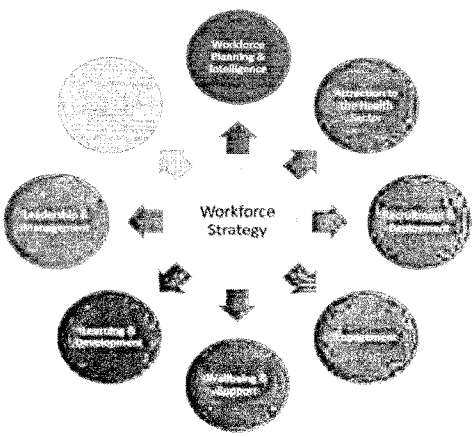
- To lead the planning, development and wellbeing of a competent, sustainable and flexible workforce to support the delivery of 'A Healthier Wales'
- To improve the quality and accessibility of education and training for all healthcare staff ensuring that it meets future needs
- To work with partners to improve collective leadership capacity in the NHS
- To develop the workforce to support the delivery of safety and quality
- To be an exemplar employer and a great place to work
- To be recognised as an excellent partner, influencer and leader.



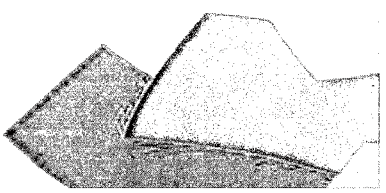


Our vision is "**Transforming the workforce for a healthier Wales"** which was developed through engagement with staff, stakeholders and partners. We deliver this vision using our PEOPLE principles:

Aligned to our aims and PEOPLE principles

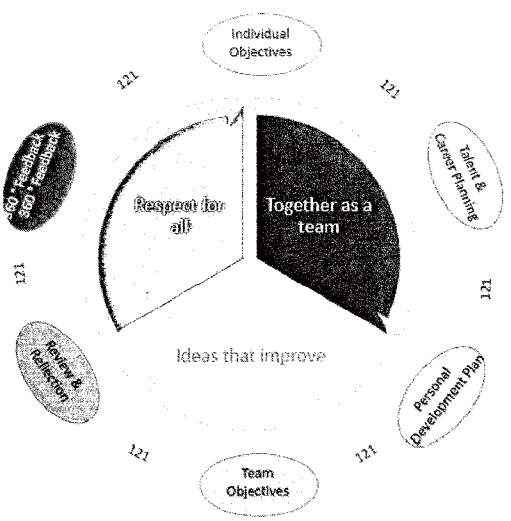


Educating, training, and developing staff to meet the needs of patients and citizens, in line with prudent healthcare principles;
Offering opportunities for development to new and existing staff from all professional and occupational groups throughout career pathways;
Partnership working to increase value for our citizens, patients, learners, and staff;
Leading the way through continuous learning, improvement, and innovation
Exciting, Enthusing, Engaging, Enabling, and Empowering staff across all professional and occupational groups.



GIG NHS

Trawsnewid y gweithlu ar gyfer Cymru iachach
Transforming the workforce for a healthier Wales



HEIW IMTP - CORE VALUES

Respect for all - *in every contact we have we have with others.*	**Together as a team** - *we will work with colleagues, across NHS Wales and with partner organisations.*	**Ideas that improve** – *harnessing creativity and continuously innovating, evaluating and improving.*
We Will	**We Will**	**We Will**
• Actively listen – make time to listen, to hear, and respond to everyone's views; • Seek to understand alternative viewpoints and see things from others' perspectives; • Challenge constructively and objectively and deal with disagreement quickly and respectfully maintaining peoples' dignity; • Respect other people's expertise and trust people to do their jobs; • Take personal responsibility for our actions and have the confidence to admit mistakes and apologise; • Treat people fairly and equitably according to their needs; • Value all differences not just professional backgrounds, experience and skills.	• Seek out, recognise and value the knowledge skills and experience of others from within HEIW and across our stakeholders; • Openly receive contributions from colleagues and partners; • Work hard for each other, contribute our best whether we are leading or supporting work; • Work collaboratively; • Be open and transparent and work towards shared objectives; • Have fun.	• Be creative, curious and future thinking; • Challenge the status quo and suggest constructive solutions; • Take a positive approach to challenges and problems; • Drive informed innovation and improvement for patients, staff and learners; • Empower staff, teams and partners with skills to improve; • Seek out and respond to feedback from patients, learners, staff and partners; • Talk up and celebrate success; • Embrace and learn from mistakes; • Focus on the 'whys' - the purpose and the outcome; • Create and protect time and space for reflection and evaluation.
We will not	**We will not**	**We will not**
• Allow challenges or differences of opinion to become personal; • Behave in a way which could be perceived as bullying; • Exclude others;	• Withhold important relevant information; • Forget to communicate with each other;	• Behave in a negative or "can't do" way; • Be defensive when challenging existing ways of working; • Think we know best; • Allow obstacles to stop improvement;

• Behave in a way which could be perceived as prejudicial; • Give preferential treatment; • Dominate discussions or approaches.	• Lack loyalty towards each other and HEIW; • Work rigidly to defined boundaries.	• Blame others for mistakes.

Appendix 3

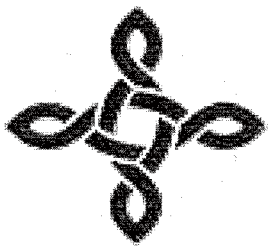
PADR Responsibilities

Employees are responsible for:	*The people team are responsible for:*	*Line managers are responsible for:*	*The Executive team*
• participating in the 360 scheme ; • Agreeing a Personal Development Plan (PDP) ; • Take responsibility and own their Learning and Development ; • Reflection and self-assessment of their achievements and progress against objectives from the previous year ; • Being open to discussion about their own health and wellbeing, aligned with the wellness action development plan ; • Maintaining and providing evidence of learning at Performance	• Providing training to line managers and appraisers on the policy • Co-ordinating the annual 360 degree feedback exercise for all employees ; • Ensuring that all employees responsible for undertaking appraisals have received training ; • Ensuring that teams are aware of the health and wellbeing policy and its application during appraisal ; • Producing an annual learning bid for consideration by the Executive team, using information from individual	• Setting speciality and departmental objectives in support of HEIW's strategic aims; • Applying the policy to all employees • Reporting information on completion of the review process as required • Mandatory Training	Is responsible for setting the strategic direction within the organisation, developing HEIW's strategic aims and objectives and ensuring that these are cascaded to the Senior Leadership Team.

Appraisals ensuring all required essential training is completed ; • Discussing development achievements, progress and needs at Performance Appraisal meetings and one to ones throughout the year with their appraiser; • Attending and completing all required elements of study days, courses and development opportunities to achieve their Personal Development Plan (PDP); • to consider all learning and development interventions, including electronic learning, books, webinars, TED talks, coaching and	personal development plans (PDP's) ; • The development of action plans for the promotion of health and wellbeing at work as a means of improving the wellbeing and work performance of employees; • Providing advice and guidance on the application of the scheme where necessary. However, line managers and employees should refer in the first instance to this Policy and the guidance referred to herein.		

mentoring as appropriate.			

Appendix 4



GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Capability Policy and Procedure

Approved by:	**Welsh Partnership Forum**
Issue Date:	**27 June 2018**
Review Date:	**June 2021**
Adopted by:	**Health Education & Improvement Wales**
Dated:	**2 October 2018**

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1. Policy statement
2. About this policy
3. Principles
4. Rights of accompaniment
5. Identification of a capability issue
6. Initial assessment
7. Incapability to due to disability

8. Confidentiality

9. Redeployment/Downgrading

10. Timescales for achieving improvement

11. Notification requirements for formal capability hearings

12. Procedure at capability hearings

13. Stage 1 hearing: Improvement notice

14. Stage 2 hearing: Final written warning

15. Stage 3 hearing: Dismissal or redeployment

16. Appeals against action for poor performance

17. Training and/or Awareness Raising

18. Equality

19. General Data Protection Regulations 2018

20. Freedom of Information

21. Records Management

22. Review

23. Monitoring

24. Approval

Appendix 1 – Capability Hearings Flowchart

Appendix 5

Capability Policy

Employees are responsible for:	*The people team are responsible for:*	*Line managers are responsible for:*	*The Executive team*
	• Ensuring all employees should be treated fairly and with dignity and respect • An appropriate Workforce and OD (W&OD) representative will be available to support managers and employees in the application of this policy	• Ensuring all employees are treated fairly and with dignity and respect • Line Managers are responsible for ensuring that all new employees undertake both HEIW Induction and local induction upon appointment. • In addition, they are given a JD and Personal Specification and will be given a clear understanding of duties and standards expected. • Each line manager is responsible for assessing the developmental needs of new or promoted employees. • Line manager are responsible for bringing any issues regarding performance to the attention of their employee (although during induction period its acknowledged	

		that an employee support from a line manager will be greater than once an employee has settled in). • Managers are responsible for setting SMART (Specific, Measurable, Achievable, Relevant, Timely) targets for improvement. As a guideline the timescales to achieve the improvement should normally be a minimum of one month and no more than three months. During the period, there is an expectation that the manager and employee will have regular meetings to review performance. Periods of review may be paused if an employee is absent from work for an extended length of time in excess of 28 days, to cover the length of the absence where improvement cannot be monitored.	

Appendix 6

GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Flexible Working Policy and Procedure

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	4.4 Compressed hours (Appendix 7)	
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8	Monitoring	10

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3	Flexible Working Application Outcome Form	14
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5	Flexible Working Application Extension of Time Limit Form	**Error! Bookmark not defined.**
6	Flexible Working Application Notice of Withdrawal Form	**Error! Bookmark not defined.**
7	Guidance for managers	
8	Job sharing	
9	**Error! Reference source not found.**	

Appendix 7

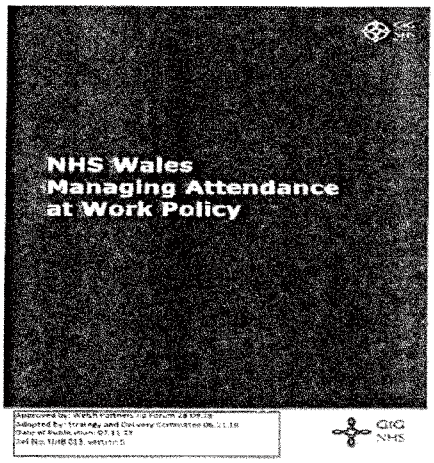
Flexible Working Policy

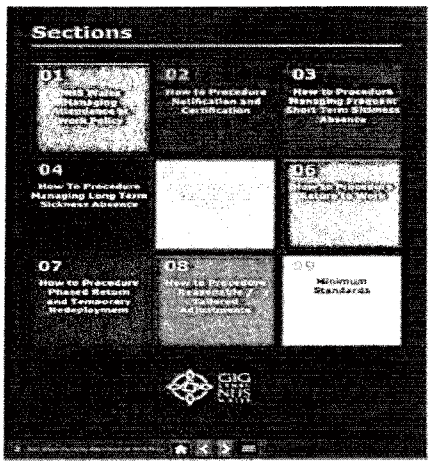
Employees are responsible for:	*Line managers are responsible for:*	*The people team are responsible for:*
Staff are responsible for managing their own work life balance but should expect to receive support in achieving this. They should: • Raise the initial application for flexible working, being clear about what it is they want to achieve and how their request will work in practice, • Consider how the requested working pattern will impact the team and service delivery, and suggest how issues could be mitigated, • Meet with their manager, discuss all options in an open and constructive manner and be prepared to compromise, • Inform their manager of any change in circumstances and withdraw their application if no longer appropriate	Line managers are responsible for ensuring that employees are aware of their options and following the process fairly and consistently. They should: • Ensure that employees are aware of the policy, • Consider each request individually, assessing each on its own merits, • Arrange a meeting with the employee (along with a colleague or Trade Union Representative, if desired) to provide the opportunity to explore the desired work pattern and to discuss how best it might be accommodated. It will also provide an opportunity to consider other alternative working patterns should there be problems in accommodating the desired work pattern. • Act quickly within the regulation guidelines in order to reduce uncertainty for the employee, requesting an extension to regulation timelines only in exceptional circumstances, • Aim to approve an employee's request for flexible working or find some sort of compromise or alternative arrangements unless	It is the People Team's responsibility to: • Provide advice and guidance to all staff and line managers on policy and procedure matters relating to the Flexible Working Policy to ensure fair and consistent approach, • Confirm contractual changes including new salary and annual leave entitlement, in writing to employee once this has been actioned by payroll, • Monitor the uptake and assess continued effectiveness of all flexible working options in order to assure fair and equitable access and inform future review of policy.

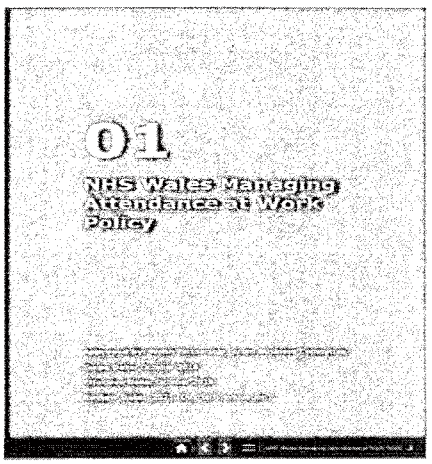
	there are some significant and legitimate grounds for turning it down, • Consider approving requests on a trial basis subject to regular review, if there is uncertainty around finding a mutually agreeable solution, • File relevant documentation and inform payroll of any relevant changes to terms and conditions via ESR. (Please note until ESR is available to HEIW, the designated change in hours form should be used.)	

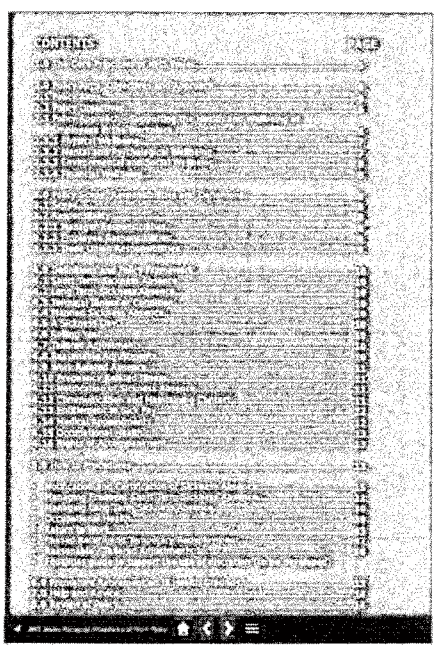
Appendix 8

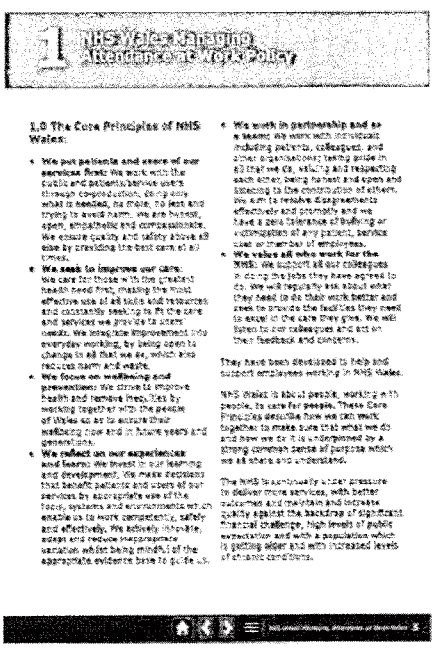
NHS Wales Managing Attendance at Work Policy

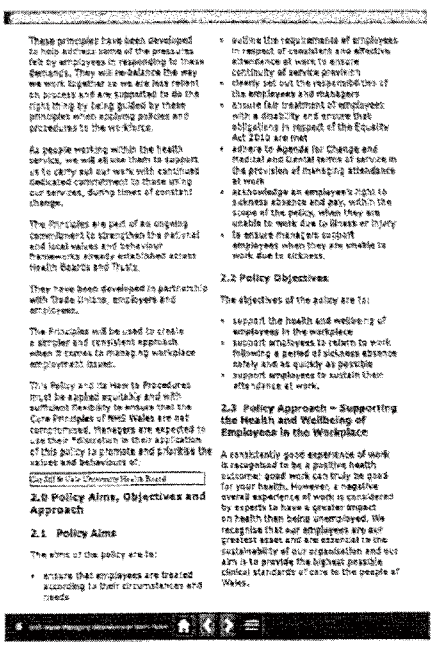




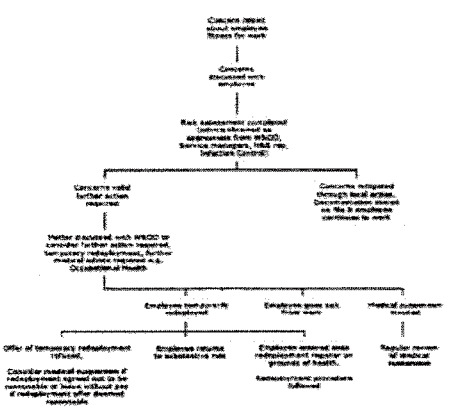






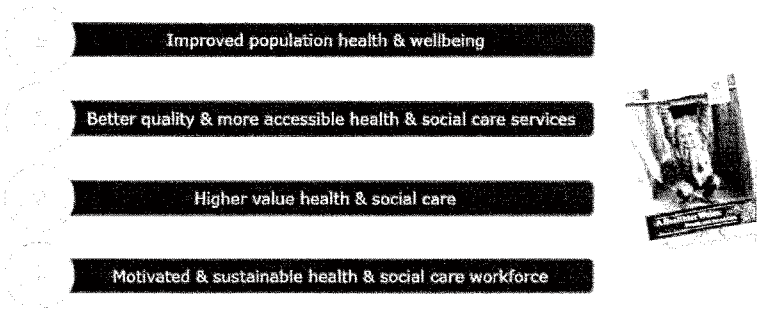


The flowchart outlines how this process should flow:

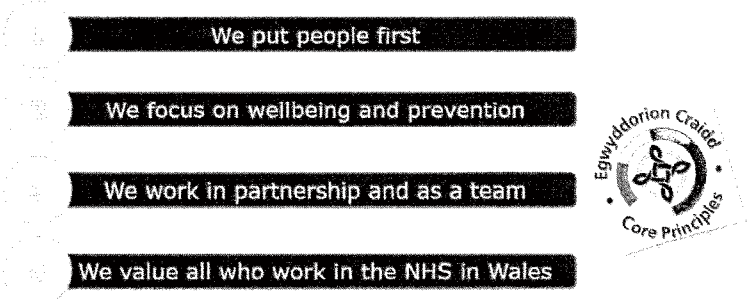


Appendix 9

A Healthier Wales Quadruple Aim



Activity 5: NHS Wales Core Principles



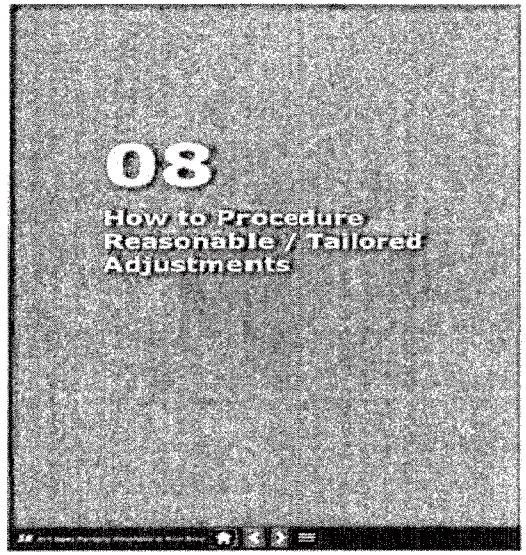
Appendix 10

Managing Attendance at Work

Employees are responsible for:	*Line managers are responsible for:*	*Role of Trade Union Representative*
• Employees are responsible for their own health and wellbeing. • Employees should take up all reasonable opportunities to maximise and protect their own health and wellbeing. • Employees should seek medical advice and treatment as soon as possible to support their own health and wellbeing. • Employees have a responsibility to attend Occupational Health appointments and sickness absence meetings when requested to do so. • Employees can self-refer to available services where they exist, i.e. Occupational Health, Physiotherapy, Employee Wellbeing, where this would be beneficial to their own health and wellbeing. • Employees have the responsibility for keeping in touch regularly with their manager when unwell. • Employees must consider whether there are any reasonable / tailored adjustments that may help them to	• The primary responsibility for the management of attendance rests with managers. The rationale for this approach is that our managers should "know their employees" and be familiar with the issues surrounding the attendance profile and needs of their employees. • The manager in "knowing their employee", has the discretion that when reviewing their health and wellbeing following an episode of sickness absence, they will consider as to whether the employee progresses through the procedure. The decision will be determined and rationale recorded as part of the return to work/informal/formal stage meetings. • Managers are responsible for ensuring that employees are aware of the range of health and wellbeing support that is available to them in and out of the workplace. In addition, managers should make employees aware that support or advice may be available through trade union representatives if required.	It is the role of trade union representatives to: • Support the individual member and their organisation in minimising absence from work caused by sickness. • Provide their members with advice on all aspects of the policy. • Ensure an appropriate trade union representative is available at all levels of the procedure should their member wish to be accompanied and to ensure that meetings can occur in a timely manner. • Work closely with managers and other groups to make the policy effective at organisational level, including being aware of all relevant legislation. • Maintain their competence in the application of the policy and in supporting their member through absence due to sickness. • Work with their individual member, the manager and Occupational Health to facilitate a return to work as soon as possible following a period of sickness.

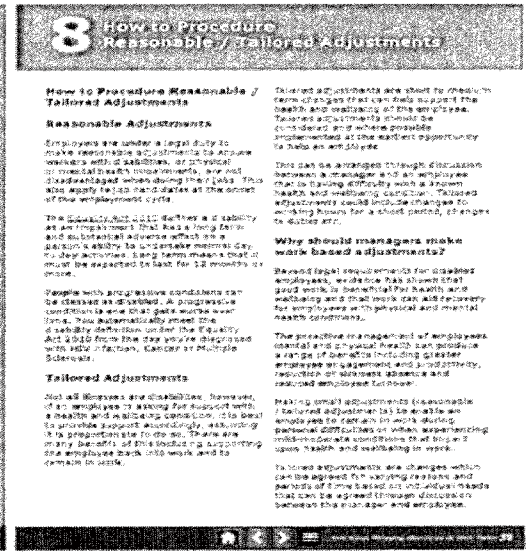
remain in work or return to work at the earliest opportunity. • Employees have a responsibility to maximise attendance at work in line with their own contract of employment. • Employees have a duty to care for and support colleagues in doing the jobs they have agreed to do.	• Managers must consider the opportunities to return employees to • work safely and at the earliest opportunity through the supportive mechanisms such as Phased Return and Temporary Redeployment / and Reasonable / Tailored Adjustments. • Managers are responsible for creating an environment, which is conducive to health and wellbeing, and in which a low sickness absence record and regular attendance at work is expected. • The manager is responsible for addressing employee sickness absence and managing it in accordance with this policy and associated How to Procedures.	• The Minimum Standards for Managing Attendance at Work Policy outlines other responsibilities.

Appendix 11



08

How to Procedure Reasonable / Tailored Adjustments



8 How to Procedure Reasonable / Tailored Adjustments?

How to Procedure Reasonable / Tailored Adjustments

Reasonable Adjustments

Employers are under a legal duty to make reasonable adjustments to ensure workers with disabilities, or physical or mental health impairments, are not disadvantaged when doing their jobs. This also applies to job candidates at the outset of the employment cycle.

The Equality Act 2010 defines a disability as an impairment that has a long term and substantial adverse effect on a person's ability to undertake normal day to day activities. Long term means a year or more or the expectation is that it is more likely than not to be one.

People with progressive conditions can be classed as disabled. A progressive condition is one that gets worse over time. You should carefully check the definition under the Equality Act 2010 from the start if you're diagnosed with HIV infection, cancer or multiple Sclerosis.

Tailored Adjustments

Not all illnesses are disabilities. However, if an employee is having far support with a health and wellbeing condition it is best to provide support accordingly, as doing it is proportionate to do so. There are many benefits of this including supporting the employee back into work and to remain in work.

Tailored adjustments are short for flexible term changes that can really support the health and wellbeing of the employee. Tailored adjustments should be considered and where possible implemented at the earliest opportunity to help an employee.

This can be managed through discussions between a manager and an employee that is having difficulty with a known health and wellbeing condition. Tailored adjustments could include changes to working hours for a short period, changes to duties etc.

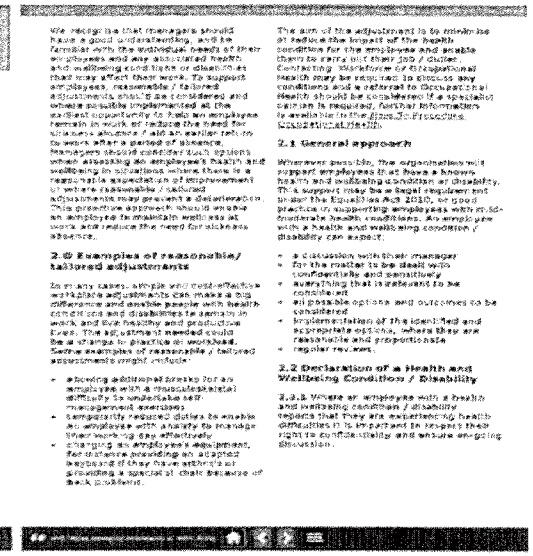
Why should managers make work based adjustments?

Beyond legal requirements for disabled employees, we also have an overall good morale, to benefit the health and wellbeing and that work can add genuinely for employees with physical and mental health conditions.

The proactive management of employees mental and physical health can possibly a range of benefits including greater employee engagement and productivity, reduction of sickness absence and reduced employment turnover.

Making small adjustments (reasonable / tailored adjustments) is to enable and employee to remain in work during personal difficulties or when experiencing a health and wellbeing condition to all bigger issues health and wellbeing at work.

Tailored adjustments are changes within the approach to varying routine and aspects of how based on individuals that can be agreed through discussions between the line manager and employee.



We realise that managers should have a good understanding, and be familiar with the individual needs of their employees and any associated health and wellbeing conditions or disabilities that may affect their work. To support employees, reasonable / tailored adjustments shall be considered and where possible implemented at the earliest opportunity to help an employee remain in work or reduce the need for sickness absence / aid an earlier return to work after a period of absence. Managers should consider such options when assessing an employee's health and wellbeing in situations where there is a negative impact or improvement of where reasonable / tailored adjustments may prevent a deterioration. This positive approach should enable an employee to maximise wellness at work and reduce the need for sickness absence.

The aim of the adjustment is to minimise or reduce the impact of the health condition for the employee and enable them to carry out their job / duties. Contacting Workforce or Occupational Health may be required to discuss any conditions and a referral to Occupational Health should be considered if a specialist opinion is required, further information is available in the How to Procedure.

2.0 Examples of reasonable/ tailored adjustments

In many cases, simple work modifications or flexible adjustments can make a big difference and enable people with health conditions and disabilities to remain in work and stay healthy and productive. The adjustments needed could be as simple as changes to workload, some examples of reasonable / tailored adjustments might include:

- allowing additional breaks for an employee with a musculoskeletal difficulty to undertake self-management exercises
- temporarily reduced duties to enable an employee with anxiety to manage their work-life balance effectively
- changing an employee's equipment, for instance providing an adapted keyboard if they have arthritis or providing a special chair because of back problems.

2.1 General approach

Wherever possible, the organisation will support employees in at there a known health and wellbeing condition or disability. This support may be as legal requirement and in line the Equality Act 2010, or good practice in supporting employees with musculoskeletal health conditions. An employee with a health and wellbeing condition / disability can expect:

- a discussion with their manager
- for the matter to be dealt with confidentially and sensitively
- everything that is reasonable to be considered
- all possible options and outcomes to be considered
- implementation of the identified and appropriate options, where they are reasonable and proportionate
- regular reviews.

2.2 Declaration of a Health and Wellbeing Condition / Disability

2.2.1 Where an employee with a health and wellbeing condition / disability reports that they are experiencing health difficulties it is important to respect their right to confidentiality and ensure ongoing discussion.



2.1.2 The manager should meet with the employee in order to discuss their concerns (a). The manager should seek to put in place any short term reasonable / tailored adjustments to ensure that the employee is not placing themselves at risk.

This may include conducting a risk assessment in order to identify any potential short-term adjustments. Completion of the Reasonable / Tailored Adjustment Agreement should be undertaken at this stage (appendix 2.1).

2.1.3 If following the implementation of reasonable / tailored adjustment agreement, or where specific advice is required, the manager may consider making a referral to Occupational Health. This referral should include details of the discussion with the employee and a copy of the tailored adjustment agreement that has been put in place. A copy of the referral to Occupational Health should be discussed with the employee prior to submission. For the in formation is available from the How To Procedure, Occupational Health.

2.1.4 On completion of the Occupational Health referral, the manager will receive a report advising in respect of any further suggested restrictions or adjustments that need to be considered. The manager should then meet with the employee in order to discuss and consider the Occupational Health report to enable a more informed discussion to be undertaken.

2.1.5 The purpose of the discussion is to consider the advice and what further reasonable / tailored adjustments could be put in place to enable the employee to continue undertaking the duties and responsibilities of their role and whether the adjustments are deemed reasonable.

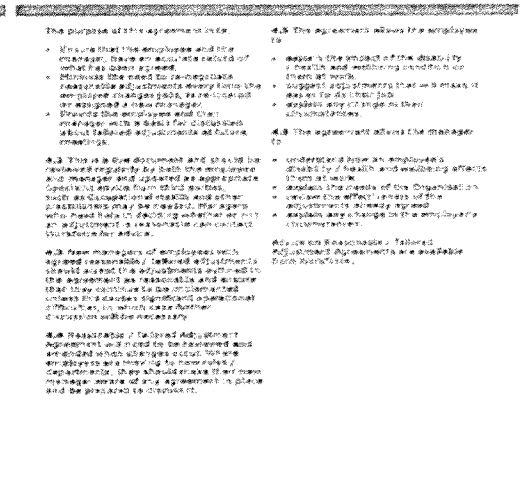
2.1.6 Where there are barriers to progress, all parties have a duty to consider how these may be overcome, support from Workforce, Trade Union representatives, Equality Adviosers and Occupational Health may be required. Ultimately it is the decision of the manager to determine whether any proposed reasonable / tailored adjustment can be accommodated.

3.0 Disability / Health and Wellbeing Condition Leave

Disability / Health and Wellbeing Condition leave is a paid leave given off for a reason related to someone's known health and wellbeing conditions and / or disability as part of the provisions of care. A disability / health and wellbeing condition leave is not usually granted as sickness absence. Alternatively, it is a form of special leave and will usually be requested by the employee and approved by the manager in advance. Disability / Health and wellbeing conditions leave should be recorded on ESR. Types of examples of Disability / Health and Wellbeing conditions leave may include regular hospital and medical appointments / treatments / follow up assessments or relapse of a known disability / health and wellbeing condition. Disability leave will typically apply to part of the whole, of one working day.

3.0 Reasonable / Tailored Adjustment Agreement

4.1 The Reasonable / Tailored Adjustment Agreement is an unincumbrance of tailored adjustments agreed between an employee with a disability / health and wellbeing condition and their manager, in the case of reasonable adjustments it is anticipated these will continue to apply if the employee changes roles wherever practicable.



The purpose of this agreement is to:

- Ensure that the employee and the manager have an accurate record of what has been agreed.
- Minimise the need to re-negotiate reasonable adjustments every time the employee changes role or the manager changes.
- Promote the employee and their manager's confidence in seeking further advice and support.

4.2 This is a live document and should be reviewed regularly by both the employee and manager and updated as appropriate. Specific and clear information about health conditions and / or disability as part of the provisions of care. A disability / health and wellbeing condition leave is not usually granted. Other agents with regard to identifying whether or not an adjustment is reasonable can include occupational health advice.

4.3 Each manager of employees with agreed reasonable / tailored adjustments should accept the adjustments outlined in the agreement as reasonable and necessary that they continue to be implemented unless there is a clear significant change in circumstances, in which case further discussion will be necessary.

4.4 Reasonable / Tailored Adjustment Agreement, as it is not the employees duties and responsibilities which changes occur. The new employee will be invited to a meeting to review the / expectations. They should ensure their new manager aware of any agreements in place and be provided a copy.

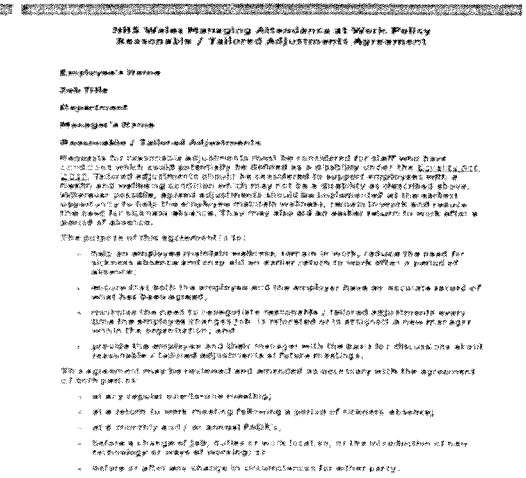
4.5 The agreement allows the employee to:

- explain to the manager how their disability / health and wellbeing condition can affect their work.
- suggest ways in which they and the manager can work together to:
- maximise their effectiveness at work
- minimise the effect of their disability / health and wellbeing condition on their work.

4.6 The agreement allows the manager to:

- understand more about an employee's disability / health and wellbeing condition and its effect at work.
- maximise the benefits of the Organisation's investment in their employee.
- consider the effect of their adjustments on other employees in the team.
- maintain appropriate records of the employee's circumstances.

Adjustments Reasonable / Tailored Adjustment Agreements are available from Workforce.



2015 Wales Managing Attendance at Work Policy
Reasonable / Tailored Adjustments Agreement

Employee's Name

Job Title

Department

Manager's Name

Reasonable / Tailored Adjustments

Requests for reasonable adjustments must be considered for staff who have conditions which could potentially be defined as a disability under the Equality Act 2010. Tailored adjustments should be considered to support employees with a health and wellbeing condition which may not be a disability as described above. Wherever possible, agreed adjustments should be implemented at the earliest opportunity to help the employee maintain attendance, remain in work and reduce the need for sickness absence. They may also aid an earlier return to work after a period of absence.

The purpose of this agreement is to:

- help an employee maintain wellness, remain in work, reduce the need for sickness absence and may aid an earlier return to work after a period of absence;
- ensure that both the employee and the employer have an accurate record of what has been agreed;
- minimise the need to renegotiate reasonable / tailored adjustments every time the employee changes role or the manager changes or a new manager within the organisation; and
- provide the employee and their line manager with the basis for discussions about reasonable / tailored adjustments at future meetings.

This agreement must be reviewed and amended as necessary with the agreement of both parties:

- at any regular supervision meeting;
- at a return to work meeting following a period of sickness absence;
- at a quarterly and / or annual PADR's;
- before a change of job, duties or work location, or the introduction of new technology or ways of working; or
- before or after any changes in circumstances for either party.

Appendix 12

HEIW Integrated Equality Impact Assessment (EIA)

Integrated Equality Impact Assessment

An integrated equality impact assessment is a tool to assess the impact of policies, procedures, strategies and decisions on the ability of an organisation to perform the below public-sector equality duties.

Public sector equality duty section 149 of the Equality Act 2010:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it

And to have due regard for advancing equality by:

- Removing or minimising disadvantages experienced by people due to their protected characteristics
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people
- Encouraging people with protected characteristics to participate in public life or in other activities where their participation is disproportionately low

To ensure HEIW policies, procedures, strategies and decisions are designed and delivered fairly in accordance with Equality, Welsh Language Legislation and Human Rights Legislation, please complete the below Integrated Equality Impact Assessment form. Highlight any positive and/or negative impacts included in section 4; actions to be taken to address any negative impacts and opportunities for further developing positive impacts that enhance section 149 of the Equality Act 2010 and Welsh Language Standards (2011), when detailing existing good practice in Section 10 of this form. Concluding with how actions are to be monitored and reviewed.

HEIW Integrated Equality Impact Assessment (EIA)

Title of Policy/ Procedure/ Strategy or Decision	
Name of Group/Department	
Name and role of lead individual(s) completing this EIA	
Contact Details	
Date EIA initiated	
Date EIA agreed by accountable group/department	
Signed (lead individual(s)/ head or chair of accountable group)	

HEIW Integrated Equality Impact Assessment Template

1. **The purpose and aims of the policy, procedure, strategy or decision required**
Please provide a brief description of the policy/procedure, strategy, e-learning, guidance etc. Please include what is the overall objective or purpose of the policy/decision, what are the stated aims (including who the intended beneficiaries are), a broad description of how this will be achieved, what the measure of success will be, and the time frame for achieving this. Please also include a brief description of how the purpose and aims of the policy are relevant to equality and intended beneficiaries.

2. **We have a legal duty to engage with people with protected characteristics under the Equality Act 2010 identified as being relevant to the policy.**
• *What steps have you taken to engage and consult with stakeholders, both internally and externally?* • *How have people with protected characteristics been involved in developing the policy, procedure, strategy and or decision from the start?* • *How have/will proposals be communicated?* • *What are the arrangements for engagement as the policy/procedure/strategy or decision is being implemented?*

3. Evidenced used/considered
Your decisions must be based on robust evidence. What evidence base have you used in support? Evidence includes views and issues raised during engagement; service user or citizen journeys, case studies, or experiences; and qualitative and experience based research, not just quantitative data and statistics. *Please list the source of this evidence:* • *Identify and include numbers of staff, broken down by protected characteristics and other relevant information e.g. part time working (ESR)?* • *What research or other data is available locally or nationally that could inform the assessment of impact on different equality groups? Is there any information available (locally/nationally) about how similar policies/procedures/strategies or decisions have impacted on different equality groups (including any positive impact)?* • *Do you consider the evidence to be strong, satisfactory or and are there any gaps in the evidence?*

4. Impact Assessment
Please complete the next section to show how this policy/procedure, strategy, e-learning, guidance etc. could impact upon protected groups as identified under the Equality Act 2010, compliance with Welsh Language Standards (2011) and HEIWs ability to perform its Public Sector Duty to:

1. *Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.*
2. *Advance equality of opportunity between people who share a protected characteristic and those who do not.*
3. *Foster good relations between people who share a protected characteristic and those who do not*

Please ensure positive impacts as well as negative are highlighted. Include any opportunities to advance equality and/or good relations, and for good practice to be further developed. Also include any opportunity to maximise contribution towards a more equal Wales under the Well-being and Future Generations Act.

Equalities and Welsh Language Impact Assessment

Protected Characteristic	**Impact:**			**Reason for your decision (including evidence used). Include details of how it might impact on people from this group and how opportunities to advance equality and good relations have been maximised.**
	POSITIVE	**NEGATIVE**	**NEGLIGIBLE**	
Age main categories: under 16 16-24 25-34 35-44 45-54 55-59				

60-64 65-74 75+				
Disability Disability as defined in the Equality Act 2010: Those with any physical, sensory, learning, cognitive or mental health impairment or health condition which causes individuals to face barriers to employment, equal opportunities, access to goods, facilities or services lasting or expected to last 12 months or more, or terminal.				

Gender Identity A person's sex, including intersex people; internal sense of their own gender and gender expression, whether male, female or something else (for example non-binary people), which may or may not correspond to the sex assigned at birth; and aspects of how an individual expresses gender, including clothing, mannerisms and other				

aspects of expression.				
Marriage or civil Partnership				
Pregnancy and maternity				
Race Race, nationality, colour, culture or ethnic origin including non-English speakers, gypsies/travellers, migrant workers.				
Religion or Belief				

Religion includes any religion as well as lack of religion. Belief means any religious or philosophical belief.				
Sexual Orientation A person's orientation towards people of the same sex, the opposite sex or more than one gender.				
Carers A carer is anyone, including children and adults who looks after a family member, partner				

or friend who needs help because of health condition, physical, sensory, cognitive, learning, or mental health impairment and cannot cope without their support. The care they give is unpaid.				

Welsh Language - In Wales, the Welsh and English languages will be treated on a basis of equality

So;

Any new policy must include a comprehensive impact assessment on the Welsh language.

Wherever possible, any new policy ought to have at worst a neutral effect on the Welsh language.

Opportunities to create more favourable conditions for the Welsh language to flourish ought to be sought when creating policies.

Any new policies should be discussed with the Welsh Language Services Manager with regards to positive and negative impacts on the Welsh language

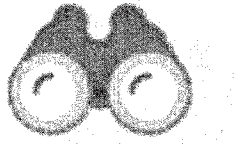
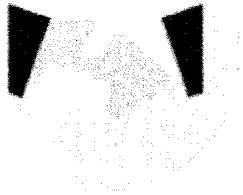
Welsh Language	**Impact**			
	POS	**NEG**	**NEG**	

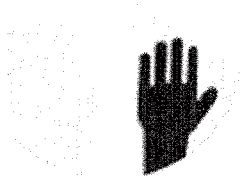
Opportunities for persons to use the Welsh Language. Treating the Welsh language no less favourably than the English language.	I T I V E	A T I V E	L I G B L E	

5. Please describe and provide evidence of potential impacts on different socioeconomic groups

6. Please provide a summary of key impact findings on the organisations ability to perform Public Sector Equality Duty. Please include both negative impacts and opportunities to maximise positive impacts.

7. How does the policy/procedure, strategy, e-learning, guidance etc. embed, prioritise the Well-being Goals and Sustainability Development Principle of the Wellbeing of Future Generations (Wales) Act 2015.

Please describe and provide evidence below of how the 5 ways of working have been met, inclusive of the 7 well-being goals, to maximise the social, economic, environmental and cultural wellbeing of people and communities in Wales.	
Sustainable Development Principle	
 **Long Term** Balancing short term with long term needs	
 **Collaboration** Working together to deliver objectives	

 **Involvement** Involving those with an interest and seeking their views	
 **Prevention** Putting resources into preventing problems occurring or getting worse	

 **Integration** Considering impact on all wellbeing goals together and on other bodies	

8. If the policy, procedure, strategy and or decision is intended to increase equality of opportunity through positive action, does it appear to be lawful? (EHRC Positive Action in the Workplace) *Briefly explain the reason for the answer, making reference to any relevant evidence*

9. Human Rights
Is the policy, procedure, strategy, e-learning etc. likely to restrict or represent a missed opportunity to support Human Rights Act (The Human Rights Act - EHRC), UN Convention on the Rights of the Child (UNCRC) Rights of Children and Young Persons (Wales) Measure 2011 ? • *If yes, please state which rights and briefly explain the reason for your answer, making reference to any relevant evidence.*
YES/NO delete as applicable ***Please be advised that any restriction unless permitted by the Convention will make the policy, procedure, strategy or decision unlawful and therefore must not be implemented.***

10. Action Planning			
Actions to be taken to address negative impacts and maximise positive impacts	Potential Outcomes	Lead	Timescales

11. Monitoring Arrangements • *What are the plans to monitor the actual and/or final impact? (The EIA will help anticipate likely effect but final impact may only be known after implementation).* • *What are the proposals for reviewing and reporting actual impact?*

Thank you for completing this Integrated Equality Impact Assessment (EIA)

For further guidance, assistance and submission, please contact Emma Kwaya-James HEIW Inclusion Lead

emma.kwaya-james@wales.nhs.uk



GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Appendix 13

Literature Review

The benefits of health and wellbeing and taking annual leave regularly.

Annual leave allows employees to take paid time off from work for the purpose of having regular breaks so that they can rest and re-energise. Employees who take regular holidays can be more motivated about their work and perform more effectively than those who do not. When employees fully unplug from work, they're better able to rest and recharge. Time spent with family and friends (and away from their desks) has been proven to improve employees' well-being and health, so that when they do return to work, they're happier and more productive (Glassdoor 2016).

The Austrians get an impressive 13 public holidays in addition to 22 days annual leave. This provides a stark contrast to the situation in the US, where there is no legal obligation for employers to provide paid holiday. Consequently, one in four have no paid holiday at all (HR Magazine, 2014). According to research by careers website Glassdoor British workers took an average of 77% of their annual leave entitlement in the past year. Figures from the *UK Annual Leave Survey*, compiled from questions sent to over 2,000 people, also suggest that only 50% of people take all the holiday they are entitled to. With average annual leave in the UK at approximately 28 days per year, this means that employees could be losing 6.5 days every 12 months (Glassdoor 2014, 2017).

Just 35% of 18-24-year-olds and 40% of 25-34-year-olds take between 91-100% of their full entitlement. Those who did manage to take a holiday, almost half (44%) of employees admit to working while they are on leave; 23% regularly checked emails, and 15% continued working through fear of getting behind and the consequences of not hitting their targets. Nearly one in five (19%) respondents said they have trouble switching off from work on holiday. This rises to 25% for people aged 25- to 34-years old, who have the hardest time mentally distancing themselves from the workplace (Glassdoor 2014, 2017).

The Scottish are the most likely to do this, with 57% saying they work while away. Welsh people do the least work while on holiday, with only 25% reporting that they carry on with work tasks.

A similar number (18%) have been contacted by a colleague about a work matter while on holiday, and 13% have been contacted directly by their manager (HR Magazine, 2014).

Total	East of England	London	Midlands	North East	North West	Scotland	Southeast	South West	Wales	Yorkshire
Fear of getting behind										
11%	8%	13%	11%	17%	10%	8%	17%	14%	2%	11%
Want a pay rise										
10%	7%	7%	9%	13%	12%	12%	13%	3%	6%	13%
No one else can do the work										
9%	7%	11%	8%	11%	9%	11%	15%	8%	5%	3%
Completely dedicated to my company										
6%	4%	6%	9%	2%	5%	10%	14%	11%	7%	2%
Believe that working is better than not working										
7%	6%	5%	5%	9%	6%	13%	10%	6%	2%	9%
Feel like I can never be disconnected										
7%	4%	13%	9%	8%	3%	3%	9%	7%	2%	2%
Fear of not meeting my goals										
6%	2%	12%	4%	5%	3%	6%	11%	5%	8%	6%
Fear of losing my job										
6%	1%	7%	6%	14%	6%	12%	6%	3%	0%	1%

The government's announcement on March 27 (in relation to COVID-19) confirmed that all key workers, will be allowed to carry over statutory annual leave into the next two years. However, research indicates that organisations need to encourage staff to take holiday even when self-isolating (Arnold, 2020).

Annual Leve refreshes our body, but just as importantly refreshes the mind. Research indicates that working long hours has measurable negative impact on cognitive function (Athena international).

Annual Leave / Holidays can have both positive outcomes for both individuals and organisations. Individual benefits include; reduce stress and prevent burnout– which in turn lowers the risk of anxiety and depression. Signs of burnout include; feeling of lack of control over commitments, loss of purpose, loss of motivation, detachment from relationships, feeling tired and lethargic, feeling that you're accomplishing less, Increased tendency to think negatively.

Nearly two-fifths (37%) of respondent's report that stress-related absence has increased over the past year and just 8% that it has decreased (CIPD, 2018); Workload remains by far the most common cause of stress at work Improved mood – helping to ease social relationships; Boost immunity and extended life – people who take more holiday time are known to not get sick as often and it can lower the risk of a heart attack in the long run. In 2000, a study published in Psychosomatic Medicine revealed a reduced risk of premature death among middle-aged men at high risk of developing heart disease; Better social life The Wisconsin Medical Journal study also reported happier relationships among women who took regular holidays. 'Women who took vacations more frequently were found to be more satisfied with their marriage, and their work had no impact on socialising with family and friends'

In contrast organisational benefits include reduce stress – which in turn lowers the risk of anxiety and depression, nurture creativity, improves workplace wellbeing and increases productivity - 84% of managers agree that when employees take time off, they return to work with improved focus and creativity (Glassdoor, 2017).

Individual circumstances along with organisational cultures have a big part in holiday taking behaviour and patterns of annual leave. However, what Hay Group's research advocate that companies with a positive work/life balance culture see fewer employees looking to leave

than those that don't (only 17% from the former are considering leaving in the next two years compared to 27% from the latter) (HR Magazine 2014, 2013).

CIPD (2020) Health and Wellbeing at work findings demonstrate that well-being activity results in healthier cultures in public sector organisations but is less effective at reducing employee absence or stress (CIPD, 2020).



A survey from Britain's Healthiest Workplace (BHW), surveying more than 32,538 workers across all UK industries, revealed that high stress and lack of physical activity are causing industries to lose up to 27 days of productive time per employee each year. This has huge financial implications, with the UK missing out on around £77.5 billion a year in loss of productivity due to mental and physical ill-health, often caused by stress (Health at Work 2019; Vitality).

A rested and relaxed workplace can lead to a more motivated and productive workforce and can reduce the amount of sick leave taken, which is often a direct result of stress or exhaustion. A less-stressed workplace can also avoid fatigue-related accidents, whether they be physical injuries or administrative mistakes that could potentially cost client relationships. In addition, a more positive, healthy working environment is a strong tool for staff retention.

CIPD (2018) indicated an increase in common mental health conditions, such as anxiety and depression, among employees. (2018: 55%; 2016: 41%), and nearly three-fifths include it among their *top three* causes of long-term absence (56% of organisations compared with 42% in 2016). A mentally healthy workplace can be achieved by a positive workplace culture; thus people feel good about coming to work; Risks to mental health are managed – stress, heavy workloads, unrealistic deadlines, poor communication, uncertainty are controlled; People with mental health conditions are supported; Along with a zero-tolerance approach to discrimination – a diverse workforce is aspired to and everyone gets a fair go.

HR news (2019) reported a recent study by a Danish ferry company DFDS investigated the effect that work and everyday stresses can have on mental health in the UK. The figures show that almost 3/4 of Brits (74%) experience stress on a day-to-day basis, with those aged 25-34 suffering the highest stress levels, at 86%. 75% of respondents said they wished they could take more time off work to go on holiday, with that number rising to one in nine (90%) among 25-34-year-olds. Work and life stress was cited as the main reason for booking a holiday among 42% of all recipients, and 54% of 16-24 year-olds. Wellbeing was also a major reason among the younger generations, with 70% of 25-34-year-olds and 63% of 16-24 year-olds saying they book a holiday to benefit their wellbeing. The study concluded that 79% of Brits returned from holiday feeling significantly less stressed yet, despite this, many people are not

booking time off for holidays – 30% of women and 27% of men have not booked a holiday in the past year.

Top 5 cities most likely to book holidays to benefit their wellbeing (HR News 2019):

1. Belfast – 65 per cent
2. Cardiff – 64 per cent
3. Leeds – 57 per cent
4. Southampton – 55 per cent
5. Bristol – 55 per cent

Sending out regular reminders as part of company newsletters, individual emails confirming employees' remaining entitlement, or mentioning annual leave during regular meetings can motivate employees to book time off throughout the year and create a culture where discussion around holidays is open and positive.

Encouraging employees to share recommendations for time off – from long-haul trips to city breaks, family days out to local cultural events – can help to develop a healthier workplace attitude towards annual leave. Highlight NHS discounts (i.e. Blue light card) on travel, accommodation, places of interest, events, and other activities in order to support this.

Communicating the importance of annual leave to managers at all levels will help to avoid staff feeling that their requests will be frowned upon. The way in which managers respond to holiday requests, their awareness of employee workloads, any barriers they put in place in terms of timings, and their own willingness to take annual leave can have a strong impact on how comfortable their team feel in utilising their allowance. Similarly, its important managers discuss work-life balance with employees, ensuring they handover tasks before they take holiday, and making it clear they are not expected to check work emails while away can ensure they fully step back from the stresses of the workplace during their annual leave.

Ensuring your employees take their full entitlement can create a more productive workplace, minimise absenteeism due to stress-related ill-health, and help to retain staff, the organisation more appealing to potential employees in the future.

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Emma Carrington (HEIW)

From: Richard Tompkins (BCUHB - NHS Wales Employers)
Sent: 05 June 2020 08:59
To: Claire Smith (HEIW)
Cc: Emma Carrington (HEIW)
Subject: RE: Literature review.docx

Hi Claire

Many thanks to Emma for pulling together this literature review.

It's an excellent piece of work and a really helpful contribution to the wider health and wellbeing messaging around the need to take a break from work and use annual leave for rest and relaxation irrespective of whether or not you can fly off to the beach somewhere.

I'll use this to support my wider partnership conversations around the need to take leave regularly throughout the leave year.

Thanks again ☺

Richard
Richard Tompkins
Cyfarwyddwr • Director
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From: Claire Smith (HEIW) <Claire.Smith10@wales.nhs.uk>
Sent: 04 June 2020 15:27
To: Richard Tompkins (BCUHB - NHS Wales Employers) <RICHARD.TOMPKINS@wales.nhs.uk>
Cc: Emma Carrington (HEIW) <Emma.Carrington@wales.nhs.uk>
Subject: FW: Literature review.docx
Importance: High

Hi Richard

Following our meeting this week I asked Emma to do a literature review on the benefits of taking annual leave, here it is, she's done a brilliant job, hope there's enough in there for your evidence needs.

Thanks

Claire

Appendix 14

GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Statement on Annual Leave

Dear colleagues,

In the last staff open forum I promised an update on annual leave and carrying days over. This has been the subject of much conversation at an all-Wales level in recent weeks and I wanted to make sure that we took account of those discussions before issuing the clarification you have requested. I am sorry this has meant a delay.

Since lockdown came into force, we've all had to make some changes and compromises to the way we live and work. While all of you have risen to the challenge of working from home, we know from our staff surveys there has been some impact on your health and wellbeing both mentally and physically and understand that this may continue over the coming weeks and months.

From February when the outbreak began to affect services and our normal lives, annual leave has continued to be agreed and taken. The only exceptions have been for those staff who were unable to take leave due to playing a critical part in the initial stages of the pandemic response or who have been unable to take annual leave due to isolating / illness.

However, as I mentioned a few weeks ago, managers and executives across the NHS including Alex, myself and Andrew Goodall (Chief Executive of NHS Wales) have been advising and encouraging all staff to continue to take annual leave and for those in critical areas of the NHS impacted by the Covid response to do so as soon as practicably possible.

The reason for this is your personal health and wellbeing. We all have a responsibility to keep ourselves, and each other, safe and well. Annual leave is key to your wellbeing, it gives you much needed time to rest, relax and recharge by having a physical and mental break from the workplace. The importance of taking annual leave to support individual health and wellbeing is also strongly supported by trade union partners.

We appreciate, that during these uncertain times there is a temptation to hold on to your leave to later in the year when the situation may be clearer. But as employers we are aware that by holding onto annual leave there is an increased risk of physical and mental health problems, and we really don't want this to happen to any of you. Some of you have raised the question of the amendments to legislation passed by the UK Government which, from the headlines, appears to give flexibility to carry over leave in excess of the usual arrangements. So, I'd just like to clarify what this actually means.

The UK Government has amended the Working Time (Coronavirus) (Amendment) Regulations 2020, to provide employers and employees with more flexibility, should it be

required, in relation to the carrying over of untaken annual leave. The legislation permits the carry-over of the untaken statutory element of annual leave, where it has not been reasonably practicable for the staff member to take some or all of their ***approved*** annual leave, due to the requirement to provide essential services as a result of the pandemic. This change was aimed primarily at front line workers.

Of key importance and another reason why you are encouraged to take planned leave throughout the year when you can, is that staff cannot use the Government's amended Covid-19 Working Time Regulations, to postpone booking and taking their annual leave, within the current leave year, should they be unable to use it to go away on holiday etc. The amended regulation can only be applied and approved, where staff members have been prevented by HEIW, from taking their booked and approved annual leave as a result of the effects of Covid-19.

We've also been part of the discussions at an all-Wales level with the other 10 NHS Wales organisations. We have all agreed the health and well-being of staff comes first, and staff should continue to book and take leave as normal with the carry-over limit of 5 days. We recognise that our staff on Cardiff University contracts do have the ability to make a request to carry over leave in excess of the 5 days. Only in highly exceptional circumstances such as us requiring you to cancel leave already agreed, or in the case of maternity or long-term sickness, will carrying over more than 5 days be considered.

So please, if you haven't already booked annual leave make it your wellbeing promise to yourself to do it in the next week. If you have any queries the People team are on hand to help.

Kind regards,

Julie

Name: Emma Carrington

Student Number: 1910725

CIPD Membership Number: 55478700

Qualification: CIPD Diploma in Applied Human Resources (CIPDL5)

Module: LO2: Contributing to Improving Organisational Performance

Word Count: 3000

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: Emma Carrington

Date: 14th September 2020

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Candidate name: Emma Carrington				CIPD Membership/registration No.: 55478700		
Qualification title: CIPD				Unique Learner No. (ULN): 1910725		
Unit code	**Unit title:** Contributing to Improving Organisational Performance	**Assessment criteria no.**	**Evidence description**	**Evidence reference number**	**Assessor initials**	**I/V initials i sampled**
5AIOP	**2.1 Analyse the types of support line managers in the organisation need from HR, in relation to performance management activities.**		Recruitment Training Slides	EV1		
5AIOP			General Recruitment Process KPIs, Targets and responsibilities'	EV2		
5AIOP	**2.2 Support line managers' capability to deliver performance management activities.**		Strategic Objective 1C	EV3		
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5AIOP			HNA Covid-19 High Level Summary Presentation	EV6		
5AIOP	**2.3 Work in conjunction with line managers in the provision of employee performance and development reviews.**		HEIW PADR Form	EV7		
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5AIOP			Executive Report – Procurement of an Employee Assistance Programme (EAP) for HEIW employees	EV9		
5AIOP			Scoping Exercise – Review of HHP Wales Extended Services.	EV10		

Candidate declaration:

- I confirm that the work/evidence presented for assessment is my own unaided work.
- I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action.
- I agree to this work being subjected to scrutiny by textual analysis software if required.
- I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998.
- I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records.
- I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.

Signature:	**ELCaarington**	**Date:**	**09/09/20**

Executive Summary

Line managers have a very important role within an organisation, not only in the day-to-day management of people and operations, but also in implementing HR policies and in the L&D activities of both their team and organisation. This is particularly so in organisations which devolve these activities towards line management. It's therefore important that appropriate consideration is given to the way line managers are selected, developed and managed on an ongoing basis to ensure they can perform their role.

Line managers can make a significant difference in (CIPD, 2019):

- enabling HR, OD and L&D policies and practices and 'bringing them to life'
- enabling learning solutions to happen
- identifying learning needs and embedding learning in the workflow
- acting upon advice or guidance from HR, OD and L&D
- controlling the workflow by directing and guiding the work of others
- greater collaboration between the line and the people profession to support change.

Managers are also often responsible for managing health and well-being of their teams, preventing ill health, introducing adjustments to workloads and ways of working when required, and seeking support from occupational health services to deal with cases of ill health. CIPD (2016) Absence management survey highlighted this expectation and acknowledged giving line managers primary responsibility for managing absence and giving sickness absence information to line managers were amongst their most effective approaches for managing short-term and long-term absence within organisations (CIPD 2019).

To deliver good people management, line managers themselves need to be managed within a strong, supportive framework to enable them to develop self-confidence and a robust sense of their own role in the organisation. This further emphasises the need for appropriate training and development for those newly appointed in a line management role. If managers are the 'face' of the people profession to employees, the people profession must be part of ensuring this framework is in place.

2.1 Analyse the types of support line managers in the organisation need from HR, in relation to performance management activities.

My role does not include advising line managers on the appraisal process, this is the responsibility of the Learning and Development Practitioner within the People team.

Line Managers have the greatest influence on staff performance and engagement to their organisation and is key to the PM process within an organisation (Gallup, 2015; ACAS, 2012, 2016; HBR, 2013). Line Managers within HEIW are the interface between the organisation and the front-line workforce and are responsible for making sure organisational goals are achieved (Heatley, 2013). Gallup's (2015) research ascertains the quality of line managers is the single biggest factor within an organisations long term success. Line Managers add value through excellent communication and leadership skills, Engagement, Coaching and mentoring, emotional intelligence, recruiting and hiring talent to fill team positions and providing training and support to new employees (SABA,2020). This is obtained through effective recruitment selection and employee retention practice in which all line managers attend (SHRM, 2020; Ashe-Edmunds, 2020; CIPD, 2018; NMC, 2018; HEIW, 2020; HEE, 2020). (Appendix 1). The training also highlights the importance of general recruitment process KPIs, targets and line manager and HR responsibilities. (Mindtools, 2020) (Appendix 2).

To assure PM activities HEIW HR Managers work in collaboration with line managers and appraisers to ensure that all employees responsible for undertaking appraisals have received training on the PM process and policies e.g. MAAW, and teams are aware of the Health and wellbeing policy (St John's Ambulance; ACAS; NHS England, 2019; CIPD, 2020) and its application during appraisal. The HR team also support and facilitate line managers by adding value through best practice guidance, supporting mechanisms and best practice where there's a gap between objectives and performance appropriate HR support mechanisms are required. They also aim to get the best out of people through assisting managers and advising where possible and providing them with training tools which help them secure higher individual performance from employees (Taylor, 2016). The HEIW HR team are often involved within the design of standardised appraisal documentation and training other managers to carry out effective appraisals. HR trainers develop learning objectives based online managers' understanding of the organisation's coaching philosophy (Mayhew, 1995, 2011).

Within HEIW, HR and line managers work together to ensure a consistent approach to PM activities such as PAs. Making judgements about an employee's value, capability, worth, contribution and potential is a vital dimension of a manager's relationship with employees. However, managers can sometimes lack the confidence to lead and are sometimes reluctant to carry out PAs due to the dislike of passing judgement about employees' value and an inability to handle emotional responses that arises when employees receive ratings that are less impressive than they were expecting. Taylor (2016) suggests that the appraisal interview does not fit well with individual management styles explaining managerial resistance. There is also a tendency that managers undertake the talking during the PA process leaving a lack of opportunity for employees to participate and respond to future objectives (McGregor, 1957, p89; Beer, 1985; Beer et al 1984).

However, line managers are fundamentally important within the PM process. They can motivate, improve productivity and profitability along with improving motivation and retention. Feedback that is constructive demonstrates application of best practice and is vital to employees' ongoing development, it clarifies expectations, helps people learn from their mistakes and builds confidence (CIPD, 2019). HEIW acknowledge inconsistencies have a negative and damaging impact on employees' job satisfaction, employee self-esteem, employee engagement and organisational reputation (Kettner, 2017; Sherman, 2019; Coens & Jenkins, 2002; De Nisi & Kluger, 2000). Training and development are a HR function that

prepares line managers for leadership training topics i.e. help managers develop appraisal interview skills, provide constructive feedback and conduct a fair unbiased assessment of employee performance (CIPD, 2019). Kluger and Nir (2009) advocate managers feedforward as a positive appraisal approach, which focuses on positive experiences from work that can provide future support so that an employee's performance can improve and avoid an employee withdrawing into defensive emotions (Batton & Gold, 2017). Managers that create a safe environment will make it easier for employees to seek negative feedback (Gang et al, 2014, p23; HR Central, 2018).

HEIWs Values Based Performance and development policy enables employees, HR and line managers to participate in and deliver a meaningful effective performance appraisal process and creates and environment for success (Knight, 2011; Vantage circle, 2019; CIPD, 2016). HEIW involve all employees, trade unions and the NHS staff council within the consultation of all policies and procedures (Unison, Unite, ACAS).

Employee Performance (CIPD, 2019) is assessed and reviewed against HEIW's values and behaviours (CIPD, 2019; Cardiff and Vale UHB, 2020) and previous objectives, succession planning (CIPD, 2020; Investors in people) for critical posts are identified and developed, work related objectives are agreed for the following year and are linked to HEIW objectives; regular line manager 1:1 and talent conversations (NHS Leadership Academy, 2014) take place, enabling employees to discuss their future career aspirations and potential development opportunities are identified; employees and line managers are given details of opportunities that are available, to ensure they are developed in a way that brings job satisfaction, but also supports HEIW in meeting its objectives.

There's a growing emphasis in both HR and L&D on business partnering, where business partners are closely involved with supporting business strategy which has enhanced the people management aspects of the line manager's role within HEIW (CIPD, 2019). Two Senior HR Business Partners (CIPD, 2019; CIPD, 2020; Landy, 2020; Aspirehrbp, 2014) are employed within the people team who are tasked with ensuring alignment between the business operations and the HR practices and objectives. They support HEIW line managers, take a lead role on project delivery as well as coaching and mentoring ensuring consistently high standards of HR service delivery. They are key contacts for specified directorates with a keen understanding of the business's strategy, providing dynamic solutions using experience, data analyses, and organisational agility to guide decision making and performance management queries. Within HEIW line managers have the opportunity to develop responses and solutions to HR issues together with HR business partners with more imminence and alignment to the business strategy (CIPD, 2019).

As previously noted, L& D (HR Zone; CIPD; Glaveski, S, 2019; Mckinsey,2019) is a core feature of HEIW PM. In view of the annual plan, HEIW people team continue to develop their leaders and managers to undertake roles with consistency and competence. A L&D business manager within HEIW allows the people team the ability to respond readily to line manager needs for their team which creates a much closer and relevant function of the L&D team (CIPD, 2019). Using information from the PDPs (which the employees line manager submits) HEIW L & D Business managers produce an annual learning and development bid (CIPD, 2015) for the Executive team to consider. They are furthermore responsible for the development of action plans for the promotion of health and wellbeing at work as a means of improving the wellbeing and work performance of employees (Judge et al 2001, Lyubmirsky et al 2005; Peccei et al, 2013; Van de Voorde et al 2012; Engage for success, 2014; Bailey et al, 2015a, 2015b; Dylag et al 2013; Oswald et al, 2014; Zelenski et al, 2008; Gallup, 2013; Diener and Chan, 2011; Staw et al, 1994; Grey, 2014); ACAS, 2020). This enables both people and business issues to be considered in a wide range of decisions that will impact on HEIWs effectiveness. As the relationship is ongoing, both sides build a better understanding and

develop long-term strategies and solutions rather than the HR and L&D functions being brought in to manage issues as they arise. This proactive rather than reactive approach offers synergy and better support to operations and impact on the bottom line (CIPD, 2019).

Talent and Succession Planning (Aguinis et al., 2012; CIPD, 2020;Hirsh, 2105; Taylor, 2016) are at the core of HEIW's PM. PMs are becoming significant factors of Development and Talent Management within HEIW (Aguinis et al., 2012). Every employer has an opportunity to develop to their full potential and to engage in career conversations. Line managers work with HR to retain talent and mitigate any potential people risks that are identified through workforce planning.

Within HEIW line managers work closely with the HR and Workforce Information Analytics team to develop consistent data sets. This data is kept over time so that snapshots of workforce composition at the same date each year, for example, can be easily extracted – workforce data relies on keeping information on joiners, leavers and movers in each year. This is also used to monitor absence such as sickness against the MAAW policy. Business and workforce information systems are constructed in such a way that additional fields can easily be added and data from several fields can be extracted and cross-tabulated with ease

2.2 Support line managers' capability to deliver performance management activities.

A Healthier Wales: Our Plan for Health and Social Care (WG, 2019), recognises that a key factor in delivering high quality health and social care is the wellbeing and engagement of staff, with one dimension of the HEIW quadruple aim: "to enrich the wellbeing, capability and engagement of the health and social care workforce" (HEIW, 2019). HEIW is committed to enhancing the health and wellbeing of NHS colleagues and to be an exampler employer, through promoting, facilitating and where appropriate monitoring the impact of health and wellbeing initiatives. In order to be effective HEIW required organisational and individual commitment and investment in colleagues time to complete. HEIW *Strategic Objective 1C* notes by the end of 2019/20 "we will have established a comprehensive governance framework for the new organisation including Welsh language, wellbeing and diversity requirements" (Appendix 3).

During October 2019 I supported my line manager with the facilitation of an organisational Heath Needs Assessment (HNA). An HNA is a systematic process and useful tool used by organisations to assess the health and wellbeing issues facing a population (in this case HEIW colleagues) and is part of the NHS workforce Health and Wellbeing Framework (NICE,2020). This useful tool measured the effectiveness of current practices in place within HEIW and the potential impact of future programmes being implemented. During June 2020 I furthermore supported my line manager to facilitate a mini COVID-19 HNA (Personnel Today, 2020; GOV.UK, Public Health England, Healthy Working Lives 2018; Public Health Scotland; Cavanagh & Chadwick, 2002; The Kings Fund, 2020) which gave colleagues the opportunity to express their views during the pandemic. In total 109 surveys were completed (36% response rate).

This useful tool measured the effectiveness of current practices in place within HEIW and the potential impact of future programmes being implemented.

I analysed the results against those of the full HNA undertaken during October 2019 and compiled a report for the executive team (appendix 4) along with a Communication strategy (appendix 5) and presentation (appendix 6) The senior leadership team have noted the content of the report along with its links to the 5 ways to wellbeing and endorsed a communications campaign. The results will be communicated to HEIW colleagues, over a 5-day period highlighting key focus health and wellbeing areas with links to the 5 ways to wellbeing (Gallup, 2013 HEIW, 2019). It will also link to other one-page intranet articles to support the key findings i.e. developing information on the impact of sedentary working on physical health and how this can be improved through running the fitin50 programme again in September. The information will highlight what we have achieved so far and the measures HEIW intend to put in place going forward.

The Health and Wellbeing of NHS staff is a key factor that underpins performance at work. The overall results of the HNA indicate the Health and wellbeing of employees has improved since October 2019. Although a 7% decrease in employees Mental Health was reported in June 2020, this has improved for both positive and negative results since October 2019, which is indicating that the impact of working on staff mental health is positive rather than negative. Mind (2020) research highlights 60% per cent of employees say they'd feel more motivated and more likely to recommend their organisation as a good place to work if their employer took action to support mental wellbeing (ACAS; MIND; The Kings Fund, 2020)

There's observed evidence linking the impacts of employees increased greater subjective well-being (SWB) to individual performance and production, engagement within the workplace and sickness levels (Judge et al 2001, Lyubmirsky et al 2005; Peccei et al, 2013; Van de Voorde et al 2012; Engage for success, 2014). Bailey et al (2015a, 2015b) have shown high levels of engagement are associated with high levels of wellbeing and vice versa i.e. Engaged

employees experienced less emotional exhaustion (Dylag et al 2013; Oswald et al, 2014; Zelenski et al, 2008; Gallup, 2013). There's a great deal of empirical evidence pointing to a positive causal effect of SWB on individuals' physical health (Diener and Chan, 2011), along with suggestions that higher SWB can raise an individual's levels of creativity and problem-solving, which may also encourage pro-social behaviour. The substantial demands and challenges experienced by employees will have been intensified by Covid-19, especially clinical (Personnel Today, 2020; Mental Health Foundation, 2020). The Mental Health Foundation reported Approximately half of the population (49%) had felt anxious or worried during the period March – July 2020 and one in five people with a long-term health condition (21%) and one in four people with a pre-existing mental health condition (25%) reported suicidal thoughts and feelings. (Mental Health Foundation 2020). Longer working hours, more physically, emotionally and mentally draining work, having to socially distance, additional caring responsibilities in one's home life, or having to live apart from one's family are among the additional demands from Covid-19 that compounds and exacerbates the difficulty in achieving a healthy work-life balance and increases the risk of burnout. (A. Dylag, M. Jaworek, W. Karwowski, M. Kozusznik, T. Marek, 2013; Psychology Today) A culture within healthcare organisations that explicitly recognises how the nature of the work and current working conditions can impact on the wellbeing of staff is vital as the long-term health and performance impact on the workforce, the healthcare system and wider society will be catastrophic (Personnel today, 2020; Kings Fund, 2020; Mental Health Foundation 2020; Mind, TWINFM, 2020).

It is intended that a further HNA will be conducted during October 2020 to assess the health and wellbeing issues facing HEIW colleagues and is part of the NHS workforce Health and Wellbeing Framework.It is to consult and engage all HEIW employees in the development and formulation of the HEIW Health and Wellbeing strategy and action plan. The implementation of a Health and Wellbeing Strategy within HEIW would provide employees with support on issues that might be impacting their health and wellbeing and performance. Currently there is no Health and Wellbeing Strategy provision for employees within HEIW. Implications of COVID means It is imperative a health and wellbeing strategy is implemented within HEIW to look after the Health and wellbeing of employees, maintain good sickness rates, maintain performance levels etc. (Kings Fund, 2020).

2.3 Work in conjunction with line managers in the provision of employee performance and development reviews.

Within my current role I do not deliver performance appraisals. I work within Workforce Strategy, specifically Health and Wellbeing linking to HEIW's Corporate Health standards Award, HNA, EAP, Health and wellbeing portal updates, including literature reviews, gap analysis and benchmarking exercises across NHS Wales. However, within my role I understand that poor Health and Wellbeing can have an impact on Performance and engagement (Abraham, 2016; Mind; Gallup, 2013; Bryson et al, 2014). Health and wellbeing at work are key elements in the Europe 2020 strategy for growth, competitiveness and sustainable development (Garrow, 2020).

Bailey et al (2015a, 2015b) research revealed high levels of engagement are associated with high levels of wellbeing and vice versa i.e. Engaged employees experienced less emotional exhaustion (Dylag et al 2013; Oswald et al, 2014; Zelenski et al, 2008; Gallup, 2013). There's already a great deal of empirical evidence pointing to a positive causal effect of SWB on individuals' physical health (Diener and Chan, 2011), along with suggestions that higher SWB can raise an individual's levels of creativity and problem-solving, which may also encourage pro-social behaviour. The CIPD (2010) reported that those who were engaged in their work were almost three times as likely to have six key positive emotions at work (enthusiasm, cheerfulness, optimism, contentment, to feel calm and relaxed) as negative ones (feeling miserable, worried, depressed, gloomy, tense or uneasy).Evidence also suggests that presenteeism is both more prevalent than absenteeism, and, unlike sickness absence, is also significantly related to performance. In the long term, presenteeism may also be more damaging for employees' health, morale and productivity (Garrow, 2016).

HEIW Values-Based Performance Management (PM) and appraisal form starts with a review of the previous objectives where employees are asked to undertake a self-assessment. All new HEIW Employees start the PA process within 30 days of appointment. Employees and casual workers are measured against SMART Objectives *(specific, measurable, agreed, attainable and achievable, realistic and resourced, time-bound) objectives that help them prioritise work, monitor progress and celebrate achievements (*Professional Academy, Mindtools; Chartered Management Institute; Investors in People*)* The appraisal year runs from 1st April to 31st March. Employee Performance (CIPD, 2019) is assessed and reviewed against HEIW's values and behaviours (CIPD, 2019; Cardiff and Vale UHB, 2020) and previous objectives, succession planning (CIPD, 2020; Investors in people) for critical posts are identified and developed, work related objectives are agreed for the following year and are linked to HEIW objectives; regular on to one meetings to assess progress.

The people team provide training to line managers and appraisers on the policy. They co-ordinate the annual 360-degree feedback exercise (CIPD, 2019) for all employees except the executive team (this is commissioned by a separate company). The Values Based 360-degree feedback questionnaire is sent to employees from the People team in March for completion. (DeNisi, A. and Kluger, A, 2000; Momtazian, M., 2016; CIPD, 2019; Cardiff and Vale UHB, 2020).

Each end of year assessment starts with a new form. The form *(for initial completion by an employee),* helps to set an agenda for the conversation with the line manager. This process requires a formal meeting every six months. April *(set objectives),* September *(to review previous six months).* The process also depends on regular one to one meeting to review progress.

HEIW's current Values based Performance Management process aligns with the business strategy and is fit for purpose. The process is proactive rather than reactive and looks at the present and future of the employee, and what can be done to help future performance and

meet future goals. Its focused on the development and training of an employee, and how that can benefit both the employee and HEIW. However, the process relies on the line managers interpretation of performance management processes and based on their personal feelings or opinions or their ability to be impartial. Line manager training on the PM process is essential, but interpretation is difficult to monitor. It could be argued, that more flexible approach would be more effective and create better measurable outcomes i.e. real time feedback (Adobe, 2012; Google, 1998; Netflix, 2009; Facebook; Zappos; Bisinessinsider, 2016;) than a traditional appraisal process.

I recently met with my line manager to discuss my Performance Appraisal Development Review (PADR). I outlined the support I require from my manager, the team or the organisation to fulfil my potential, Learning and Development have undertaken this year etc. (appendix 7). In preparation for my review I used the Professional Map to diagnoses areas of success and improvement and identify skills needed to make change happen i.e.

- Develop career pathways
- Identify teams' capability
- Focus on behaviours needed for success
- Build a competency framework
- Build role profiles

We discussed my SMART Objectives ((Professional Academy, Mindtools; Chartered Management Institute; Investors in People) and Learning and Development needs within my current role and linked them to HEIW 3-year Integrated Medium Long-Term Plan (IMTP) (appendix 8) through Identifying *organisational* and individual capability requirements and aligning strategy, people and processes to optimise *effectiveness* and achieve the *organisational* goals.

Insight Strategy and Solutions: Deliver and Embed Solutions: As previously noted, the results of the COVID-19 HNA data were analysed and will be used to develop the HEIW Health and Wellbeing Strategy and Action Plan, intended to bring about beneficial health and wellbeing change to colleagues in 20/21, anticipated to have a positive impact on employee performance and engagement. I intend to continue linking with the people team to gain knowledge, expertise and further experience and review the project management practice within HEIW, follow consultation guidelines/regulations and write a PID for the strategy.

Employee Relations: Research and Measure employee engagement: I have been working in conjunction with my line manager in the provision of an Employee Assistance Programme (EAP) service within HEIW. An EAP is an employee benefit program that assists employees with personal problems and/or work-related problems that may impact their job performance, health, mental and emotional well-being. According to Deloitte (2018, 2017) Initiatives to support employee wellbeing such as wellness and work-life balance programmes in the workplace, are no longer seen as a 'nice to have' but as an essential differentiator. 88% of business and HR leaders in the UK are working towards improving employee wellbeing, compared with a global average of 82 per cent. 36 per cent of businesses in the UK currently have mental health counselling programmes in place, against a global average of 21 per cent (Deloitte, 2018; Reward & Employee Benefits Association). HEIW' s current Occupational Health and other health and wellbeing services are procured through Cardiff and Vale University Health Board. Deloitte analysis for the Stevenson-Farmer independent review found that poor mental health costs the UK economy between £74 billion and £99 billion a

year, with workplace interventions showing a return to business of between £1.50 and £9 for every £1 invested (Deloitte, 2018, 2016).

An EAP (CIPD, 2017; CIPD, 2019; Lewis, 2017; HR News, 2017; EAP Association, 2014; The HR Director, 2014; Newton *et al*, 2005) Task and Finish group was set up within HEIW with the intention of establishing an EAP. The first meeting took place on the 15th July 2019, where the group discussed and noted the services that NHS Wales Health Boards and Trusts currently provide to their employees. To support my line manager, I undertook a benchmarking and scoping exercise along with a literature review (appendix 9) to establish current intervention and prevention services that were currently provided to employees. The Task and Finish group discussed the relevance of the services to HEIW and themed them into five groups: Health Promotion; People; Health and Wellbeing; Employee Assistance Programme and Education and Development. The Senior Management team were asked to endorse a joint EAP provision for HEIW employees. Due to COVID-19 an intended EAP service provision was pause and Cardiff Occupational health have continued to use another service. During the pandemic, on behalf of my line manager I facilitated a gap analysis (appendix 10) of the current service provision for NHS Wales staff in relation to EAP services. The exercise highlighted that the current provision is not fit for purpose and an EAP service provision will be established within HEIW.

As a member of the Employee Assistance Programme task and finish group I intend to undertake further benchmarking exercises to of Health Boards/Trusts in NHS Wales and the intervention and prevention services they provide to their employees. I have been asked to write a report detailing the findings with a recommendation to start up the process to ensue the health and wellbeing, productivity and engagement of employees (Deloitte, 2018, 2016; CIPD, 2017; CIPD, 2019; Lewis, 2017; HR News, 2017; EAP Association, 2014; The HR Director, 2014; Newton *et al*, 2005)

Develop employee relations strategy, policy and practice: HEIW are currently writing a Mental Health Policy for implementation as a result of the current policy not being fit for purpose. I currently sit on the Mental Health policy group and the HEIW policy review group. COVID-19 has had major implications for staff Health and Wellbeing which may have an impact on organisational performance. There is a clear link between this policy and the MAAW i.e. reasonable tailored adjustments.

Going forward I intend to spend time with the people team to assess my level of awareness, understanding and interpretation of current policies i.e. the development and consultation of the People and OD strategy and the Mental Health Policy. I intend to apply this learning within the development of the Health and Wellbeing Strategy.

Embed employee relations strategy, policy and practice: Going forward I need to use my professional network to provide opportunities to discuss specific employee relations issues and the full range of strategies and solutions available within HEIW. I have been asked to represent HEIW on the National Health and Wellbeing Group.

Talent Management: I intend to increase my employer brand knowledge by linking with HEIWs expanding talent Management team to gain knowledge and experience in HEIWs employer brand. I intend to study its direction, development process and track its effectiveness in attracting and retaining key talent

Role Model Behaviour: To build knowledge, experience, confidence and self-review processes I intend to link with a mentor and coach.

I am currently working between a Band 1 & 2 within Health Education and Improvement Wales (HEIW) however, I would like to work proficiently at Band 2 at the end of this course in May 2021. In order to reach this aspiration, I need to increase and widen my HR knowledge experience by obtaining management experience individually or within a HR team, linking it to HR strategy and policies.

I need to continue building my current knowledge and skills whilst continuing using the professional map as a developmental self-assessment tool whilst undertaking this course and during by future career within HR and OD. The map continues to help me recognise my own performance and professional areas for development and allow me to plan my own learning. I plan to continuously undertake and seek new learning opportunities and assess my level of knowledge in relation to practices and behaviours that will make me more effective within my role. I will always adhere to the CIPD Codes of Practice and work ethically.

I will continue to use the 2013 Professional Map in conjunction with the 2015 map to keep up with my professional development. If HR professional develop these skills and demonstrate that they can apply their understanding of an organisations business and context, they will have the ability to meet organisational need tailor its current and future strategies (Perkins *et al* 2016; CIPD, 2019).

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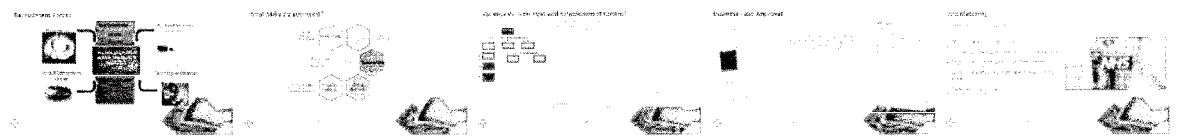
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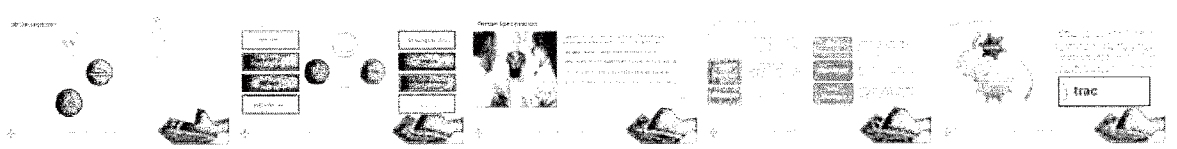
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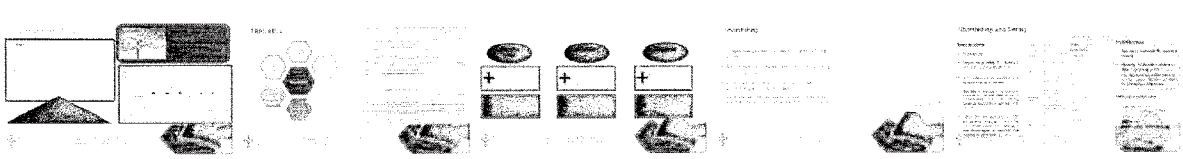
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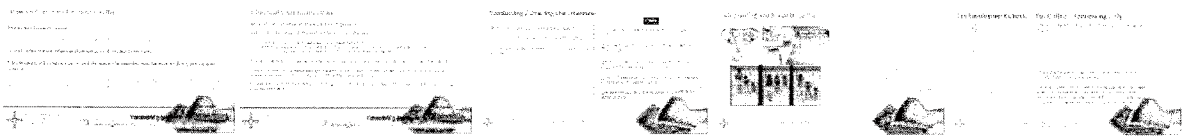


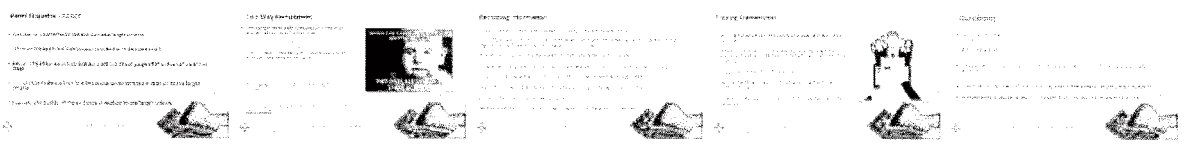


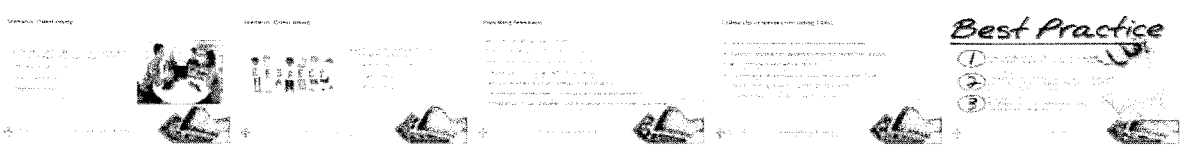


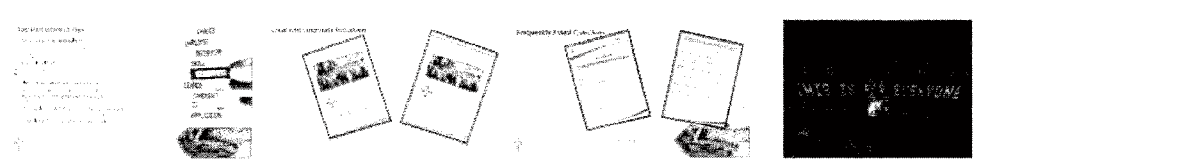











Best Practice

Appendix 2

GENERAL RECRUITMENT PROCESS KEY PERFORMANCE INDICATORS, TARGETS AND RESPONSIBILITIES

(in working days)

Step	Agreed KPI	TARGET & RESPONSIBILITY		Total Time
		NWSSP	HB/Trust/ Manager	
Step 1	**Time from resignation to submitting vacancy for approval on Trac**		5 days	**5 days**
Step 2	**Time to approve/authorise a vacancy**		10 days	**Maximum of 44 days**
Step 3	**Time to place adverts live** Quality check and place adverts. Internal on Trac only, external onto NHS Jobs and Trac.	2 days		
Step 4	**Time to send applications to a manager after the post closes**	2 days		
Step 5	**Time to shortlist by manager** Score against the person specification in the Trac system. Manager completes interview gateway on Trac and Recruitment will set interviews up on the system and invite candidates to interview		3 days	
Step 6	**Time to invite candidates to interview**	2 days		
Step 7	**Time to notify Recruitment of interview outcome** Manager to enter interview outcome onto Trac		3 days	
Step 8	**Time to send conditional offer letter** Recruitment will check original WTE approval so ensure additional approval is already received if required. References will be requested. OH form is sent to candidate to complete and return to OH.	4 days		
Step 9	**Completion of pre-employment checks (PECs)** Appointee to attend a face-to-face meeting to produce ID, Right to Work, Quals/Reg where applicable, complete DBS check. Internal appointees may have complete records on file, if so, they will only need to complete new OH form. References will be obtained as appropriate. If different quals/DBS level are required then may need to attend a face-to-face meeting	25 days		**Maximum of 27 days**
Step 10	**Time to send unconditional offer letter**	2 days		
	Total Time (excluding notice period)			**Maximum 76 days**

Step 11	**Time to notify Recruitment of Start Date**		3 days	
Step 12	**Time for Recruitment to issue contract**	Issued on Start Date		

PLEASE NOTE: All communications by email must be submitted through Trac by entering the Vacancy Communications tab, in relation to your vacancy. Once an applicant has been appointed, use the Applicant Communications tab.

Alternatively please phone the Recruitment Help Desk
02920 905353

Appendix 3

Strategic Objective 1C

By the end of 2019/20 we will have established a comprehensive governance framework for the new organisation including Welsh Language, well-being and diversity requirements

What success will look like at the end of 2019/20

We will have maintained business continuity and made a smooth transition to NHS processes and policies, using accepted all-Wales approaches as far as possible. Staff will understand and feel confident in the new ways of working and there will be a clear focus on well-being, a clear understanding of diversity expectations and a Welsh Language plan in place.

How we will measure success:

Business continuity issues or incidents. Staff survey. Internal and external audit results.

The specific action we will take to achieve this...

- Establish staff networks to help shape focus on well-being and diversity actions, as well as local policies.

Appendix 4

GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Meeting Date			**Agenda Item**	
Report Title	**Results of the COVID-19 mini Health Needs Assessment June 2020**			
Report Author	Emma Carrington			
Report Sponsor	Claire Smith			
Presented by	Julie Rogers			
Freedom of Information	Open			
Purpose of the Report	To consider the COVID-19 HNA results and future communication campaign linking to the 5 Ways to Wellbeing.			
Key Issues	To recognise that wellbeing can influence all aspects of individuals lives.			
Specific Action Required *(please ✓ one only)*	**Information**	**Discussion**	**Assurance**	**Approval**
				✓
Recommendations	Members are asked to note and endorse the content of this report and agree to the HEIW Health and Wellbeing Network beginning the COVID-19 HNA communication campaign.			

COVID-19 mini Health Needs Assessment (HNA) results

Health Education and Improvement Wales (HEIW)

1. INTRODUCTION AND BACKGROUND

HEIW is committed to enhancing the health and wellbeing of NHS colleagues and to be an exemplar organisation through promoting, facilitating and where appropriate monitoring the impact of health and wellbeing initiatives.

A Health Needs Assessment is a systematic process and useful tool used by organisations to assess the health and wellbeing issues facing a population (in this case HEIW colleagues). This useful tool measured the effectiveness of current practices in place within HEIW and the potential impact of future programmes being implemented.

A mini COVID-19 HNA was conducted between 1-14 June 2020 **to give colleagues the opportunity to express their views, which received** 109 responses. **The results have been compared to those of the full HNA undertaken during October 2019. It is intended that a further HNA will be conducted during October 2020. The intention is to consult and engage all HEIW employees in the development and formulation of** the HEIW Health and Wellbeing Strategy and action plan. The implementation of a Health and Wellbeing Strategy within HEIW would provide employees with support on issues that might be impacting their health and wellbeing and performance.

2. RESULTS

The results of the COVID-19 mini HNA during June 2020 have been compared to those collated in the main HNA during October 2019, initial indications are:

Mental Health

A 5% decrease in their Mental Health when compared to the 2019 HNA. However, a 5% increase was also demonstrated in those who feel that work often has a positive impact on their Mental Health during 2020 indicating that the impact of working on staff mental health is plus rather than a minus.

Exercise

The COVID-19 mini HNA demonstrated an 18% increase in employees undertaking 150 minutes of Physical activity or 75 minutes of vigorous exercise a week which is in line with the Department of Health (2010) recommendations. A 15% increase was also evident in those employees who have undertaken exercise to improve balance at least twice a week, such as Pilates. There has been an 8% reduction in the number of employees who have undertaken exercise that strengthens their muscles over 2 days was also evident yet, there has been a significant 24% increase (4% to 28%) in the number of employees that are undertaking a form of exercise over 6 days or more.

Sleep

The COVID-19 mini HNA indicated there has been a 5% increase in the number of employees who highlighted sleep has been troubling them compared to 2019. Employees who often experience sleep trouble reported a 4% decrease in 2020 and a 3% increase in those that experience trouble all the time was evident. A sleep lunch and learn was held in February

2020. It's the health and wellbeing's team's intention to publicised further resources to raise awareness of the benefits of sleep and how to improve it.

Fatigue

There has been a significant reduction in those staff who think they are suffering or have suffered from fatigue. Since 2019, a 2% decrease was evident in individuals who usually experience good or fair energy levels. Those who maintain very good energy levels have experienced a 6% increase however, [illegible] of employees still maintain they have very poor energy levels as in 2019.

Employees who usually experience good levels of mood reported a 14% reduction since 2019 yet, those who usually experience a fair mood have increased by 11%, and those with a poor mood have increased by 3%.

Employees who have very good concentration levels reported a 3% increase in 2020 however, those employees who have both good and fair concentration levels reported a 4% reduction in their concentration yet, employees who usually experience poor concentration have reported an 8% increase since 2019.

Employees reported stress levels at work during 2020 have increased by 3%. It is anticipated that the promotion of the COVID-19 Health and Wellbeing platform which highlights services such as Headspace, Silver Cloud etc will help and provide services to employees

Job Satisfaction

Job satisfaction has increased by 10% for those employees that report "fair" job satisfaction. However, there is a 2% reduction in those who report "very good" job satisfaction and a 3% reduction in those who report "good" job satisfaction.

Healthy Eating

The recent HNA highlighted a 10% reduction since 2019 in the number of employees eating 1-2 portions of fruit /vegetables during the past several weeks. Yet, colleagues have increased 3-4 portions by 4% and 5 portions by 8%. We know that for many of you, working from home is a new experience. Everyone is adjusting to new working patterns and environments, which can be hard. HEIW acknowledge this new challenge and so have made a commitment to help support staff in making this transition by signing up for a **5-day planner** to help you keep, and perhaps even kick start, some healthy eating habits. Explore the NHS **Eat well Guide**.

Alcohol consumption

The recent mini HNA results indicate that drinking habits have changed since 2019, results also saw an 18% increase in more people consuming of 1-2 units per week and indicated an 11% reduction of 5-6 units and a 6% reduction of 7-9 units. No key areas of concern (reported) – therefore link to national campaigns for awareness raising, such as dry January and signpost to support services; Alcohol Change UK. An Alcohol and Substance Misuse Policy is under development. HEIW is an alcohol- free building.

Flexible working Survey 1,2 & 3:

Three working from home surveys were circulated to HEIW colleagues during the COVID-19 pandemic and the staff survey.

Initial findings of the third flexible working survey in relation to health and wellbeing indicate 37% of employees are worried about their health and wellbeing. In contrast, 58% of employees agree that they can cope with the pandemic situation.

Over half of HEIW's workforce (57%) indicating that the larger proportion of the workforce currently have structure, despite obstacles. However, 13% of the workforce agreed they find it difficult to create structure to their day. Mark Stacey is developing a workshop to share the benefits of, and how to, "maximise your day".

Over a quarter (28%) have been practicing psychological techniques however, 45% have not been taking time out of their day to practice psychological techniques which may help manage stress etc.

51% of the workforce have taken steps to stay fit and healthy and 28% have fully embraced the opportunity. Results, however, signify 21% of the workforce has not taken steps to stay fit and healthy (neither agree or disagree, 5% disagree and 2% completely disagree).

3. GOVERNANCE AND RISK ISSUES

The Executive are asked to consider and agree the formal reporting arrangements for the implementation of a future communications campaign along with a further HNA during October. The HEIW Health and Wellbeing Network will make recommendations on future developments and changes relating to the HEIW HNA to HEIW Directors at least annually and as necessary.

The HNA ethos will continue to measure the effectiveness of current practices in place within HEIW and the potential impact of future programmes being implemented. All data is held in accordance with GDPR 2018 regulations.

4. FINANCIAL IMPLICATIONS

The resources will be available to all staff if they choose to take the opportunity to access them. A HEIW Health and Wellbeing Strategy and action plan will be developed from the health and wellbeing information identified by colleagues within the HNAs. Costs will also be identified as part of the implementation plan. It is anticipated that HEIW would see an improvement in colleague's engagement and health and wellbeing may result in a reduction in sickness absence costs with the implementation of a HEIW Health and Wellbeing Strategy.

5. RECOMMENDATION

The Executive are asked to note the content of this report along with its links to the 5 Ways to Wellbeing and endorse the communications campaign. The results will be communicated to HEIW colleagues, over a 5-day period highlighting key focus health and wellbeing areas with links to the 5 Ways to Wellbeing. It will also link to other one-page intranet articles to support the key findings i.e. developing information on the impact of sedentary working on physical health and how this can be improved through running the fitin50 programme again in September. The information will highlight what we have achieved so far and the measures HEIW intend to put in place going forward.

It is recommended that a further HNA should be conducted during October 2020. The intention is to engage all HEIW employees in the development and formulation of the HEIW Health and Wellbeing strategy and action plan.

Governance and Assurance				
Link to corporate objectives ***(please ✓)***	As a new organisation establishing HEIW as a valued and trusted partner, an excellent employer and a reputable and expert brand	Building a sustainable and flexible health and care workforce for the future.	With Social Care Wales shaping the workforce to deliver care closer to home and to better align service delivery.	Improving quality and safety by supporting NHS organisations find faster and more sustainable workforce solutions for priority service delivery challenges.
	✓			
	Improving opportunities for use of technology and digitalisation in the delivery of education and care.	Reinvigorating leadership development and succession planning across health and social care in partnership with Social Care Wales and Academi Wales	Demonstrating value from investment in the workforce and the organisation.	

Quality, Safety and Patient Experience

Will improve HEIW employees' health and wellbeing; along with the positive business outcomes that are associated with the benefit including an anticipated reduction in sickness absence rates, reductions in levels of stress, and increases in employee engagement and stakeholder satisfaction.

Financial Implications

Anticipated improvement in colleague's engagement and health and wellbeing which may result in a reduction in sickness absence costs.

Legal Implications (including equality and diversity assessment)

Health wellbeing can have a positive impact within the work environment, with the following projective outcomes:

- Feel relatively confident in yourself and have positive self- esteem
- Feel and express a range of emotions
- Build and maintain good relationships with others
- Feel engaged with the world around you
- Live and work productively
- Cope with the stresses of daily life

The resources will be available to all staff if they choose to take the opportunity to access them.

Staffing Implications

Communication campaign will require resource from the communication team.

Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)	
A Health and Wellbeing Strategy within HEIW will have a direct impact and link to the Well-being of Future Generations (Wales Act 2015). It will also reflect well on HEIWs futures Corporate Health Standards plans; It will give HEIW the opportunity to demonstrate that they are thinking about the long-term decisions and positive changes for their current and future staff.	
Report History	**HEIW Health Needs Assessment October 2019**
Appendices	**HEIW HNA Communication Plan**

Appendix 5

HEIW COVID-19 mini Health Needs Assessment Communication Campaign

Monday – Mental Health and connecting with others

- **Connecting with others, learning something new and acts of kindness**

The coronavirus disease (COVID-19) pandemic may be stressful for people. Fear and anxiety can be overwhelming and cause strong emotions. Public Health actions, such as social distancing, can make people feel isolated and lonely and can increase stress and anxiety. However, these actions are necessary to reduce the spread of COVID-19. Coping with stress in a healthy way will make you, the people you care about, and your community stronger.

Stress during an infectious disease outbreak can sometimes cause the following:

- Fear and worry about your own health and the health of your loved ones, your financial situation or job, or loss of support services you rely on.
- Changes in sleep or eating patterns.
- Difficulty sleeping or concentrating.
- Worsening of chronic health problems.
- Worsening of mental health conditions.

Mental wellbeing does not have a single universal definition, but it does encompass factors such as:

- Being able to function well individually or in relationships
- The ability to deal with the ups and downs of life, such as coping with challenges and making the most of opportunities
- The feeling of connection to our community and surroundings
- Having control and freedom over our lives
- Having a sense of purpose and feeling valued

Everyone reacts differently

How you respond to the COVID-19 pandemic can depend on many factors including, your social support from family or friends, your financial situation, your health and emotional background, the community you live in, and many other factors. The changes that can happen because of the COVID-19 pandemic and the ways we try to contain the spread of the virus can affect anyone.

Colleagues who participated in the HEIW mini HNA during June 2020, indicated a 5% decrease in their Mental Health when compared to the 2019 HNA. However, a 5% increase was also demonstrated in those who feel that work often has a positive impact on their Mental Health during 2020 indicating that the impact of working on staff mental health is plus rather than a minus.

The survey also discovered:

- An 11% reduction in those who **often** feel optimistic for the future, but a 20% increase in those who feel optimistic **some of the time**.
- An 8% reduction in employees engaging and connecting with other people.
- Whilst there was a 13% increase in employees **often** having spare energy in 2020, there was a 6% decrease in employees who **rarely** had spare energy in 2020.

- A decrease of 10% of employees **often** feeling useful was evident. Yet, there was an 14% increase of employees feeling useful **some of the time** during 2020.
- There was a 4% decrease in employees who feeling relaxed **some of the time** and a 4% increase in those who rarely feel relaxed. A 3% reduction was furthermore reported in employees feeling that they are **often** dealing with problems well during 2020.

HEIW has a range of healthy resources that may help employees cope with stress;

- Take care of your **Emotional Health**
- Limit exposure to information about the pandemic. Take breaks from watching, reading, or listening to news stories, including those on social media. Hearing about the pandemic repeatedly can be upsetting.
- Take deep breaths, stretch and take care of your body. Mindfulness as a technique to improve wellbeing, some of you may have tried it and some may already love it! The **Headspace** app is available free to NHS Wales staff. You just use your personal email to register, then it will prompt you to enter your work email afterwards to verify you as staff.
- Try to **eat healthy, well-balanced meals** . The mini HNA stats indicated healthy eating has improved since 2019. Research suggests that **what we eat** may affect not just our physical health, but also our mental health and wellbeing. Explore the NHS **Eat well Guide**.
- **Exercise regularly;** HEIW have a range of resources to keep you physically fit. HEIW have relaunched **'Fit in 50 seconds'** short, low impact bursts of energy throughout the working day to encourage all staff to keep moving. **Fit in 50**, is a simple exercise and nutritional challenge which can be easily incorporated into your working day, to combat the sedentary lifestyle which often comes with an office working environment. Or, if you prefer following guided classes, check out the thousands of free exercise videos on YouTube. The **Cycle to Work Scheme** is a Government backed initiative that enables you to obtain a bike and/or cycling accessories to use for riding to work whilst making tax and National Insurance savings from your gross pay. Mark Stacey has produced a short **Cycle to Work video**
- You can find more information about keeping well and staying healthy on the HEIW **'Your Health and Wellbeing' homepage**
- **Get plenty of Sleep.** Practice good sleep hygiene and try to get **7–9 hours' sleep a night**. **Learn tips on sleeping well here.** Individuals with persistent sleep issues should address them with their doctor.
- **Avoid excessive alcohol use and Substances**
- Make time to unwind and enjoyable activities. Spend some time each day engaging in hobbies or other enjoyable activities, such as art or music, **walking,** baking, gardening etc.
- The **Bakers Dozen** Toolkit: A series of resources to increase and improve your resilience, strengthen your mental toughness.
- **SilverCloud** offers online programmes (sleep, stress and resilience). The programmes offer proven methods including, CBT and positive psychology, to help ease your levels of stress, sleep better or to build resilience, helping you to maintain a healthy mind during this challenging time. It can help you to maintain a healthy mind during this challenging time using CBT (Cognitive Behavioural Therapy).
- **Health for Health Professionals Wales** is a free, confidential service now available to all Health Professionals and Healthcare Students working in NHS Wales.
- Keep Learning - Learning something new can be fun, make you feel good and build your confidence. Continued learning through life enhances self-esteem and encourages social interaction and a more active life. Anecdotal evidence suggests that the opportunity to engage in work or educational activities particularly helps and boosts low mood. The practice of setting goals, which is related to adult learning, has been strongly associated with higher levels of wellbeing.

- Connect with others / connect with your community or faith based organisations. Talk with people you trust about your concerns and how you are feeling. While social distancing measures are in place, consider connecting online, through social media, or by phone or mail. At HEIW, we have a network of **wellbeing, inclusion and culture champions** offering you a friendly ear. We are not mental health first aiders, or counsellors, but are here to listen and signpost in confidence. Please contact any of us at any time if there is anything that we can do to help or support. As we can't catch up together in the office, we've put a **Cuppa catch up** teams chat together that will occur every Monday through Friday at 11am - 11:30am. This will be a daily water-cooler chat for people that just want to meet and talk about anything. Drop-in for 5 minutes or stay a bit longer and see what's occurin'.
- Talking about your thoughts and feelings can help you deal with times when you feel troubled about something. If you turn a worry over and over in your mind, the worry can grow. Talking is an important part of our relationships. It can strengthen your ties with other people and help you stay in good mental health and being listened to helps you feel that other people care about you and what you have to say. **Talking therapies** can help you work out what is bothering you and explore what you could do about it.
- Covid-19 Compassion Starts with me playlist has been developed to provide colleagues with access to a range of **wellbeing resources, toolkits and guidance**
- **Money Matters** and **Financial Services**, including **Money Advisory and Pension Service (MaPS)** (**Money Advice Services**) and **Neyber** are available to provide HEIW colleagues with free financial services in relation to Pensions, budgeting & spending, family & protection, savings & investment and credit & borrowing.

Give - Acts of kindness, helping others or even volunteering can make you feel happier. Individuals who report a greater interest in helping others are more likely to rate themselves as happy. Research into actions for promoting happiness has shown that committing an act of kindness once a week over a six-week period is associated with an increase in wellbeing.The MECC approach can help you to use everyday conversations in a way that may support someone to make positive wellbeing choices .

1. **ASK** – when the opportunity arises
2. **ADVISE** – brief advice on the lifestyle issue
3. **ACT** – signposting

Tuesday – Fit in 50

• Be active - Being active makes you feel good. Get moving - dance, walking, sing; step outside

The Department of Health (2010) recommends that the average adult should undertake between 75 and 150 minutes of physical activity / exercise a week. Any activity that raises your heart rate, makes you breathe faster, and makes you feel warmer counts towards your exercise! (NHS Choices. *Physical Activity Guidelines for Adults.*) Physical activity is good for your body and beneficial for your **mental health and wellbeing**. Regular physical activity is associated with lower rates of depression and anxiety across all age groups. Exercise is essential for slowing age-related cognitive decline and for promoting well-being. Slower-paced activities, such as walking, can have the benefit of encouraging social interactions as well providing some level of exercise.

- Take the stairs not the lift
- Go for a walk at lunchtime
- Walk into work - perhaps with a colleague – so you can 'connect' as well
- Get off the bus one stop earlier than usual and walk the final part of your journey to work
- Organise a work sporting activity
- Have a kick-about in a local park
- Do some 'easy exercise', like stretching, before you leave for work in the morning
- Walk to someone's desk instead of calling or emailing.

The mini HNA demonstrated an 18% increase in employees undertaking 150 minutes of Physical activity or 75 minutes of vigorous exercise a week. A 15% increase was also evident in those employees who have undertaken exercise to improve balance at least twice a week, such as Pilates. An 8% reduction in the number of employees who have undertaken exercise that strengthens their muscles over 2 days was also evident yet, there has been a significant 24% increase (4% to 28%) in the number of employees that are undertaking a form of exercise over 6 days or more.

The survey also discovered a:

- 22% reduction in employees reporting lack of time
- 10% reduction in no facilities
- 9% reduction in reports of no money
- 4% reduction in no one to do things with
- 1% reduction injury / illness

Although there has been an increase in activity, the stats revealed that the following attributing factors are currently preventing some employees from undertaking some form of physical activity:

- 7% of colleagues reported an increase in their lack of interested
- 6% reported increased caring responsibilities
- 5% lost interest in physical activity
- 4% stated other reasons

HEIW are committed to ensuring the Health and Wellbeing of colleagues and the impact that physical health has on a mental health. The Mental Health Foundations, have produced a **English pocket guide/ Welsh pocket guide** to show the positive impact that physical activity can have on your own mental wellbeing, including some tips and suggestions to help you get started.

Physical Activity has a positive impact on our mood, reduces stress levels, increased self-esteem and has been identified as an alternative treatment for depression and a protective factor in studies that examined risk factors for dementia and cognitive decline in older people.

HEIW have a range of resources to keep you physically fit. **Fit in 50**, aims to improve health and wellbeing of employees. Its a simple exercise and nutritional challenge which can be easily incorporated into your working day, to combat the sedentary lifestyle which often comes with an office working environment. The initiative is based around an A5 booklet containing office-based exercises, nutrition and hydration advice. Each participant keeps, reads and fills it in as It's designed to be interactive so they can keep track of their progress as well as meal/snack plans.

Its published as a booklet rather than digitally to combat the effects of screen fatigue brought about by looking at screens (monitors, tablets, smartphones, laptops etc.) all day. It gives the reader the opportunity to refocus that attention every hour on to something other than their computers.

Or, if you prefer following guided classes, check out the thousands of free exercise videos on YouTube.

The **Cycle to Work Scheme** is a Government backed initiative that enables you to obtain a bike and/or cycling accessories to use for riding to work whilst making tax and National Insurance savings from your gross pay (**Cycle to Work video**).

You can find more information about keeping well and staying healthy on the **'Your Health and Wellbeing' homepage**.

Communication Team Case Study

"Being the team responsible for promoting and encouraging staff to take part in Fit in 50 did put a little extra pressure on us from the outset, but that wasn't a bad thing.

To begin with, jumping up out of your chair every hour to do star jumps or lunges was a little embarrassing, but once we got used to the odd stare, it became really fun. We began to notice a number of benefits really quickly.

Our mood levels in the afternoon were much better than pre-Fit in 50. Whether that was because of the rush of endorphins, or the light-hearted giggles of jumping around your desk, it was certainly welcomed.

We also noticed that we became much more social with our colleagues. People would wander over to see what we were up to and before long, the number of those taking part were growing.

As a team, the initiative quickly became a bit of a team building session as we reminded/encouraged each other to take part every hour. It also became a little competitive at times as we tried to see who could jump the highest or lunge the lowest!

One downside we did find was it was difficult to incorporate the hourly exercises into every working day, depending on commitments (such as meetings), however, we would compensate for that by taking the stairs instead of the lift, or doing an extra 50 seconds the next hour.

After the two weeks, we certainly felt less achy and that our mood and energy levels had improved, particularly where we would usually have our afternoon/post-lunch slump.

What's even better is the exercises we learnt taking part in January have proved beneficial during the COVID-19 outbreak and working from home. In the early days of working from home, we would all join together every hour as a team on a video call to exercise. Although this dropped off, many of us have continued to use the Fit in 50 principles throughout our home-working day (with our families) to ensure we all keep active and healthy. This was invaluable during lockdown when access to external exercise was limited".

"We certainly found the initiative beneficial and it is something we are continuing to utilise going forward".

Wednesday – Take Notice

• Take Notice - Take time for yourself, making time to appreciate the world around us and savour the moment

Throughout our lives' many of us will experience times where we find ourselves lost in our own thoughts. We may find that we are so busy making plans, going from task-to-task, going from one place to the next and pushing forward in many different directions that we don't take time to reflect and take notice of the world around us. At other times in our lives, we may find that we aren't very busy in the same way – but are occupying our minds with 'doing nothing'; we can find ourselves worrying about the future and being bogged-down with unhealthy thoughts and negative feelings. In both cases, we can find ourselves not taking the time to pay attention to the present moment – the here and now.

The HNA highlighted 30% of colleagues found it difficult to engage with others on at least 1-4 occasions (no change since 2019) and 3% more employees indicated this on 5+ occasions. At HEIW our network of **wellbeing, inclusion and culture champions** offer you a friendly ear over a cup of tea or coffee. We are here to listen and signpost in confidence. Please contact any of us at any time if there is anything that we can do to help or support. Connecting with friends and family can help enrich your day. Take some time to enjoy the moment and the environment around you:

- Get a plant for your workspace
- Have a 'clear the clutter' day
- Take notice of how your colleagues are feeling or acting
- Take a different route on your journey to or from work
- Visit a new place for lunch.
- Talk to someone instead of sending an email
- Speak to someone new
- Ask how someone's weekend was and really listen when they tell you
- Put five minutes aside to find out how someone really is

By taking notice and being in the present, we can improve our mental health and sense of wellbeing through; *observing what's beautiful or unusual in the world.* It means being aware of our thoughts and feelings as they arise, without getting lost in them. It means savoring the moment whether you're **being active, connecting with friends, learning a new skill, or giving to another.**

Reminding yourself to 'take notice' can strengthen and broaden awareness. Heightened awareness also enhances your self-understanding and allows you to make positive choices based on your own values and motivations. Being outside in natural light can also be helpful if you experience **seasonal affective disorder (SAD)**, a type of depression / low mood that affects people during particular seasons or times of year.

Studies have shown that being aware of what is taking place in the present directly enhances your well-being and savoring 'the moment' can help to reaffirm your life priorities. There is also emerging evidence to suggest walking in urban parks and green spaces is great for our physical and mental health (**Ramblers**, 2018). Research into **ecotherapy** (a type of formal treatment which involves doing activities outside in nature) has shown it can help with mild to moderate depression and many **other types of mental health problems** (Mind, 2018). This might be due to combining regular physical activity and social contact with being outside in nature (Mind, 2018).

Thursday – Sleep / Fatigue

The mini HNA indicated there has been a 5% increase in the number of employees who highlighted **sleep** has been troubling them some of the time compared to 2019. Employees who often experience sleep trouble reported a 4% decrease in 2020 and a 3% increase in those that experience trouble all the time was evident. A sleep lunch and learn was held in February 2020. Further resources will be publicised to raise awareness of the benefits of sleep and how to improve it.

There has been a significant reduction in those staff who think they are suffering or have suffered from fatigue.

There's been a 2% decrease since 2019 in individuals who usually experience good or fair energy levels. Those who maintain very good energy levels have increased by 6% however, 2% of employees still maintain they have very poor energy levels as in 2019.

A 14% reduction in mood levels for those who usually have a good experience was evident yet, those who usually experience a fair mood have increased by 11%, and those with a poor mood have increased by 3%.

Employees who have very good concentration levels reported an increase of 3% in 2020. Employees who have both good and fair concentration levels reported a 4% reduction in their concentration yet, employees who usually experience poor concentration have reported an 8% increase since 2019.

Employees reported stress levels at work during 2020 have increased by 3%.

Job satisfaction has increased by 10% for those employees that report "fair" job satisfaction. However, there is a 2% reduction in those who report "very good" job satisfaction and a 3% reduction in those who report "good" job satisfaction.

There are lots of reasons for feeling tired all the time – many of which you can do something about. Asking yourself the following questions may make it easier to work out what's going on. And if you can identify the cause, you're already on the way to helping yourself feel better.

Am I getting enough sleep?

Lack of **sleep** at night can make you feel tired during the day. You may have worries which keep you awake, you may suffer with **insomnia**, or you may have just developed bad sleep habits. **Following advice on 7 steps to a better night's sleep** may help.

Am I under a lot of stress?

Coping with stress and worry can be very tiring. This is especially true if you can't see an end to your troubles.

What am I eating and drinking?

What you eat and drink can affect how tired you feel. Drinks containing caffeine (coffee, tea and some soft drinks) may interfere with your sleep and so make you feel tired the next day. And if you drink alcohol in the evenings, this can wake you during the night.

Eating a heathy balanced diet and **keeping well hydrated** may help you to feel less tired. The recent HNA highlighted a 10% reduction since 2019 in the number of employees eating 1-2 portions of fruit /vegetables during the past several weeks. Yet, colleagues have increased 3-4 portions by 4% and 5 portions by 8%. We know that for many of you, working from home

is a new experience. Everyone is adjusting to new working patterns and environments, which can be hard. HEIW acknowledge this new challenge and so have made a commitment to help support staff in making this transition by signing up for a **5-day planner** to help you keep, and perhaps even kick start, some healthy eating habits. Explore the NHS **Eat well Guide**.



How active am I during the day?

You may feel you're too tired to exercise – but being active during the day helps you beat tiredness and improves the quality of your sleep. Try starting some exercise, then build it up so you get the **benefits of regular activity**. Choose something you enjoy, perhaps doing it with friends or family, or join a group to keep you motivated. But don't over exercise (as this can make you worn out). And don't exercise too late at night – this can also affect your sleep if you're too 'wired' to go to sleep so soon after exercising.

Feeling better

There's no magic cure for tiredness. If you've been tired for a long time it can take a while to get back to your normal self. Be kind to yourself and set realistic goals. Follow any advice your GP gives you, and try to get a good balance between work, rest and fun into your life.

Friday: Tipple

To keep health risks from alcohol to a low level, the UK Chief Medical Officers (CMOs) advise it is safest not to drink more than 14 units a week on a regular basis. The CMO also give guidance on drinking in pregnancy and single occasion drinking (Drinkaware).

- To keep health risks from alcohol to a low level it is safest not to drink more than 14 units a week on a regular basis
- If you regularly drink as much as 14 units per week, it's best to spread your drinking evenly over three or more days. If you have one or two heavy drinking episodes a week, you increase your risk of **long-term illness** and **injury**
- The risk of developing a range of health problems (including **cancers of the mouth, throat and breast**) increases the more you drink on a regular basis
- If you wish to **cut down the amount you drink**, a good way to help achieve this is to have several **drink-free days** a week.

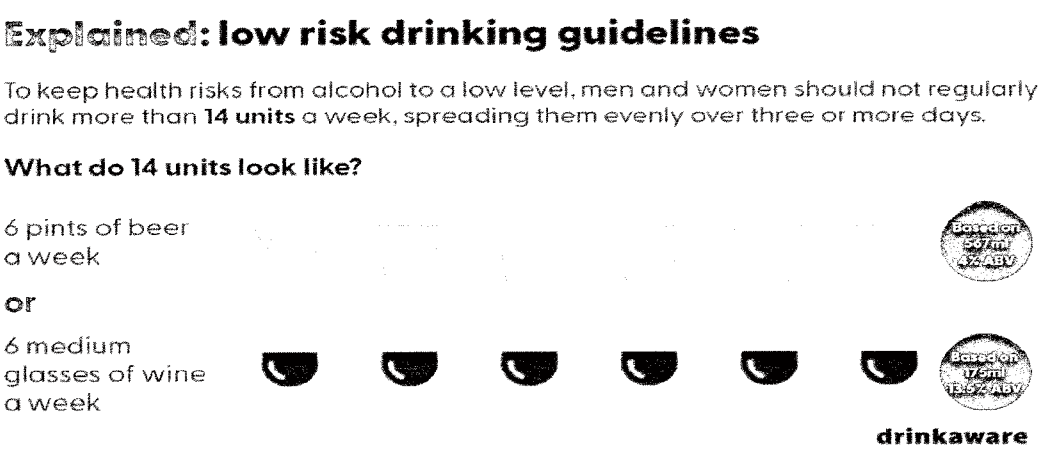
The recent mini HNA stats indicate that drinking habits have changed since 2019, results also saw an 18% increase in more people consuming of 1-2 units per week and indicated an 11% reduction of 5-6 units and a 6% reduction of 7-9 units. No key areas of concern (reported) – therefore link to national campaigns for awareness raising, such as **Dry January** and signpost to support services; **Alcohol Change UK**, **Alcoholics Anonymous** **http://dan247.org.uk/** and an HEIW Alcohol and Substance Misuse Policy.

How Much is 14 units of alcohol

One unit is 10 ml of pure alcohol however, because alcoholic drinks come in different strengths and sizes units are a good way of telling you how strong your drink is. Its not as simple as one drink, one unit.

The new alcoholic unit guidelines are equivalent to six pints of average strength beer or six 175ml glasses of average strength wine (Drinkaware).

If you would like to track your drinking and require advice on how to drink within recommended limits you can download the free **Drinkaware: Track and Calculate app**



• Keep Learning - Learning something new can be fun, make you feel good and build your confidence

Continued learning through life enhances self-esteem and encourages social interaction and a more active life.

Anecdotal evidence suggests that the opportunity to engage in work or educational activities particularly helps to lift older people out of depression.

The practice of setting goals, which is related to adult learning, has been strongly associated with higher levels of wellbeing.

Why not learn something new today? Here are a few more ideas:

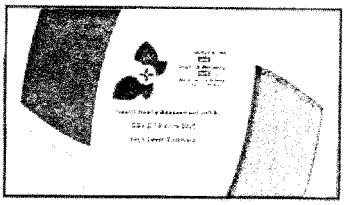
- Find out something about your colleagues
- Sign up for a class
- Read the news or a book
- Set up a book club
- Do a crossword or Sudoku
- Research something you've always wondered about
- Learn a new word.

Connect with others

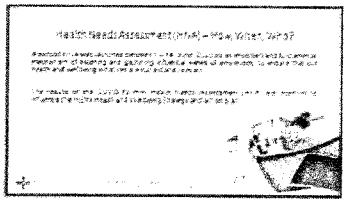
The HNA highlighted 30% of colleagues found it difficult to engage with others were unable to give time, compassion and energy to others on at least 1- 4 occasions (no change since 2019) and 3% more employees indicated this on 5+ occasions. At HEIW our network of **wellbeing, inclusion and culture champions** offer you a friendly ear over a cup of tea or coffee. We are here to listen and signpost in confidence. Please contact any of us at any time if there is anything that we can do to help or support. Connecting with friends and family can help enrich your day:

- Talk to someone instead of sending an email
- Speak to someone new
- Ask how someone's weekend was and really listen when they tell you
- Put five minutes aside to find out how someone really is
- Give a colleague a lift to work or share the journey home with them.

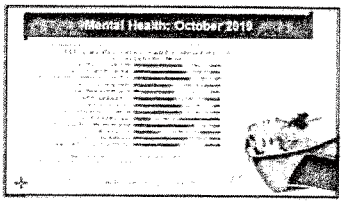
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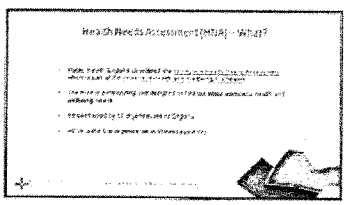
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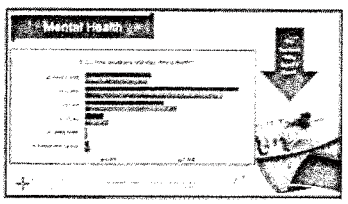
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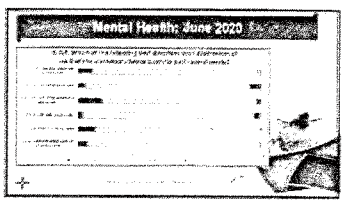
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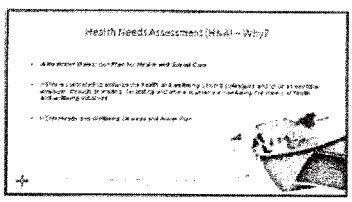
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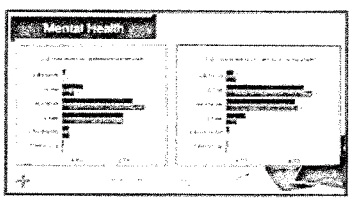
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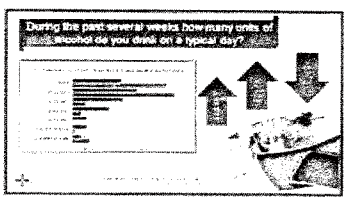
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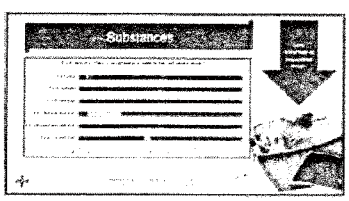
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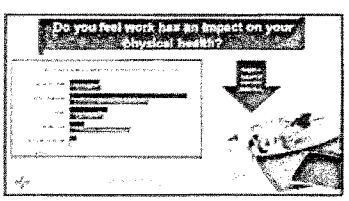
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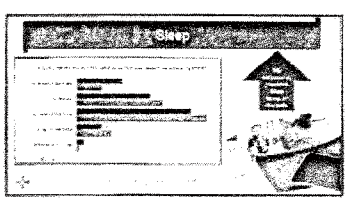
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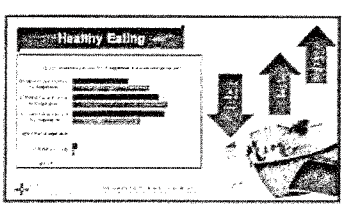
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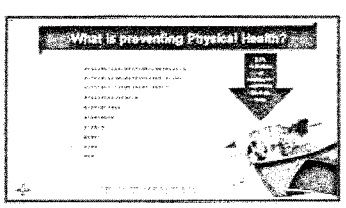
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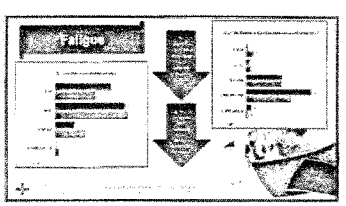
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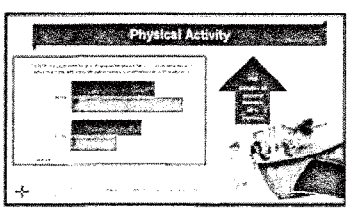
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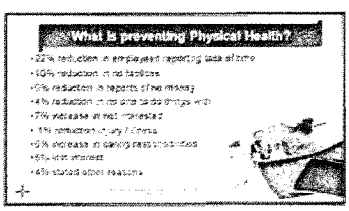
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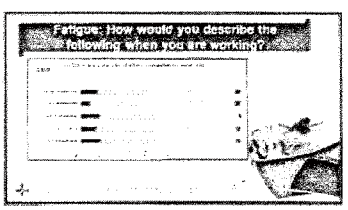
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Appendix 7

HEIW PADR Form

GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Values Based Performance Appraisal & Development Review

For use by all staff (except casual workers) DRAFT

Name:	**Emma Carrington**	**Job Title:**	**Project Support Officer**
Name of Manager:	**Claire Smith**	**Date of Meeting:**	**Thursday 23rd July, 2020**

1. Self-Assessment

1.1 **End of Year review of the previous six months / year** **for completion in April**

Please refer back to the previous / most recent appraisal documentation to support your review.

	Individual SMART objectives – Specific, Measurable, Achievable, Relevant and Time-bound		
	What was expected of you?	**Was this objective met? If so, what impact did this have? If not, please consider the support that may be required to help deliver the objective.**	**What worked well, what did not work so well. What would you do differently?**
1	Support the Programme manager in the development and delivery of the collaborative work programme: • Project support the HEIW Health and Wellbeing programme	Objectives set within the HEIW Health and Wellbeing programme are ongoing. Further objectives will be set as a result of the IMTP.	Bronze Corporate Health Standards mock assessment. Employee Assistance Programme Health Needs Assessment Calendar of Events Mini HNA Presentation
2	Work with the Health and Wellbeing Programme manager on the development of a HEIW Health and Wellbeing Strategy	Planning stages, in terms of preparation have been undertaken i.e. staff consultation at the spring staff event. The results will now be collated, and the strategy will be formulated.	Ongoing: Planning to write up feedback from the staff away day and draft a timeline and a PID.
3	Work with the Health and Wellbeing Programme manager on the development of a Corporate Health Standard for HEIW	The Corporate Health Standards Mock Assessment took place during January 2020 with good feedback.	As a result of Covid-19 outbreak the full CHS Bronze assessment originally planned in July 2020 has been postponed until October/November

			2020. During the full assessment we plan to assign each member of the Health and Wellbeing team with a task outlined within the CHS criteria, to ensure that the team member with the appropriate knowledge feeds back the appropriate information. We will also ensure that colleague is available to answer questions on the day.
4	Whilst undertaking the CIPD Level 5 Training Course, Gain and demonstrate an understanding of the following areas, whilst contributing to programmes of work such as Health and Wellbeing and the HEIW Corporate Health standards: • Understanding Employee engagement and contributing to areas of employee engagement within the organisation • Understanding contemporary Human Resource Development whilst contributing to areas of Human Resource Development within HEIW. • Understanding Reward Management and contributing to areas of reward management within HEIW. • Understanding Coaching and Mentoring within HEIW whilst contributing to elements of Coaching and Mentoring within HEIW.	Currently 7 months into the CIPD course. I have undertaken the following modules: • Understanding contemporary Human Resource Development module was undertaken during January 2020. • Understanding the Business Context of Human Resources • Understand the contemporary Huma Resource Function • Demonstrate a research approach in Human resources – part 1 • Demonstrate a research approach in Human resources – part 2 • Understand Employment Law • Performance Management – Understanding its context. The following modules will be undertaken over the next 12 months: • Contributing to Organisational Performance • Understanding Employee engagement and contributing to areas of employee engagement within the organisation	I have a better understanding of how I can contribute to areas of Human Resource Development within HEIW. I plan to further develop my knowledge over the next 14 months.

		• Understanding Reward Management and contributing to areas of reward management within HEIW. • Understanding Coaching and Mentoring within HEIW whilst contributing to elements of Coaching and Mentoring within HEIW. • Demonstrate Professional Practice in Human Resources	

Manager comments
Click or tap here to enter text.

1.2	**Have you demonstrated our values in your behaviour?**

For discussion: Please refer to the findings of the *'360 degree feedback'*, together with our 'Values and Competencies' framework. Which of the values were evident when you were working to complete the objectives above? Were there any values that were not used? Why? Could any of them be used differently next time to help obtain a different result or outcome?

Employee comments
Within this and previous roles within NHS Wales I have demonstrated that I work with colleagues, across NHS Wales and with partner organisations. I have complete respect for all colleagues and their expertise. I seek out, recognise and value the knowledge skills and experience of others from within HEIW and across our stakeholders. I would like to continue applying my CIPD learning to date and continue developing within my role, along with other areas of work.

Manager comments
Click or tap here to enter text.

1.3	**Talent and career planning**	**For completion in April**

The focus of this section should be on your potential and aspirations for future career development, along with your professional registration requirements.

Employee to complete: Thinking about your current role, your life and your career are you.

Unsure of this role? You're new to the role or this may not be the right role for you	Content with this role? You just want to do this role well	Content with this role? You want to develop further within this role	Ready for more? You want to be challenged further or take the next step in your career	Ready for more? But feel that you cannot due to a restriction / constraint or a challenge

Why have you chosen the option you have?	I enjoy being challenged within my work and academically.
What do you like about the current job you do? What don't you like and why?	Health and Well being is currently very topical. Within my current role I enjoy working within a team that makes a difference to colleagues working environments, which has positive impacts on their Health and Wellbeing. Click or tap here to enter text.
What support do you need from your manager, the team or the organisation to fulfil your potential?	I am currently receiving support from my line manager and organisation to undertake my CIPD. I would like to develop within the following areas: Attend further relevant external and internal meetings, conferences and CIPD courses (these are mostly outside work time) Inc. those that will inform the HEIW Health and Wellbeing strategy and other relevant areas of work. Develop insight and spot opportunities – Find out how colleagues have used metrics to gather insight. Develop analysis and excel skills i.e. shadowing colleagues and undertaking training. Undertake infographic training. Understand the project management practices within HEIW i.e. formulation of timelines & PID for the HEIW Health and Wellbeing Strategy. Shadow colleagues to increase my knowledge of projects, strategy, policy, practice and employment law – formulation of strategies as part of the Corporate Health Standards. Undertake and make use of job matching training. Gain an understanding of Policy Development. Undertake survey training i.e. shadow an experienced colleague. Have access to a mentor and coach Receive regular feedback on areas of development and improvement i.e. 360 Feedback may be beneficial

What Learning and Development have you undertaken this year:	Currently undertaking a Level 5 CIPD in Human Resources. Undertake trac training Undertake PADR Training Undertake Interview Training Involvement in benchmarking exercises and outcomes i.e. Mini HNA		
Following discussion, what was agreed regarding your readiness to progress?	☐ Now	☐1 Year	☐ 2 to 3 years

1.4 **Personal development planning (PDP)** **For completion in April**

The Personal development plan underpins and supports the delivery of objectives, career aspirations and values and behaviours. How will this be achieved? Managers are asked to consider blended learning opportunities *(i.e. coaching, mentoring, job shadowing, e-learning, as well as formal classroom training).* Interventions that incur a cost are subject to a learning and development bid being submitted to Executive in June. Academic qualifications are subject to a formal business plan being considered and approved in accordance with the *'Access to Learning and Development'* policy.

Personal Development Plan: Please refer to information about the training and support available from HEIW Please also consider shadowing, projects, research, coaching/mentoring, 360 Feedback, as well as formal training opportunities.
The Level 5 CIPD in Human Resources course was agreed last year and is in the training plan for two years. 2 hours study leave was agreed last academic year to complete a flexible working research project linked to both the results of the HNA and CIPD course. 3 ½ hours study time has been agreed this year to complete HEIW research projects linked to CIPD Modules.

1.5 **Professional requirements and continuing professional development** **For completion in April**

The focus of this section should be on your potential and aspirations for future career development, along with your professional registration requirements.

Name of professional and or clinical body. (i.e. GMC, NMC, HCPC, and any other Continuing Professional Development Requirements)	*Undergraduate member of the Chartered Institute of Personal and Development.*
Clinical and professional requirements needed for your role *(if applicable)*	*(i.e. proof of up to date PIN, registration with GMC, NMC or HCPC as appropriate and CPD)* *Confirmation that you are pro:* Click or tap here to enter text.

Annual Nursing and Midwifery Council (NMC) Revalidation Review

	Date of Revalidation	Click or tap here to enter text.	
	Criteria	**Yes/No**	**Comments/Actions**
Ensure NMC Code of Conduct is available at meeting Manager to check that employee is working towards NMC Revalidation. Use Objectives/PDP section to ensure appropriate preparation for revalidation. Ensure professional portfolio is up to date	**Progressing to meet NMC Revalidation requirements.** 450 Practice Hours CPD – 35 hrs (20 participatory) Practice Related Feedback x5 Reflections x5 **(Min. over 3 year period)**	☐	Click or tap here to enter text.
	Continues to remain competent for practice by meeting the requirements of the NMC Code	☐	Click or tap here to enter text.
At year 3 please complete the Confirmation of NMC Revalidation form, (this may be completed up to 1 year prior to revalidation date)			

2.1 **Objectives for the year ahead** **For completion in April**

Line managers should consider how the employee being appraised can support HEIW's Corporate and Team objectives when setting individual objectives.

Team Objectives What are the team / departments primary objectives this year to support the organisational strategy / objectives?

Please agree SMART objectives *(i.e. Specific, Measurable, Achievable, Relevant, and Time-bound).*

	Individual SMART objectives – Specific, Measurable, Achievable, Relevant and Time-bound		
	What is expected of you? **Specific, Achievable, Relevant**	**Measure of success** **Measurable**	**When is this to be achieved by?** **Time Bound**
1	Work with Claire on the formulation of the HEIW Health and Wellbeing Strategy.	An endorsed HEIW Health and Wellbeing Strategy	End of 2020 (STC)
2	Support prepare and work towards achieving the Bronze Corporate Health Standard accreditation in HEIW. for the Corporate Health Standards Bronze Assessment.	Completion and Award attained.	March 2021
3	Implement a Health and Wellbeing Calendar of Events within HEIW.	Implementation	Ongoing

4	Research Project - "Assess and evaluate the barriers to a Healthy Work Life Balance of HEIW employees".	Completion of research, recommendations and lesson learnt.	End of June 2020
5	Continue to support the work of the HEIW Health and Wellbeing subgroup	Support the Health and Wellbeing Programme Manager and work with HEIW colleagues to progress work programmes relating to workplace wellbeing and colleague experience. Continue to provide resources.	Ongoing

Employee comments
Click or tap here to enter text.

Manager comments
Click or tap here to enter text.

3.1	**Review of the previous six months**	**For completion in September**

In looking back at all of the one to one meetings over the last six months, please outline the main successes, achievements and challenges over the previous 6 month that has been discussed. Please refer to manager/employee guidance for information.

Employee comments
As above

Manager comments
Click or tap here to enter text.

3.2	**Do you demonstrate our values in our behaviour?**

Here you need to consider what was done well and what could be done better, providing evidence and examples for discussion.

Employee comments
As above

Manager comments
Click or tap here to enter text.

From the review, is there anything that you would like to share across HEIW as a potential case study for consideration in the next HEIW Employees Awards event?

Click or tap here to enter text.

Employee Signature:	**EL Carrington**	**Date:**	**23/07/2020**
Manager Signature:	**Claire Smith**	**Date:**	**23/07/2020**

Manager Checklist

☒ **Record on ESR '**

☐ **Set the dates for one to one meetings and the next Performance Appraisal**

Appendix 8

PRIVATE AND CONFIDENTIAL

24th July 2020

Mrs Emma Carrington
Workforce Project Support Officer
Health Education and Improvement Wales
Ty Dysgu, Cefn Coed
Nant Garw
CF15 7QQ

Dear Emma

Performance Appraisal and Development Review

Following your PADR yesterday, I'd like to summarise some of the key points of the discussion. Firstly, I would like to thank you for all the efforts you have made, in making this year a successful one, and contributing to the overall achievements in HEIW.

As part of the review we reflected on your contribution which has resulted in great success in the staff health and wellbeing arena within HEIW:

- Corporate Health Standard Bronze Award Mock Assessment – you led the collection and collation of the evidence to support the action plan and contributed significantly to the success of the day. Although not appreciated on the day due to IT restrictions, you designed and maintained a comprehensive digital shared drive which allowed the action plan to have direct hyperlinks, resulting in a quick, easy and accurate system.

- Health Needs Assessment – as well as your support with the October 2019 HNA, including the facilitating of the focus groups, you analysed and developed a PowerPoint slide pack to present the Mini HNA in June 2020, to an excellent standard, and I look forward to seeing the communications campaign to support this.

- Employee Assistance Programme – one of the many Executive reports you produced this year, this report clearly detailed the rationale and requirements of an EAP in HEIW and resulted in an agreement to start the procurement process. It was agreed to pause the procurement process and you successfully completed a gap analysis of the resources currently available against the services in an EAP. I look forward to receiving your Execs report detailing the recommendations of this gap analysis.

- Health Promotions – the mental health awareness week was an excellent example of how you have developed communications to raise awareness of health promotion campaigns and initiatives.

In relation to your personal development, we have agreed that your study towards the CIPD, will be supported by 3.5 hours study time per week to complete HEIW research projects linked to the CIPD modules:

- Contribution to Organisational Performance – you will support the development of the Mental

Appendix 9

GIG NHS | Addysg a Gwella Iechyd Cymru (AaGIC) Health Education and Improvement Wales (HEIW)

Meeting Date	**2nd January 2020**	**Agenda Item**	**xx**
Report Title	Procurement of an Employee Assistance Programme (EAP) for Health Education and Improvement Wales (HEIW) employees.		
Report Author	Emma Carrington, Project Officer		
Report Sponsor	Claire Smith, Workforce Programme Manager		
Presented by	Angie Oliver, Deputy Director of Workforce and OD		
Freedom of Information	Open		
Purpose of the Report	The purpose of this report is to seek Executive Team agreement to commence a procurement exercise to contract an EAP for HEIW employees. This will provide proactive and system wide health and wellbeing services to HEIW employees. This is in addition to the current Service Level Agreement (SLA) with Cardiff and Vale University Health Board.		
Key Issues	Wellbeing impacts on all aspects of individuals' lives. We have recognised the importance of wellbeing and the role it plays in supporting better outcomes for patients and service users in our draft national workforce strategy for health and social care. It is important that we translate the words in the Strategy into actions for our own staff as well as the wider workforce. Best practice shows that one of the key mechanisms for supporting staff wellbeing is an EAP. An EAP will also support our objective of being an exemplar employer.		
Specific Action Required ***(please ✓ one only)***	**Information**	**Discussion**	**Assurance**	**Approval**
				✓
Recommendations	Executive Team are asked to consider the proposals in this report and agree: • in principle to the introduction of an EAP for HEIW staff, subject to procurement;			

	• to the commencement of a procurement exercise for the award of contract for an EAP for 12 months (with an option to extend for a further 12 months depending on evaluation of service and uptake of provision).

Implementing an Employee Assistance Programme within Health Education and Improvement Wales

6. INTRODUCTION

The implementation of an Employee Assistance Programme (EAP) within Health Education and Improvement Wales (HEIW) would provide HEIW employees with support and practical advice on issues that might be impacting their health and wellbeing and performance. The employee screening programme will provide early identification of key developing health concerns.

Currently there is no EAP provision for employees within HEIW.

An EAP provision could provide the following services:

- Counselling service
- Stress audits, of individual or teams or the organisation as a whole
- Employee screening programme
- Consultancy services, e.g. health and wellbeing strategy
- Structured short term psychological short-term interventions delivered face to face and by telephone
- Legal information and guidance
- Information on emotional work-life balance and workplace issues
- Utilisation reporting
- Management information on employee and organisational interventions, including consultation to management on behavioural aspects of the workplace
- EAP website
- Consultation and training for managers and supervisors within your organisation, enabling them to better help and manage troubled employees, thereby seeking to assist in the improvement of job performance
- Provision of confidential and speedy problem assessment and identification services to employees with personal issues that affect their performance at work
- Measurement of effectiveness of EAP services on the organisation, employee and job performance by both user feedback and formal outcome measurement
- Staff who are experienced in the delivery of short-term interventions and who are able to work effectively with the dual relationship between the employer or corporate client and the employee.

Implementing an EAP within HEIW would have several benefits to both the organisation and employees. Research shows that the organisation would experience improved engagement, productivity, moral, as well as help prevent outside issues from impacting on work, including absences from work.

An EAP provides counselling and impartial support on personal or work-related problems and can help to stop them developing and leading to absence from work. Sometimes issues or concerns at work or at home can affect employees and lead to absence or presenteeism, but sympathetic, impartial support and advice may be all that's needed. An EAP would offer HEIW employees free and confidential assessments, short-term counseling, referrals, and follow-up services. EAP councilors also work in a consultative role with managers and supervisors to address employee and organisational challenges and needs.

Currently many private and public organisations, academic institution and/or government agencies are active in helping organisations prevent and cope with workplace violence, trauma, and other emergency response situations and there are a variety of support programs that can be offered to employees.

Even though EAPs are mainly aimed at work-related problems, there are a variety of programmes that can assist with problems outside of the workplace.

With an ever-growing workforce and the need to focus on mental health and the challenge of burnout and working longer the Workforce Strategy for Health and Social Care recognises the importance of wellbeing and the role it plays in supporting better outcomes for patients and service users

An EAP can provide health screening for employees, this will help empower them to take responsibility for their own health and wellbeing. It will also build on the results of the Health Needs Assessment and identify key issues and health risks amongst our employees to inform our HEIW Health and Wellbeing strategy and future policy.

7. BACKGROUND

There is no EAP currently in place in HEIW.

The current provision consists of an SLA with Cardiff and Vale UHB and an external provider for counselling service (procured on an as and when needed basis).

Through the SLA, Cardiff and Vale University Health Board undertake all HEIW's pre-employment checks and Occupational Health referrals. Counselling services are not provided within the SLA and Cardiff and Vale University Health Board have advised they are not currently able to extend the SLA to include counselling. The cost of the SLA is £17,500 recurring, held in the People Team budget.

HEIW has procured employee counselling via an external provider, the typical cost of a counselling contract is 6 hourly sessions at £45 per session. Since October 2018 two staff have accessed counselling totalling £660. The People Team have a small budget of £2,500 to cover these costs.

An EAP Task and Finish group was established through the HEIW Health and Wellbeing network to undertake a benchmarking exercise of how the Health Boards and Trusts in NHS Wales currently provide EAPs to their employees:

- *Care First* is on the National Procurement Services Framework and currently provides a service to Public Health Wales and Aneurin Bevan University Health Board.
- Aneurin Bevan University Health Board would be happy to engage with HEIW on providing a counselling service to HEIW, however, their geographical areas would be restricted to South East Wales.
- Velindre NHS Trust are currently reviewing their provision and will be going out to tender shortly.
- NWIS has the same access to EAP as Velindre.
- Hywel Dda UHB are currently reviewing their provision.
- Swansea Bay UHB do not currently have an EAP provider but they have a small in-house team providing support for MSK issues and mental / emotional health disorders.

The EAP task and finish group have undertaken a literature review and scoping exercise of what is currently available and compared these against the UK Employee Assistance Professional Association Buyer's Guide.

Appendix 1 details the support services available through an EAP provider, the task and finish group considered the needs of HEIW employees, which includes off site and sessional employees and ranked them based on essential and not essential needs.

8. GOVERNANCE AND RISK ISSUES

The Executive Team are asked to consider and agree the formal reporting arrangements for the implementation of an EAP. The People Team will receive regular monitoring reports from the EAP provider, which will be evaluated and used to make informed decisions regarding future health and wellbeing policy.

The HEIW Health and Wellbeing Network will make recommendations on future developments and changes relating to the HEIW EAP to HEIW Directors at least annually and as necessary.

The local partnership forum will be informed of the intention to start a procurement exercise.

9. FINANCIAL IMPLICATIONS

The budget for an EAP sits in the People Team at currently £2,500 recurring, £660 has been spent on counselling for two employees in the 2019/20 financial year.

The average cost of an EAP is £15 per employee per year, this includes a minimum of 6 hourly counselling session for all employees if required, which is considerably less than the current external counselling provider costs.

Current HEIW employee head count is 374 x £15 per head = £5,610 approximately recurring.

There will be a need to re allocate within the existing budget within the People Team to fund the shortfall of £3,390 on a recurring basis.

10. RECOMMENDATION

EAPs have grown over the years and are more desirable economically and socially. An employer that provides an effective, full-service EAP can have both positive business organisational outcomes and help employees by lowering risk and liability, improving employee satisfaction, manage the wellbeing needs of a multigenerational workforce and decrease sickness absence.

It is recommended that the SLA arrangements with Cardiff and Vale UHB remain in place, but there is a need to provide proactive employee and system wide health and wellbeing services on an ongoing basis through the provision of an external EAP.

The Executive Team are asked to consider the proposals in this report and agree:

- in principle to the introduction of an EAP for HEIW staff, subject to procurement;
- to the commencement of a procurement exercise for the award of contract for an EAP for 12 months (with an option to extend for a further 12 months depending on evaluation of service and uptake of provision).

Governance and Assurance				
Link to corporate objectives ***(please ✓)***	As a new organisation establishing HEIW as a valued and trusted partner, an excellent employer and a reputable and expert brand	Building a sustainable and flexible health and care workforce for the future.	With Social Care Wales shaping the workforce to deliver care closer to home and to better align service delivery.	Improving quality and safety by supporting NHS organisations find faster and more sustainable workforce solutions for priority service delivery challenges.
	✓			
	Improving opportunities for use of technology and digitalisation in the delivery of education and care.	Reinvigorating leadership development and succession planning across health and social care in partnership with Social Care Wales and Academi Wales	Demonstrating value from investment in the workforce and the organisation.	

Quality, Safety and Patient Experience
Will improve HEIW employees' health and wellbeing; along with the positive business outcomes that are associated with the benefit including an anticipated reduction in sickness absence rates, reductions in levels of stress, and increases in employee engagement and stakeholder satisfaction.
Financial Implications
The average cost of an EAP is £15 per employee per year = £5,610 approximately recurring. There will be a need to re allocate existing funding in the People Team budget for the shortfall of £3,390 on a recurring basis.
Legal Implications (including equality and diversity assessment)
Health wellbeing can have a positive impact within the work environment, with the following projective outcomes: • Feel relatively confident in yourself and have positive self- esteem • Feel and express a range of emotions • Build and maintain good relationships with others • Feel engaged with the world around you • Live and work productively • Cope with the stresses of daily life The EAP will be available to all staff if they choose to take the opportunity.
Staffing Implications
There will be resource required to complete the procurement exercise and establish the contract and then on an ongoing basis to monitor and evaluate the service provided. This will be resourced within existing staff resources within the People Team.
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)
An EAP within HEIW will have a direct impact and link to the Well-being of Future Generations (Wales Act 2015). It will also reflect well on HEIWs futures Corporate Health Standards plans; It will give HEIW the opportunity to demonstrate that they are thinking about the long-term decisions and positive changes for their current and future staff.

Report History	
Appendices	**Appendix 1 HEIW EAP Proposal**

Appendix 1

HEIW EAP Proposal

Task and Finish group 24th October 2019

The EAP task and finish group have undertaken a literature review and benchmarking exercise and reviewed this against the UK Employee Assistance Professional Association Buyer's Guide.

The table below details the support services available through an EAP provider and ranked them based on need. The interventions have been identified as either

Individual (bespoke) or System (whole organisation), Proactive (preventative measures) and Reactive (a response to an issue).

Essential	Not essential	Comments	Interventions
	Weight Management Service	Questionable impact	Individual / Reactive
Counselling Service		• 24-hour telephone support, assessment and counselling services • Assessment of needs • Self-referral • Management referral • Phone call • Texts • Email • Skype • Face to face	System / Reactive
	Money advice and debt management	This will provided via Neyber Financial Services	
Stress audits, of individual or teams or the organisation as a whole			System / Reactive
Coaching		Individual Team based	Individual / Proactive
	Wellbeing initiatives, including their design and implementation	• Healthy Eating and Physical Activity • Mindfulness sessions • Weight Management Services • Wellbeing Workshop • Book Prescriptions	System / Proactive
	Mediation		System / Individual / Reactive
Employee screening programme		• Cholesterol • Blood pressure • Bone scan • Blood sugar • Weight • Heart scan • Hydration levels • Lung capacity • Breast awareness training	Individual / Proactive
	Smoking cessation support		Individual / Reactive

Consultancy services, e.g. health and wellbeing strategy			System / Proactive
Structured short term psychological short-term interventions delivered face to face and by telephone			Individual / Reactive
	Specialist psychologist or psychiatric assessment		Individual / Reactive
	Child and elderly care services information		System / Proactive
Legal information and guidance			System / Reactive
Information on emotional, work-life balance and workplace issues		• Assertiveness • Time management • Having difficult conversations	System / Proactive
Utilisation reporting			System / Reactive
Management information on employee and organisational interventions, including consultation to management on behavioural aspects of the workplace		• Case management and management information • Management consultations	System / Proactive
Working to the confidentiality and ethical standards promoted by EAPA			System / Proactive
EAP website		Services to support the EAP with interactive content, fact sheets and online services.	System / Proactive
Consultation and training for managers and supervisors within your organisation, enabling them to better help and manage troubled employees, thereby seeking to assist in the improvement of job performance		• Stress training in order to identify and manage stressed employees • Training for managers on how to create an environment which promotes physical and mental health of their team along with referral pathways, and	

		Guidance for Managers	
Provision of confidential and speedy problem assessment and identification services to employees with personal issues that affect their performance at work			System / Proactive
Referral of employees for assessment, treatment and assistance with case management and follow up services			System / Reactive
Measurement of effectiveness of EAP services on the organisation, employee and job performance by both user feedback and formal outcome measurement			System / Proactive
Staff who are experienced in the delivery of short-term interventions and who are able to work effectively with the dual relationship between the employer or corporate client and the employee			System / Proactive

Appendix 10

Scoping exercise - Review of HHP Wales Extended Services

Currently position in Cardiff / HEIW	HHP currently provides	EAP would provide	Gaps identified	Ways to fill the gaps
C&VUHB currently undertake all HEIW pre-employment checks and occupational Health Referrals and reviews, however counselling services are not currently provided. C&VUHB are not currently able to extend the SLA to include counselling.	Aims to provide a free, tiered model of psychological and mental health support for frontline NHS Wales healthcare professionals and healthcare students working in Wales during and post the COVID-19 pandemic.	An EAP would offer employees free and confidential assessments, short term counselling, referrals and follow-up services. It provides employees with counselling and practical advice on issues that might be impacting on health and wellbeing and performance impartial i.e. support on personal or work-related problems and can help to stop them developing and leading to absence from work.	Counselling services are not currently provided by Cardiff and Vale University Health Board.	Implement an EAP model in place that provides counselling services. This will elevate the ever-increasing pressure on occupational health services and provide the workforce with accessible counselling service provision.
	Client; Doctors, nurses, dentists, paramedics, pharmacist, optometrist, physiotherapists, dieticians, occupational therapists, midwives and Operative Department Practitioners working on the front line would calls or e-mails HHP	An EAP would offer HEIW employees, at all levels, free and confidential assessments, short-term counseling, referrals, and follow-up services via self-referral, management referral, phone, e-mails, Skype, texts and face to face	EAP model is not currently extended to students and returning retired staff. The Health and Wellbeing of students will be built into the 2021 student contract. Has an EIA been undertaken / considered within HHP?	Crate a Health and Wellbeing model that is incorporate into the contracts of future student and returning retired staff. Would need to undertake an EIA.

	helpline OR client completes online HHP			
Currently position in Cardiff / HEIW	**HHP currently provides**	**EAP would provide**	**Gaps identified**	**Ways to fill the gaps**
	Wales form. This is also offered to students and returning retired staff. Hospital Administration, hotel services or portering are **not** part of the group HHP has been commissioned to provide services for.			
	A 9-5 services by senior Doctor advisor. Doctor advisors contact clients by telephone at the time of their agreed appointment. Client contacts emergency / OOH service outside these times. Outside 9-5, response times are slightly longer	EAP provides a 24hr telephone support, assessment and counselling service. This could be particularly beneficial to the workforce in times of uncertainty and desperation.	HEIW has benchmarked and reviewed services against the UK Employee Assistance Professional Association Buyers guide as essential (system / reactive) and would provide a service that the workforce could use outside of a 9-5 working pattern.	A 24-hour telephone support, assessment and counselling service would be beneficial to the wider workforce.
The playlist is currently available which includes; Silver cloud, Headspace etc.	Doctors Triage services: - Self Help - Peer Support - Therapy's Along with matching criteria.	EAP is a self and management referral service.	HHP services match client to a therapist with reference to matching criteria. It is then the client's responsibility to contact the therapist to initiate appropriate therapies.	Incorporate

			EAP councilors work in a consultative role with managers and supervisors	
Currently position in Cardiff / HEIW	**HHP currently provides**	**EAP would provide**	**Gaps identified**	**Ways to fill the gaps**
			to address employee and organisational challenges and needs. Currently several private and public organisations, academic institution and/or government agencies are active in helping organisations prevent and cope with workplace violence, trauma, and other emergency response situations and there are a variety of support programs that can be offered to employees. Even though EAPs are mainly aimed at work-related problems, there are a variety of programs that can assist with problems outside of the workplace	
The playlist is currently available which includes; Silver cloud, Headspace etc.	The service can be accessed via an informative web page, online referral form and a helpline phone line. The website also signposts to self-help materials, virtual groups,	As noted above, EAP services would be available via, phone, e-mails, Skype, texts and face to face	COVID-19	Need to consider the impact COVID-19 will have on face to face consultations.

	emergency services and out of hours services.			
Currently position in Cardiff / HEIW	**HHP currently provides**	**EAP would provide**	**Gaps identified**	**Ways to fill the gaps**
	Healthy eating and physical activity, mindfulness sessions, weight management services, wellbeing workshops, book prescriptions services are not currently provided by HHP.	EAP would provide Healthy eating and physical activity, mindfulness sessions, weight management services, wellbeing workshops, book prescriptions.	A mix of the two services and resources.	Recommended that wellbeing initiatives remain part of an HEIW EAP, especially considering the impact that COVID-19 has had on the workforce's wellbeing.
	Employee Screening Programme are not available within HHP.	Employee Screening Programme: - Cholesterol - Blood pressure - Bone Scan - Blood Sugar - Weight - Heart Scan - Hydration Levels - Lung capacity - Breast Awareness training	Screening Programme is not currently provided within the HHP programme. Employee health screening programs are beneficial for both employees and organisation. Employees get regular reports for their health, reduced health risks that improve their mental health and performance in the workplace. This improves employees Health and Wellbeing, awareness and organisational sickness rates	Recommend that a screening programme is incorporated into an EAP and implement within HEIW.

Currently position in Cardiff / HEIW	**HHP currently provides**	**EAP would provide**	**Gaps identified**	**Ways to fill the gaps**
	The doctor's advisor discusses the callers concerns and jointly agree the best action. The doctor then signposts the client to services such as; peer support, guided self-help, virtual face to face consultations, access to the NHS PTSD services. Where appropriate i.e. high-risk cases HHP Wales doctor advisors will be able to access advise from a psychiatrist. Local crisis teams are also aware of the extended services HHP are now offering.	 Crisis services are currently being sort through the Samaritans.	EAP is not a doctor lead triage service. Bereavement services are not available. Psychiatrist services are not available within the EAP. Not incorporated into an EAP. The link may be beneficial to the workforce.	A mix of both services may be beneficial to the workforce.
	CBT urgency of starting therapy is triaged on factors such as reasons for accessing the service. Typically contact will be made within 2 weeks. From	Structured short-term psychological intervention delivered face-to-face.	CBT and PSTD therapies are not currently offered within an EAP. Need to consider the impact of COVID-19 and face to face sessions.	Incorporate / offer CBT & PTSD services.

	this point a course of 8 virtual sessions of CBT can vary significantly; Guided			
Currently position in Cardiff / HEIW	**HHP currently provides**	**EAP would provide**	**Gaps identified**	**Ways to fill the gaps**
	self-help; Virtual PTSD therapy's			
	Immediate support for individuals that are unable to use this service can be sort out-of-hours Text FRONTLINE to 85258	Immediate support is available through EAP	Do not currently have a text service. However, HEIW are currently linking with Samaritans and self-help platform has been set up during the COVID-19 pandemic.	Explore "text" options with the Samaritans.
Cardiff and Vale have their own Health and Wellbeing Web page.	HHP have their own web page.	Currently no HEIW EAP platform available	The COVID-19 playlist is currently available to the workforce	Decide where a web page would sit.
	Not evident.	Consultation and training for managers and supervisors within the organisation, enabling them to better help and manage troubled employees, thereby seeking to assist in the improvement of job performance. Provision of confidential and speedy problem assessment and identification of services for employees with	Consultation and training for managers and supervisors not currently evident in HHP.	Implement an EAP model that provides consultation and training for managers and supervisors to improve job performance and the wellbeing of the workforce. Implement an EAP model that provides confidential and speedy problem assessment and identification of services

		personal issues that affect their performance at work.		for employees with personal issues that affect their performance at work.

Name: Emma Carrington

Student Number: 1910725

CIPD Membership Number: 55478700

Qualification: CIPD Diploma in Applied Human Resources (CIPDL5)

Module: LO3: Contributing to Improving Organisational Performance

Word Count: 3000

By signing below, I confirm that the work/evidence presented is my own, unaided work. I understand the regulations pertaining to candidate malpractice and the action that may be taken as a result.

Signed: Emma Carrington

Date: 14th September 2020

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Candidate name: Emma Carrington				CIPD Membership/registration No.: 55478700		
Qualification title: CIPD				**Unique Learner No. (ULN):** 1910725		
Unit code	**Unit title:** Contributing to Improving Organisational Performance	**Assessment criteria no.**	**Evidence description**	**Evidence reference number**	**Assessor initials**	**I/V initials if sampled**
5AIOP	**Evaluate the organisation's approach to performance management, including employee performance and development reviews.**	3.1	SWOT analysis	EV1		
5AIOP		3.1	Discussion with HEIW Director of People and Associate Director of Workforce and OD.	EV2		
5AIOP		3.1	PESTLE	EV3		
5AIOP	**Assess the extent to which performance management processes support high performance working (HPW) and contribute to sustained organisational performance.**	3.2	HPWS 11 distinct HRM policies and procedures	EV4		
5AIOP		3.2	4A Model of capability	EV5		
5AIOP		3.2	AMO model	EV6		
5AIOP	**Recommend ways for developing performance management processes to enhance their impact on organisational performance.**	3.3	Recommendations	EV7		

Candidate declaration:

- I confirm that the work/evidence presented for assessment is my own unaided work.
- I have read the assessment regulations and understand that if I am found to have 'copied' from published work without acknowledgement, or from other candidate's work, this may be regarded as plagiarism which is an offence against the assessment regulations and leads to failure in the relevant unit and formal disciplinary action.

• I agree to this work being subjected to scrutiny by textual analysis software if required. • I understand that my work may be used for future academic/quality assurance purposes in accordance with the provisions of the Data Protection Act 1998. • I understand that the work/evidence submitted for assessment may not be returned to me and that I have retained a copy for my records. • I understand that until such time as the assessment grade has been ratified through internal and external quality assurance processes it is not final.			
Signature:	**ELCaarington**	**Date:**	**09/09/20**

Executive Summary

Performance Management helps boost employee engagement and productivity. Engaged employees stay longer, actively involve themselves in the workplace and produce better results. Improving levels of employee engagement is key to boosting productivity and maximizing ROI. Performance management, done well, is a vital tool for having engaged employees.

Continuous performance management can improve levels of employee engagement by organisations (mainly line manager and HR) such as HEIW, creating an ongoing dialogue and an atmosphere of trust (NHS Employers, 2017), support and encouragement, which helps develop a relationship between employee and an organisation. Employees are far more engaged with an organisation when an employee is aware their line manager and organisation is dedicated to helping them develop and progress their career.

"When organizations successfully engage their customers and their employees, they experience a 240% boost in performance-related business outcomes compared with an organization with neither engaged employees nor engaged customers".- Gallup

The performance management process combines information gathering through monitoring goal completion, feedback and discussions. By analysing successes, strengths, learning from mistakes and examining potential for growth and development, businesses can develop talent, enhance individual performance and weed out problems. HEIWs HPW practices lead to superior business performance, promotes innovation and creativity amongst employees and encourages them to embrace change rather than resist (Taylor, 2016; Holbeche,2005).

HEIW's effective performance management system is unique and specific to organisational values, goals and purpose, which seeks to work towards the improvement of the overall organisational performance, while supporting performance, productivity and the wellbeing of its employees. However, during COVID-19 HEIW working model had to adjust and HEIW needed to move to a high trust low bureaucracy model of PM as the organisation became fully virtual (NHS Employers, 2017). The model will need be outcome based, and there is an opportunity for an outcomes-based appraisal model. It has commitment and dedication from the human resources department, managers and employees.

3.1 Evaluate the organisation's approach to performance management, including employee performance and development reviews.

I have undertaken a SWOT analysis to evaluate HEIW approach to performance management (appendix 1). To supplement the SWOT analysis, I also met with the HEIW Director of People team and Deputy Director of Workforce to discuss the current approach (appendix 2). I have also undertaken a Pestle analysis (appendix 3) which details a useful analysis tool that examines the external drivers of change and describes a framework of micro-environmental factors (political, economic, social & technology) which is used in environmental scanning of strategic management. It provides HR professionals insight into external factors impacting on organisations (CIPD, 2018). It facilitates an understanding of the wider business environment (CIPD, 2018). It enables an organisation to anticipate future business threats and take action to avoid or minimize their impact (CIPD, 2018). Information balance is needed (CIPD, 2018).

A pestle provides organisations with a useful external environmental tool for identifying and analysing factors that shape the external business environment. Combined with a SWOT the organisations are provided with valuable information for strategic decision making.

The HEIW HR function is responsible for understanding and communicating the political, legal and financial (economical) Welsh Government requirements to the workforce and preparing them for the future to achieve strategic aims and objectives. Both the PESTLE and SWOT highlighted a clear link to the CIPD professional Map behaviours along with a clear ink to HEIWs organisational aims & objectives, value and behaviours that align to its business strategy (IMTP) and Performance management activities.

The organisational values form part of all HEIW's policies and the People & OD plan is built on this foundation. They also reflect that as a newly established organisation HEIW's robust Values-Based Performance Management (PM) and appraisal system is based on best practice, engagement and research (SAGE) which aims to determine personal and team objectives and encourages honest and constructive feedback in an environment where, two-way discussions between line managers and employee are productive (Knight, 2011; Vantage circle, 2019; CIPD, 2016; Anseel and Lievens,2009) *The mediating role of feedback acceptance in the relationship between feedback and attitudinal and performance outcomes. International Journal of Selection and Assessment*, 17 (4) 362-75.). All employees are involved within the consultation of policies and were fully engaged within the development of the bespoke HEIW appraisal process thus employees felt and continue to feel part of the process.

All colleagues are provided with protected time to prepare and PA meeting are a minimum of one hour to ensure a continuous cycle with informal and formal stages which also ensures meaningful, constructive conversations take place. The importance of the HR and line manager function is also reflected in HEIWs policies, specifically Performance management, Capability and MAAW etc. They link to HEIWs strategy which mirrors the commitments made in the Quadruple aim and has a primary focus on the wellbeing of our workforce which has an impact on performance. They also align with the Workforce Strategy for Health and Social Care along with the IMTP which sets some important priorities for the system and for HEIW, raising the importance of workforce to the strategic agenda, and reinforcing its key role in a sustainable health and care service.

HEIW senior team aim to build and exemplify a performance aligned culture that has shared value and cultural alignment with a sense of shared values, belief and expectation among employees. However, managers can train employees to undertake tasks and new roles, but changing attitudes are difficult and can have an impact on performance (CIPD, 2020; HR, 2020). There is an opportunity for HEIW to gain further knowledge, guidance and expertise and access credible research to support a pro-active compassionate leadership culture across

the organisation and embed compassionate leadership within Performance management (West et al 2012; Kings Fund 2015; CIPD, 2020).

HEIWs PM risks are assessed monthly by a corporate risk register. However, the biggest risk to the organisation is manager competency, which is difficult to assess (CIPD 2020). Making judgements about an employee's value, capability, worth, contribution and potential is a vital dimension of a manager's relationship with employees. However, managers are sometimes reluctant to carry out PAs due to the dislike of passing judgement about employees' value and an inability to handle emotional responses that arises when employees receive ratings that are less impressive than they were expecting. Taylor (2016) suggests that the appraisal interview does not fit well with individual management styles which explains managerial resistance. There is also a tendency that managers undertake the talking during the PA process leaving a lack of opportunity for employees to participate and respond to future objectives (McGregor, 1957, p89; Beer, 1985; Beer et al 1984). Difficult conversation training is threaded through HEIWs PADR training, nevertheless there is a need to deliver more targeted training to increase manager confidence. As competencies are a key performance indicator from the organisation to an individual of their expected areas and levels of performance this should also be linked to the line managers competency frameworks as when done well, can increase clarity around performance expectations and establish a clear link between individual and organisational performance (CIPD, 2020).

The People Team facilitate PM training activities to line managers and employees as appropriate. However, the current process relies on the line manager's interpretation and ability to be subjective/objective. To ensure the HEIW PADR process is consistent and fair I the process is audited on a sample size externally and the people team carry out line manager spot checks internally. HEIW are furthermore developing a line managers toolkit to ensure managers have the necessary skills and knowledge to provide effective performance management processes.

Learning and Development (HR Zone; CIPD; Glaveski, S, 2019; Mckinsey,2019) is a core feature of PM within HEIW. In view of the annual plan HEIW pledge to develop their leaders and managers to undertake roles with consistency and competence (CIPD, 2020; GOV.UK,2020; IAEA). Using information from the PDPs, HEIW produce an annual learning bid for the Executive team to consider. HEIW acknowledged that People are an organisation's best investment (Investors in people, 2020;), nevertheless are acutely aware L&D budgets are the first to see funding cuts. Reduction in funding across NHS Wales is a huge risk could lead to a reduction in funding for L&D activities along with promotion opportunities. Incompetent managers remaining within HEIW may have a detrimental impact on business performance. Scrutiny is therefore required with regards to appropriateness of training and development and its link to an employee's development plan, costs associated, and time required away from work. HEIW are currently undergoing a training needs analysis of the organisation within the constraints of WG funding. It is anticipated this will further increase performance within HEIW (Economic times 2020; CIPD 2020; HR-Inform, 2018).

HEIW need to ensure staff development whilst considering future workforce drivers i.e. Millennials, part-time contracts (CIPD, 2015, 2016; Timewise 2014; Deloitte, 2014, 2016, 2019; Independent 2016; INC 2018; People Management 2018, 2019; KPMG, 2017; Skeoch, 2018; Sloan, 2019; Aftab, 2016; Vodafone, 2015);

Talent and Succession Planning (Aguinis et al., 2012; CIPD, 2020;Hirsh, 2105; Taylor, 2016; Gallup, 2015) are at the core of HEIW's PM. Every employer has an opportunity to develop to their full potential and to engage in career conversations to retain talent and mitigate any potential people risks that are identified through workforce planning. Every PA conversation explores career aspirations, interest in future roles and establishes where development opportunities may exist these are incorporated into the PDP. It explores employee's aspirations, and whether they require any further development which can aid succession and career planning. It could be claimed that performance impacts on HR activity; McKinsey (2012)

suggests organisations like HEIW with an Employee Value Proposition (EVP), which is linked to effective and engaging PM, is truly stronger than the competitions' who don't, and these will attract and retain the best talent i.e. what employees get for what they give: "Gives" includes time, effort, experience, ideas. "Gets" includes tangible rewards, the experience of working in a company, the way its leadership helps employees, and the substance of the work. A successful organisation like HEIW is an aspiring place to work. They attract talent as they invest in first class HR function and produces modern policies and procedures, as adopted by Google and Microsoft etc. HEIW create employee engagement schemes that make the organisation an aspiring place to work and attract talent (Taylor, 2016).

HEIW's uses an external company for 360-degree appraisal to ensure confidentiality and employees have confidence in the process. However, it does not measure managers on their effectiveness. The process is based more around values and behaviours and the process can be bias as managers can choose individuals to assess their performance, it is therefore open to bias responses and may not be an accurate reflection. Although it is recommended in HEIW that all manager undertake 360 it is not mandatory. Middle tier Managers on a band 6&7 are not expected to undertake one however, a senior manager is. This questions consistency and its impact on middle tier manager performance. Realtime feedback may be a more consistent contemporary alternative where an annual performance review is undertaken by a line manager and then passed to a wider team to look at it more objectively (Google). - refer to the Google collaboration process for fairness

The Topol Review (2019) supports the technological aims of the NHS long term plan and the workforce implementation plan to create a digitally ready workforce able to use new technology and medicines and to adapt to new ways of working. There is a need to overhaul and create creativity within PM. This will have consequences for selection, curricula, education, training and development and lifelong learning of current and future NHS workforce. There is a lot to do to prepare the workforce in Wales for a digital future. Continuing medical advances in technology (including genomics, artificial intelligence, digital medicine, robotics) will require changes to the roles and functions of clinical staff and to the education and training of the workforce. Changes within technology and communications infrastructure will require a change in roles and functions of clinical staff. It also proposes that there will be a need for more sophisticated digital solutions to analyse data to improve intelligence. The AI future will have major implications on organisational performance (IBM, 2020; CIPD, 2017; 2020). IT training is therefore imperative with HEIW, line managers need to be equipped for these anticipated changes, particularly due to COVID (CIPD, 2017, 2020) and to also function in the new post COVID world. this needs to be delivered quickly considering the organisational implications of COVID-19 i.e. provide employees with the necessary IT training to support new ways of virtual working.

Health and Safety mandatory training forms part of PADR process and meets legal obligations with WG. All employees are aware that training is essential, and the organisation and individuals are put at risk if not complete (HSE). PDAR processes cannot be undertaken until mandatory training is completed (HSE).

A new pay progression system will come into effect on 1 April 2019 for new starters, or those promoted to a new role on or after 1 April 2019. The new pay progression system is underpinned by the annual appraisal process (HEIW, 2019). The expectation is that all staff will meet the required standards and therefore be able to progress on their pay step date. However, there is no financial incentive available once employees reach the top of their scale (Guzzo, 1988; Kohn, 1993). There is a risk that productivity may be reduced and a potential that managers may use negative reactive processed such as the capability policy to encourage high performance, once financial incentive is removed.

HEIW's performance management system is unique and specific to organisational values, goals and purpose, which seeks to work towards the improvement of the overall organisational

performance, while supporting performance, productivity and the wellbeing of its employees, which was fit for purpose. However, during COVID-19 HEIW working model had to adjust and HEIW needed to move to a high trust low bureaucracy model of PM as the organisation became fully virtual (NHS Employers, 2017). The model will need be outcome based, and there is an opportunity for an outcomes-based appraisal model.

HEIW will need to consider potential demand for further flexibility post COVID-19 to aid productivity and performance (The Guardian, 2020; Timewise 2020; The Law Society Gazette,2020; Forbes, 2020; MIT Slone. Management Review, 2020; HR Lunchtime debate, 2020; The Guardian, 2020; Our NHS people).

3.2 Assess the extent to which performance management processes support high performance working (HPW) and contribute to sustained organisational performance.

High Performance Working Systems (HPWS) are a group of separate but interconnected Human Resource (HR) practices which are designed to enhance employees' skills and effort (Takeuchi et al., 2007, p. 1069; Becker & Huselid, 1998; Guthrie, 2001; Huselid, 1995; Way, 2002). There is now considerable evidence across a wide range of studies that adoption of HPW practices are associated with good business performance (Tamkin, 2004; Boxall, 2012) Taylor (2016) suggests that HPWS that have proved to be most influential and enduring are principles which underpin HPWS. HEIW PM processes seek to maximise employee performance within the organisation by enhancing employees' skills, thus increase productivity and commitment which leads to positive organisational outcomes and competitive advantage for organisations (Zhang, Di Fan & Zhu, 2014; Armstrong & Baron, 1998, 2004, 2005, 2017).

HEIWs HPWS comprises of 11 distinct HRM policies and procedure which were introduced and reinforced within organisations at the same time (appendix 4). Although never definably agreed Taylor (2016) advises that the make-up of the policies has never been definitively agreed. Boselle et al (2008); Dalta et al 2005; Marchington & Wilkinson (2012); Paauwee et al 2013 pp7-8 advocates a wide variety of best practice elements such as the promotion of employee commitment and involvement etc. are the most commonly included in the analysis of HPWS rigorous and sophisticated recruitment and selection practices.

There are several different ways of conceptualising and referring to HPW. The UK Commission's definition of HPW is built around the 4A model of capability (Tamkin et al, 2005). The model (appendix 5) is based around two key dimensions: the development and deployment of capability, and the role of individuals and the organisation. This creates four quadrants of activity: ability, access, attitude and application.

HEIWs HPW practices lead to superior business performance, promotes innovation and creativity amongst employees and encourages them to embrace change rather than resist (Taylor, 2016; Holbeche,2005). In contrast, Pfeffer's (1994, p27;1998) observations concluded that the practice bundle offers all sectors and organisations something significant yet, there's small evidence to suggest that effective management practices are difficult to comprehend when they work or a necessary contingent within an organisations competitive strategy. In contrast, Huselid's (1995) staff turnover study that considered *Tobin's q*' demonstrated that HR adds value; It validated low turnover rates, increased profits and a higher market value with increased use of sophisticated HR practices. Combes et al (2006) concluded that HPW practices are associated with a 4.6 % increase in return on assets and a 4.4% reduction in staff turnover (Proudfoot *et al*, 2009).

As a newly formed organisation HEIW adopts best practice approach to managing employees and has a positive reputation in the labour market, which is evident within its values, behaviours policies and procedures which has a allowed HEIW has achieve an employer of choice status within NHS Wales (Investors in People) thus individuals aspire to work within an organisation allowing the organisation to attract and retain the best staff. Once employed staff

are more likely to be actively engaged in their work thus maximise their commitment and discretionary effort i.e. going further than is required under their employment contract.

HPW within HEIW focuses on people centred issues, such as the development of education and training programmes at all levels of the organisation, individual empowerment, autonomy and team working skills. Also central to its philosophy is the use of problem solving tools and techniques such as process mapping and analysis, and project management skills in order to enhance (CIPD, 2017)performance improvement of the individual and organisational effectiveness (CIPD,2007) and as Butler *et al* (2004) claims, it is a long-term strategy more likely to succeed than alternative approaches. HPW therefore highlights self-management, team capabilities, and project-based activities to enable and support performance improvement (Ashton and Sung, 2003; 2004; CIPD 2007). Ashton and Sung (2003,2004) suggest that HPW should not be considered a short-term assurance boosting and efficiency improvement programme, but in contrast recognises the "bundles" of practices that organisations like HEIW may adopt to fit a particular context and competitive advantage.

In contrast, Wright et al (2005) suggests that there's no automatic link and HPWS doesn't directly affect organisational performance but increases it through sequential links. Purcell et al (2003), McClean & Collins, (2011); Chow, (2012) etc, have found empirical evidence regarding the link between the positive relationship of HPWS and organisational performance within different industries and organisational size, through mediating mechanisms that have a positive impact on organisational performance (Huselid, 1995; Boxall, 2012; Takeuchi et al 2007). Black Box studies demonstrate that a well implemented HR approach will result in greater organisational business performance. It advocates the AMO model; The ability to perform well; the motivation to perform well and the opportunity to perform well. The black box studies describe this as *discretionary effort.* McClean and Collins (2011) support and suggest Performance Management (PM) is interpreted as an investment in staff which leads to discretionary effort.

In contrast, Gallup Studies (Harter et al, 2002) demonstrate HR policies and practices benefit greater business performance as they help motivate employees to positively perform well, within individual roles and refer to employee engagement. It could be argued contemporary HR thinking and practices need to incorporate elements of employee engagement, commitment and job satisfaction to allow an expansion of the AMO model (appendix 6) and recognise the increased complexity of HPWS (Boxal & Percell, 2008).

Herzberg (1959, 1968) suggests that managers can enrich an employee's job by providing them with a complete unit of work, having a periodic reporting system rather than tight inspection and control and giving an employee responsibility and accountability. He also suggested giving a specific task to enable them to become experts in that field plus occasionally introducing new and more challenging tasks to aid self-development, which also fits with Dan Pinks motivation theory (Pink, 2009; Keating, 2015). Conversely, the models demonstrate comparation between the possible misuse of PM to improve PM.

3.3 Recommend ways for developing performance management processes to enhance their impact on organisational performance.

Recommendations

- Compassionate leadership needs to be embedded into PM activities as there is a need for compassionate leaders who listen with fascination (gold standard) to gain knowledge, guidance and expertise and access credible research to support compassionate leadership culture across the organisation that is pro-active rather than reactive (West et al 2012; Kings Fund 2015; CIPD, 2020).

- Continue to collaboratively work with wider NHS Wales as an opportunity to share best practice, network and reach shared aims and objectives (CIPD, 2020; NHS Employers, 2017; Tara Kearney, 2019;)
- Share good practice and celebrate successes (CIPD, 2015; Investors in people, 2020; Healthy working Wales);
- HR also need to be continually aware of new guidance, best practice and legal issues to be able to support line managers to the best of their ability (ISS; NHS Employers).
- Move to a high trust, low bureaucracy system, which is more outcome based and uses an outcomes-based appraisal model, such as real time feedback. (NHS Employers, 2017; Boxal & Percell, 2008; Google)
- Staff need the flexibility to achieve their objectives and tasks with the flexibility to choose how and when this is done. The individual will remain accountable. The move to home working has highlighted where some are really excelling whereas others are not as they are not being micromanaged (CIPD, 2020; Deloitte, 2016; HR Magazine, 2014;, People Management, 2018, Timewise, 2014).
- Develop a specific induction for Clinical professionals find it hard to adjust to a non-patient facing environment and a more administrative, QI environment HR Zone; CIPD; Glaveski, S, 2019; Mckinsey,2019).
- Ensure that specific inductions are introduced for clinical professionals and new managers that have come from legacy organisations i.e. Cardiff University, with different values and behaviours and are not aware of the HEIW processes. Coaching and Mentoring should also be offered to ensure best practice within Performance management (HEIW, 2019; CIPD, 2015, 2019; Howlett,2020; ACAS, 2012). The CIPD Learning and Development Annual Survey Report 2015 demonstrates that 76%of organisations like HEIW offer coaching or mentoring. This rises to 85% of the public sector. They also found it more common in larger organisations. They suggest that coaching by line managers is more popular than coaching by external practitioners and coaching by line managers is particularly popular in the private services sector (CIPD, 2015). This supports the need to get the process right from day one of employment.
- Continue measuring Health and Wellbeing Metrics It's important to identify data sources which are useful and think what impact each metric has on staff, or patients. Give Employees a voice, find out what they think about metrics to understand the context and the impact this is having. Whilst ensuring data is accurate (NHS Employers).
- Although threaded through the PADR training, implement targeted training on difficult conversations (Windman, 2019; CIPD, 2017; Brown, 2018).
- Line Managers who's PADR process is picked up within the sampling auditing process should be offered further training on the PADR process along with coaching and mentoring to ensure best practice (CIPD, 2020; Clutterbuck, 2014; Charlton, 2009; Anderson et al 2009; WALES).
- Managers should formally write to employees outlining the PADR conversation and links to the organisational values and behaviours. This may boost morale, engagement and productivity.
- IT training is imperative, Line managers need to be equipped to function in the new post COVID world, considering the organisational implications of COVID-19 this needs to be delivered quickly i.e. provide employees with IT training to support new ways of working (Nuffield Trust, 2019).
- Ensure staff development whilst considering future workforce drivers i.e. Millennials, part-time contracts (CIPD, 2015, 2016; Timewise 2014; Deloitte, 2014, 2016, 2019; Independent 2016; INC 2018; People Management 2018, 2019; KPMG, 2017; Skeoch, 2018; Sloan, 2019; Aftab, 2016; Vodafone, 2015);
- Undertake a further consultation post pandemic to inform the HEIW Health and wellbeing strategy (HEIW, 2020; Welsh Government 2019; Social Care Wales, 2019;

Cardiff and Vale University Health Board 2015-2025; NHS Employers 2018, 2020; HR Zone, 2018);

- Develop and implement a Health and Wellbeing Strategy (HRZone, 2018; NHS Employers; Benenden Health, 2020; CIPD, 2020)
- Continue with essential leadership, structural, cultural building blocks for improving staff health and wellbeing (NHS Employers, 2018);
- Continue communication updates to engage employees that give them an employee voice to influence the Health and Wellbeing strategy (CIPD, 2020; Lyonette & Baldauf, 2019, HEIW 2019, 2010);
- Consider potential demand for further flexibility post COVID-19 to aid productivity and performance (The Guardian, 2020; Timewise 2020; The Law Society Gazette,2020; Forbes, 2020; MIT Slone. Management Review, 2020; HR Lunchtime debate, 2020; The Guardian, 2020; Our NHS people);
- It is vital that leaders and manager encourage employees to take their full holiday entitlement, so that they feel rested (without checking their e-mails / working) (Health at work, 2019; Glassdoor, 2014, 2016, 2017; Gov.uk, 2020; Health at work, 2019; HR News, 2019; HR Magazine, 2014);
- Ensure consistency and fairness in the way Performance policies and procedures are implemented and reviewed; Promote up to date WLB FW and special leave policies and practices along with the implementation of a Health and Wellbeing Strategy, that will empower employees to lead healthier lifestyles (appendix 10) (HEIW, 2020; West, 2020; CIPD, 2019; People Management, 2018; Timewise, 2014; NHS Employers, 2019; Dale, 2016);
- Ensure staff development whilst considering future workforce drivers i.e. Millennials, part-time contracts (CIPD, 2015, 2016; Timewise 2014; Deloitte, 2014, 2016, 2019; Independent 2016; INC 2018; People Management 2018, 2019; KPMG, 2017; Skeoch, 2018; Sloan, 2019; Aftab, 2016; Vodafone, 2015);

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Appendix 1 - SWOT analysis of Performance management processes in HEIW

Strengths	Weaknesses
HEIW has a clear set of values that are linked to its performance management activities - "Together as a team, Respect for all & ideas that improve" (HEIW, 2018b) The organisational values form part of all HEIW's policies and our People & OD plan is built on this foundation.	**Budget constraints due to welsh government funding** Scrutiny is required when progressing recruitment, ensuring advertisement of posts is appropriate for service need. Scrutiny is required with regard appropriateness of training and development and its link to an individual's development plan, costs involved, time required away from office.
Flexible Working / Work Life Balance/Health & Wellbeing Ensure policies are in place to support employees, which are fair and consistent and available to all staff, ensuring staff are supported to be the best they can be under their individual circumstances.	Line manager's interpretation of performance management processes and their ability to be subjective/objective.
2-way process between line manager and employee involving discussion on potential development opportunities and future career opportunities and how these links with team and organisational outcomes	Lengthy detailed process for sessional workers, who undergo full appraisal with their main employer – repetitive and of questionable value
Protected time to ensure a continuous cycle with informal and formal stages	No financial incentive available once employee reaches top of salary scale.
360-degree appraisals use an external company to ensure confidentiality and staff have confidence in the process.	Potential to use negative processes (capability) to encourage high performance, once financial incentive is removed.
Clear link between individual, team and organisational objectives.	Potential for line managers to avoid difficult conversations
Training on performance management activities is available to line managers and employees as appropriate.	
Employee Engagement Staff were involved and consulted with on the development of a bespoke HEIW appraisal process.	
Values and behaviours-based recruitment & policies & procedures Development of policies to support	
Development opportunities Gain understanding of skill mix/gaps and identify options to support staff to fill the gaps and also their potential.	
Talent/succession planning Awareness of skill mix in the organisation and how this can be developed to ensure we have the right skills, in the right place at the right time.	
Processes are audited both in house and externally periodically.	
Performance management risks assessed monthly via corporate risk register.	

Opportunities	Threats
Expertise Knowledge and expertise of shared services – elements of recruitment, payroll – this ensures consistency across NHS Wales.	**Retention of skilled, knowledgeable employees** Negotiating on pay scales to ensure recruitment and retention of existing staff to new internal posts.
Embed compassionate leadership in performance management activities	
Collaborative working with NHS organisations Opportunity to share best practice, network and work collaboratively to reach shared aims.	**Employment Legislation** Awareness of current legislation and how it fits with performance management (capability)
Development of a "lite" appraisal process for sessional workers	**Reduction in WG funding across NHS Wales** This could lead to reduction in funding for L&D activities and promotion opportunities. Incompetent managers remaining in HEIW will have a detrimental impact on overall business performance
Access to best practice and credible research An opportunity to gain knowledge, guidance and expertise and access to credible research to support a compassionate leadership culture across the organisation.	Employees not having the necessary IT training to be able to work virtually.
Undergo training needs analysis within financial constraints.	Manager competence
Provide further IT training to support new ways of working.	Manager trust in their staff
Move towards an output-based performance model	Ability to provide training in new areas of work in a timely manner to allow line managers and employees to function in the new working environment.

Appendix 2

Discussion with Angie and Foula

- Current process relies on the line manager's interpretation – this is a problem everywhere
- Process is audited externally on a sample size - spot checks
- Difficult conversation training is threaded through PADR training – possibility to deliver more targeted training to increase manager confidence
- Looking to develop a line managers toolkit with will arm them with the necessary skills and knowledge to provide effective performance management processes.
- Undergoing training needs analysis of the organisation
- L&D budgets are the first to see cuts. - Risk
- If people without the necessary training remain in the organisation, this will lead to a dysfunction. – Risk
- Important need to upskill staff in use of IT – particularly due to COVID
- H&S mandatory training – mandatory training forms part of PADR process – essential training
- Biggest risk to the organisation is manager competency
- HR also need to be aware of new guidance, best practice and legal issues to be able to support line managers to the best of their ability.
- Moving to a high trust, low bureaucracy system, which is more outcome based and uses an outcomes-based appraisal model (opportunity)
- Line managers need to be equipped to function in the new post COVID world – this needs to be delivered quickly
- Staff need the flexibility to achieve their objectives and tasks with the flexibility to choose how and when this is done. The individual will remain accountable. The move to home working has highlighted where some are really excelling whereas others are not as they are not being micromanaged.
- Clinical professionals find it hard to adjust to a non-patient facing environment and a more administrative, QI environment. Looking to develop a specific induction for these staff.
- Managers need to be flexible with objective setting.

Appendix 3

Political – Government policies beneficial/detrimental to HEIWs success and whether the political environment is stable or likely to change.

Economic – Current economic performance affecting HEIW along with impact on revenue/costs – retirement and baby boom.

Social – Human behaviour or cultural trends have a role in HEIW. There has been a change in attitudes towards work and careers with the need to find a work life balance becoming an increasingly important requirement for HEIW employees.

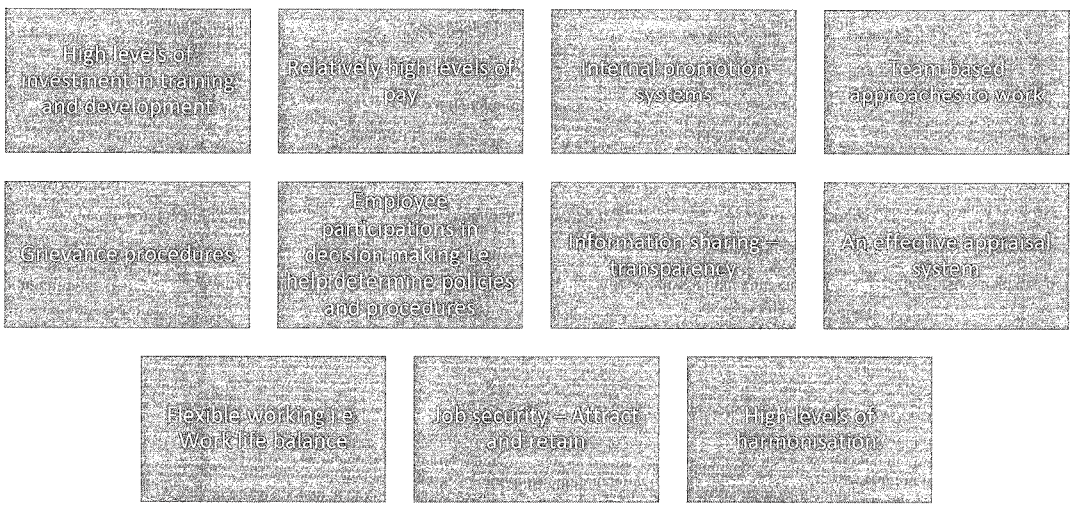
Technological – Innovation and technological advancements by recognising the need to make progress on the digital and technologies agenda going forward.

Legal - HEIW undertake EIAs for all new policies and procedures.

Environmental – Environment (Wales) Act 2016 – HEIW are prepared for future environmental targets.

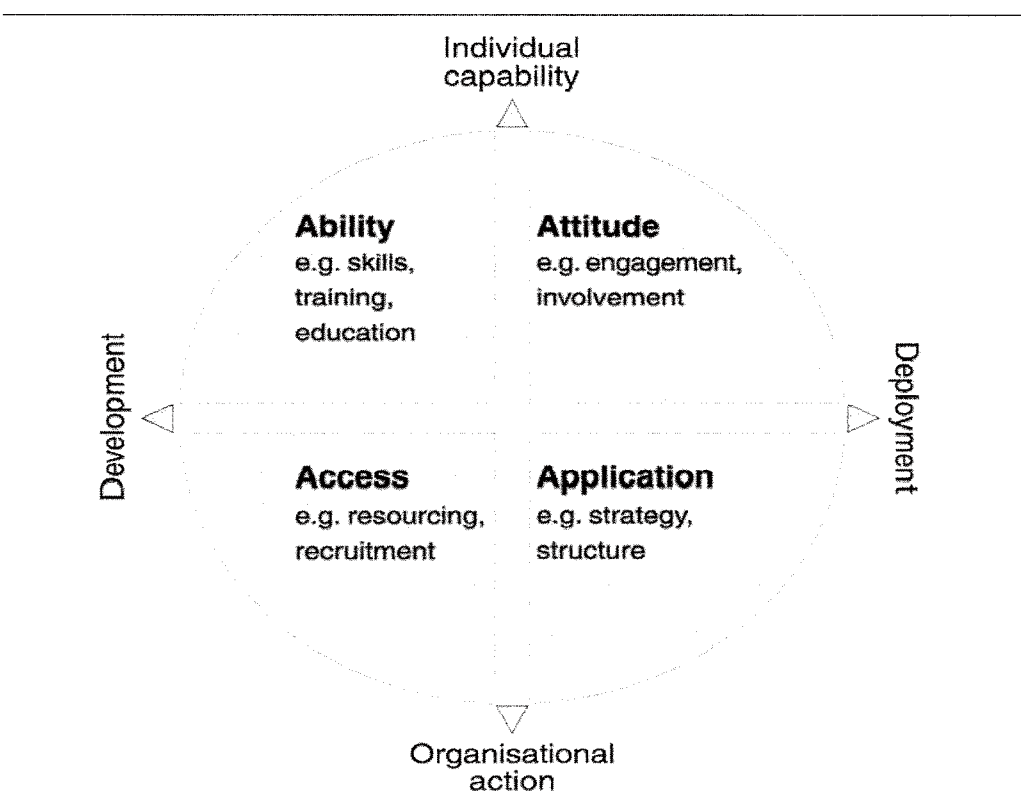
Appendix 4

Most commonly included in the analysis of HPWS rigorous and sophisticated recruitment and selection practices Delta et al (2005); Marchington & Wilkinson (2012).



Appendix 5

High Performance Working: 4A Model of capability (Tamkin et al, 2005)



Appendix 6

ACE employees: Able, committed and engaged + opportunity, resources and support = High performance

