

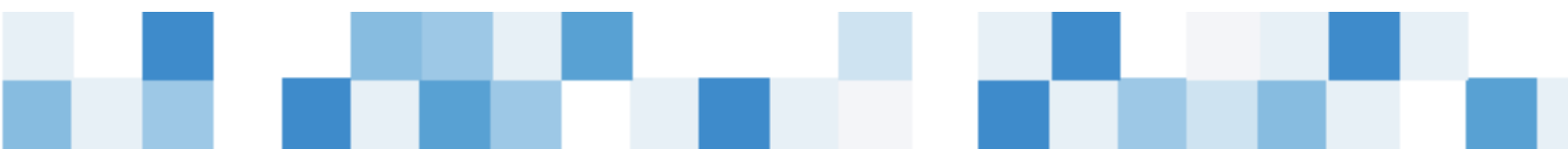


9. Workforce

30 June 2004



 NatPaCT PCT Competency Framework



Red Amber Green Competency Statement

Examples of Evidence

9.1 Human resources strategy

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1.1 There is a documented human resources strategy for the PCT which links to the LDP and the PCT business plan and the Workforce plan.	9.1.1.1 The strategy includes or refers to: 9.1.1.2 Board and PEC structures and accountabilities 9.1.1.3 Named person at board level with responsibility for achievement of HR objectives. This may be a HR professional at executive level, or may be another designated board member to whom the lead human resources officer has defined reporting arrangements.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1.2 The PCT has a designated strategic lead officer with a remit of organisational development and human resources management.	9.1.2.1 The HR lead takes an overview of HR issues covering both directly employed staff and independent contractors and the ways in which staff groups need to be developed to meet the PCT's strategic objectives.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1.3 HR management arrangements are in place for the workforce and there is capacity to manage organisational changes whilst delivering continued good employment practice and organisational development.	9.1.3.1 The workforce includes PCT employed staff, practice employed staff and independent contractors. The PCT HR arrangements are flexible in their application to people under different contractual arrangements. 9.1.3.2 The PCT is able to fulfil all employment law requirements, and all national HR requirements applying to NHS trusts.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9.1.4 The PCT is prepared to implement 'Agenda for Change' Modernising the NHS pay system	9.1.4.1 The PCT works with the job evaluation methodology developed by the Department of Health.

Red Amber Green Competency Statement



9.1.5 A workforce development plan is in place to secure a workforce with the right skills and numbers to deliver fast, convenient and accessible primary care services.

Examples of Evidence

- 9.1.5.1 The plan takes account of the structure set out in the Primary Care Workforce Planning Framework.
- 9.1.5.2 The plan includes a description of future services and options being considered for future development of the workforce.
- 9.1.5.3 The existing workforce is scoped as part of the underpinning of the planning framework.
- 9.1.5.4 Succession planning arrangements are described with strong links to Workforce Confederations and Educational Establishments.
- 9.1.5.5 The plan is integrated with other planning activity in particular the LDP.



9.1.6 The PCT is actively involved with the local Workforce Development Confederation and there is a partnership agreement.

- 9.1.6.1 There is a designated senior PCT staff member who leads on workforce planning and liaison with the confederation.
- 9.1.6.2 There are links from the LDP to workforce planning.



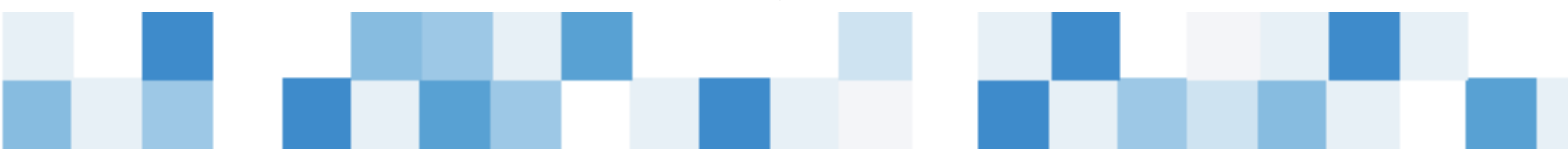
9.1.7 The PCT is planning for an integrated workforce.

- 9.1.7.1 There is a policy to support this that has been approved by the board.
- 9.1.7.2 HR planning, including the training and development strategy is geared towards integration.
- 9.1.7.3 Demonstrable links with Higher and Further Education providers focused on "closing the loop" between training and practice. The PCT supports the development of the University of the NHS.



9.1.8 The PCT is developing new ways of working across organisational boundaries.

- 9.1.8.1 There are pooled budgets for social services and joint posts with social services.
- 9.1.8.2 Innovative development activities e.g. joint development/training between Health/Social Services.
- 9.1.8.3 There is development of generic health care worker roles.



Red Amber Green **Competency Statement**

9.1.9 HR advice and support is available to managers throughout the PCT.

Examples of Evidence

9.1.9.1 Managers are aware of who to contact and how.
 9.1.9.2 Where these arrangements are part of a shared service, written agreements and standards are in place, which are regularly reviewed.
 9.1.9.3 Information and changes relating to employment and HR issues and practices are routinely circulated to managers and supervisors throughout the PCT.

9.1.10 The PCT has documented human resources policies and procedures.

9.1.10.1 The HR policies and procedures define the ways in which recruitment, employment, induction, training, appraisal, retention, leave, absences, harassment, grievances and disciplinary procedures are managed.
 9.1.10.2 The policies and procedures are widely communicated and staff demonstrates an awareness of them.

9.1.11 Grievances and disciplinary actions are handled in a fair and consistent manner throughout the PCT.

9.1.11.1 These issues are supported by documented procedures that are easily accessible to all staff.
 9.1.11.2 An audit trail of different cases is able to identify that procedures have been consistently applied.

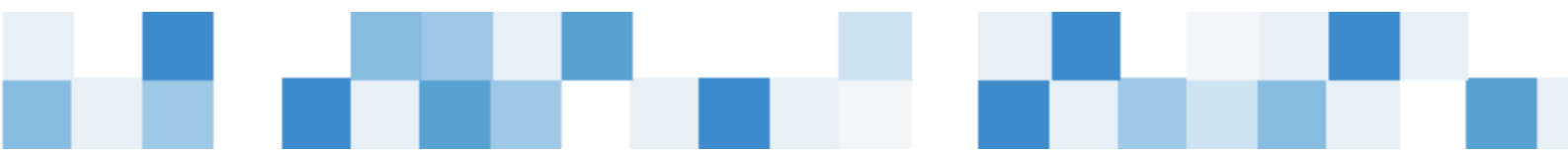
9.2 Leadership and management

9.2.1 The PCT is working towards the HR performance framework.

9.2.1.1 There are documented HR performance measures in place and results are actively monitored against these.
 9.2.1.2 These include performance data required by SHA and DH.
 9.2.1.3 Performance measures are also linked to the IWL criteria.

9.2.2 The PCT has a plan for the implementation of the Improving Working Lives initiative and gaining accreditation under the scheme.

9.2.2.1 There is an IWL multi-disciplinary implementation team in place.
 9.2.2.2 There is evidence of initiatives underway, with progress being tracked and monitored against the plan.



Red Amber Green Competency Statement

9.2.3 The PCT risk management arrangements include tackling workplace accidents and violence to staff.

Examples of Evidence

9.2.3.1 All incidents are recorded and investigated. A report is collated on a regular basis, which includes analysis of any identifiable trends across the PCT and this is presented to the Board.

9.3 Equality and diversity

9.3.1 Equality and diversity are reflected in all aspects of HR operational and strategic management and support a culture where staff feel they are treated with dignity and respect.

9.3.1.2 The PCT has or is working towards the award of the two tick employment services disability symbol.

9.3.1.3 There is an equality and diversity strategy

9.3.1.4 Equal opportunities are monitored as part of employment and recruitment and grievance procedures.

9.3.2 There are documented policies to tackle discrimination and harassment in the workplace.

9.3.2.1 The implementation of these policies is monitored and any incidents of discrimination or harassment are investigated in line with the policy.

9.3.3 The PCT encourages an inclusive and diverse workforce, reflecting the nature, composition and needs of the population it serves.

9.3.3.1 The ethnic mix of staff reflects that of the community served.

9.3.3.2 The needs of older workers are catered for.

9.3.3.3 The PCT strives to involve local communities as potential and actual staff members through developing opportunities for training, developing job skills and a diverse range of access routes to employment.

9.4 Communication and staff Involvement

Red Amber Green Competency Statement



9.4.1 The PCT communication strategy includes communication with staff and staff involvement at every opportunity.

Examples of Evidence

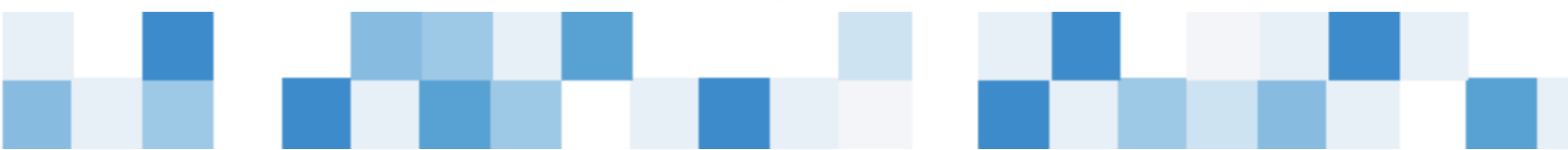
- 9.4.1.1 The communications strategy links to the HR strategy and PCT business plan in relation to staff communication issues.
- 9.4.1.2 The strategy includes the development of staff committees/joint working/staff involvement and facilities agreements.
- 9.4.1.3 See also Domain 1, 1.5 Shared vision.
- 9.4.1.4 The strategy may link to a Staff Charter, which outlines individual and organisational expectations and responsibilities.
- 9.4.1.5 The PCT can demonstrate the consultation processes with staff on policy development, service planning and development, consultation on staff terms and conditions of employment.
- 9.4.1.6 There are systems in place for the reward/recognition of people/ teams that make outstanding contributions to the PCT.

9.5 Flexible working



9.5.1 Flexible working is embedded in the organisational culture via the recruitment strategy and associated policies and procedures.

- 9.5.1.1 The recruitment and retention targets set out in the workforce plan are linked to flexible working approaches.
- 9.5.1.2 There are written policies supporting flexible working practices, such as such as career breaks, job shares, flexible hours facilitated by self-rostering, flexitime and annualised hours.
- 9.5.1.3 Information on flexible work options is available to all staff.
- 9.5.1.4 There are regular progress reports to the board on the achievement against performance indicators for compliance with the Working Time Directive.



Red Amber Green Competency Statement

9.5.2 The PCT has a system wide approach to improving recruitment and retention.

Examples of Evidence

- 9.5.2.1 Policy is co-ordinated with partner organisations and with the Workforce Development Confederation.
- 9.5.2.2 There is a documented policy and procedure, available to all staff.
- 9.5.2.3 Figures on staff turnover, staff sickness and unpaid leave are collated and monitored against set targets.
- 9.5.2.4 There is a joint approach with the local authority on housing for key staff.
- 9.5.2.5 Exit interviews are carried out to support information on organisational strengths and weaknesses.

9.5.3 The recruitment processes are efficient and effective.

- 9.5.3.1 Recruitment procedures and the associated documentation are readily accessible to all staff involved in implementing recruitment processes.
- 9.5.3.2 Staff involved in recruitment are trained in the methodologies used, such as interview skills and equal opportunities selection.
- 9.5.3.3 Each post has job description, person specification, letter of appointment, statement of terms/conditions.
- 9.5.3.4 "NHS Professionals" initiative in place (a network offering a co-ordinated approach to temporary staff needs).

9.6 Healthy Working

9.6.1 There is a healthy working strategy for the PCT that reflects national improvement targets for the reduction of accidents, violence and sickness of staff.

- 9.6.1.1 The healthy working strategy includes local targets and action plans to reduce accidents, violence and staff sickness, the promotion of occupational health and counselling services, plans to counter the long hours culture and plans for improvements to catering, security and accommodation for staff.
- 9.6.1.2 Regular progress reports are produced on these issues.

Red Amber Green **Competency Statement**

9.6.2 There is a written agreement for the delivery of occupational health and safety services for all General Practitioners and their staff.

Examples of Evidence

9.6.2.1 The service level agreement covers issues such as pre-employment health screening, sickness absence management, disability assessment and ill-health retirement, when and where the service operates and the reporting arrangements to employers.

9.6.3 There is a written agreement for the delivery of occupational health and safety services to all other PCT employees.

9.6.3.1 The service level agreement for the provision of occupational health and safety services for all other PCT staff covers issues such as pre-employment health screening, sickness absence management, disability assessment and ill-health retirement.

9.6.3.2 The SLA includes when and where the service operates, access for PCT staff to make independent appointments, referral procedures for managers to follow and the reporting arrangements to the PCT.

9.6.4 The PCT has access to professional occupational health advisory services, from a consultant occupational physician.

9.6.4.1 The occupational health service provided may be delivered by, or run under the direction of an occupational health physician. Where the service is provided by nurses with occupational health qualifications the PCT makes separate arrangements for a consultant occupational physician to provide advisory services to the PCT.

9.6.5 There is a strategic multi-disciplinary group to review occupational health issues relevant workplace initiatives that will help to deliver the overall PCT objectives.

9.6.5.1 This may be part of the brief to a group with a wider remit for staff or risk management issues within the PCT.
9.6.5.2 Action plans minutes and meeting notes demonstrate that issues are discussed actions agreed and implemented over time.

9.7 Training and development

Red Amber Green **Competency Statement**

9.7.1 There is an education, training and continuing professional development strategy for the PCT, which has been discussed and approved by the Board and PEC, that supports a culture where staff have equal access to all training initiatives and programmes.

Examples of Evidence

9.7.1.1 The strategy links to workforce planning and takes into account the educational needs of the organisation and the evidence of individual needs collated from PDPs (training needs analysis). It includes professional and development and clinical update training.
 9.7.1.2 The strategy sets out the rationale for investment in line with NHS lifelong learning commitments.
 9.7.1.3 The strategy takes account of the NHS Plan, Agenda for Change, the LDP, NSFs and Clinical Governance strategy.

9.7.2 There are senior managerial and clinical staff with lead responsibilities for education and training.

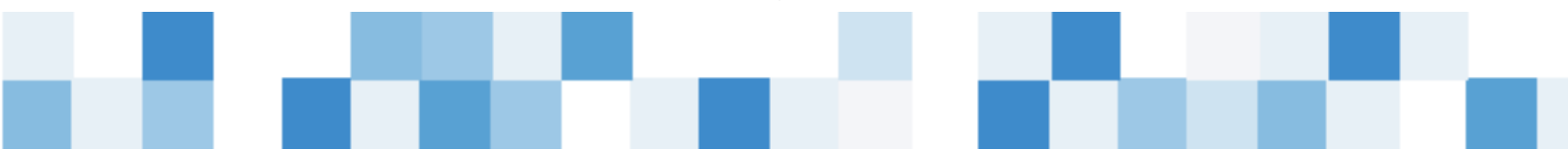
9.7.2.1 There is a designated lead clinician on the PEC for education and training.
 9.7.2.2 Support staff are identified to provide administrative assistance.
 9.7.2.3 There is a senior multi-disciplinary group or committee with a brief for overall planning and co-ordination of staff development, education, training and teaching activities across the PCT.

9.7.3 There is a co-ordinated approach to training and education across the health economy, including joint initiatives across health and social care.

9.7.3.1 Education and training plans are shared with partner agencies.
 9.7.3.2 Training sessions run by the PCT are publicised and open to staff from local authority, voluntary agencies and other partner organisations, where the training is applicable to these staff.

9.7.4 All staff undertake induction training and mandatory training on appointment.

9.7.4.1 There is a documented programme for PCT induction training, which includes partner organisation induction.
 9.7.4.2 There are records demonstrating the percentage of PCT staff that have attended mandatory training including, moving and handling, health and safety, basic resuscitation, confidentiality.



Red Amber Green Competency Statement

9.7.5 There are robust personal development plans for all staff.

Examples of Evidence

9.7.5.1 The personal development planning process is in place for all staff, including independent contractors.

9.7.5.2 The PDP process links to the appraisal system, the PCT education and training strategy and the PCT organisational development plan. Staff are encouraged to identify their own learning opportunities.

9.7.5.3 The PDP process is supported by comprehensive documentation, such as forms to complete and guidance on the process, which are available to all staff.

9.7.6 There is appraisal (individual performance review) process in place that applies to all staff.

9.7.6.1 A single integrated regular appraisal and personal development planning system is in place for all staff employed by the PCT.

9.7.6.2 There is appraisal documentation including a PCT policy, information for staff and uniform paperwork for staff across the PCT.

9.7.6.3 All those who carry out appraisals receive training in the implementation of the process.

9.7.7 There is an annual timetable for the completion of appraisal and PDP documentation.

9.7.7.1 The information is circulated to managers with sufficient notice to enable compliance with the timetable.

9.7.7.2 Appraisal and PDP is seen as a priority for staff management time.

9.7.7.3 An annual report is presented to the Board of the percentage of staff who have completed an appraisal within the set timetable.

9.7.8 A training needs analysis is completed from the collated information of staff PDPs.

9.7.8.1 The process results in the formulation of training priorities for the PCT, which are actioned.

9.7.8.2 Resources are identified to meet the training needs analysis priorities.

Red Amber Green **Competency Statement**

9.7.9 Training in leadership skills is available for all staff.

Examples of Evidence

9.7.9.1 Staff at all levels are encouraged to attend leadership training courses and other developmental opportunities available through the Modernisation Agency, NatPaCT, NHSU and other sources.

9.7.10 The PCT values the involvement of staff in training and development.

9.7.10.1 Staff are involved in training and development of other staff, patients and carers.

9.7.10.2 Lecturer / Practitioner roles are considered as are opportunities for Nurse Consultant posts as a vehicle for staff and service development.

9.7.10.3 Teaching practices are identified and their development supported.

9.7.11 The PCT actively links teaching and learning to recruitment and retention.

9.7.11.1 Learning and development opportunities are encompassed in job descriptions.

9.7.11.2 The PCT can show pro-active efforts to target development in work domains where recruitment and retention is problematical.

9.7.12 The PCT supports activity to encourage and sustain life long learning.

9.7.12.1 There is a life long learning strategy in place.

9.7.12.2 All staff are encouraged to keep professional development and training portfolios.

9.7.12.3 Trained facilitators, trainers, academics and mentors are available to provide educational leadership and support.

9.7.13 There is an identified budget for staff development, training and education activities.

9.7.13.1 The budget for development and training activities is equitably distributed throughout organisation and a balance is struck between organisational needs and personal learning needs.

9.7.13.2 Managers are aware of the resources available to them for staff development training and education, within their service or department.

Red Amber Green Competency Statement

9.7.14 There is protected learning time available for all staff.

Examples of Evidence

9.7.14.1 This is in place for all staff and links to PDPs and the organisational training and development strategy.

9.8 Staff benefits and childcare

9.8.1 Responsibilities for the development of staff benefits including childcare provision are reflected in the HR strategy.

9.8.1.1 The strategy includes the development and availability of guidelines and protocols on:

9.8.1.2 Effective communication of pension information.

9.8.1.3 Processes and systems for monitoring the age of the workforce.

9.8.1.4 Development of effective programmes to support staff approaching retirement age.

9.8.1.5 Staff to have access to childcare co-ordinators.

9.8.1.6 The development of staff handbooks which include promotion of flexible working arrangements, career break options, child care support and flexible retirement schemes.

9.8.1.7 These also link to the workforce development plan.

9.8.1.8 An assessment is undertaken of capacity to improve childcare facilities and there is a plan to implement the recommendations.

9.8.1.9 Support is available to employees who are carers as well those who are parents.

9.9 Staff attitude survey

Red Amber Green Competency Statement

9.9.1 A staff attitude survey is undertaken on an annual basis.

Examples of Evidence

- 9.9.1.1 The survey includes a variety of measures of the perception of staff of the PCT as an employing organisation.
- 9.9.1.2 The survey is designed in line with IWL principles to support work-life balance issues.
- 9.9.1.3 A collated report of the survey results is presented to the board, together with an action plan to address the issues raised.
- 9.9.1.4 The results of surveys are benchmarked over time to indicate trends and improvements.