NHS Education for Scotland

NES/23/65

AGENDA FOR THE ONE HUNDRED AND SEVENTY SEVENTH BOARD MEETING

Date: Thursday 23 November 2023

Time: **10:15 – 13:00**

Venue: Hybrid meeting: MS Teams / Room 3/4 Westport, Edinburgh.

1. **10:15 Chair's introductory remarks**

2. **10:16 Apologies for absence**

3. **10:17 Declarations of interest**

4. **10:18 Draft Minutes of the One Hundred and Seventy Sixth Board Meeting 28 September 2023** NES/23/66
   For Approval

5. **10:20 Matters arising from the Minutes and notification of Any Other Business**

6. **10:21 Actions from previous Board Meetings** NES/23/67
   For Review and Approval

7. **Chair and Chief Executive reports**

   a. **10:25 Chair's Report** NES/23/68
      For Information and Assurance

   b. **10:35 Chief Executive's Report** NES/23/69
      For Review and Assurance

8. **Strategic Items**

   a. **10:55 Draft Anchors Strategic Plan** NES/23/70
      For Review and Approval (C. Bichan)

9. Annual / Mid-Year Reports

a. **11:05 Annual Climate Emergency and Sustainability Report 2022/23 and Public Bodies Climate Change Duties Report 2022/23** — NES/23/72
For Review and Approval (J. Boyle)

b. **11:15 NES i.Matter Report** — NES/23/73
For Assurance (T. Ashworth-Davies)

c. **11:20 2023-24 Equality Outcomes Mid-Year Report** — NES/23/74
For Review and Approval (K. Hetherington)

10. Performance Items

a. **11:30 Quarter 2 Financial Report** — NES/23/75
For Review and Approval (J. Boyle)

b. **11:45 Quarter 2 Risk Report** — NES/23/76
For Review and Approval (J. Boyle)

11:55 COMFORT BREAK

Quarter 2 Performance Management Reports:

c. **12:05 Quarter 2 Key Performance Indicator (KPI) Report** — NES/23/77
For Review and Approval (C. Bichan)

d. **12:15 Quarter 2 Delivery Report** — NES/23/78
For Review and Approval (C. Bichan)

11. Governance Items

a. **12:25 Board Assurance Framework and Proposed Committee Assurance Frameworks: Update** — NES/23/79
For Approval (D. Thomas)

b. **12:35 2024-25 Board and Committee Meeting Dates** — NES/23/80
For Approval (D. Thomas)

c. **12:40 Co-opted Member Technology and Information Committee** — NES/23/81
For Approval (D. Thomas)

d. **12:42 Co-opted Member Education and Quality Committee** — NES/23/82
For Approval (D. Thomas)

e. **Significant issues to report from Standing Committees**:

12:45 Audit and Risk Committee, 5 October 2023
(J. Ford, verbal update)

12:47 Technology and Information Committee, 30 October 2023
(D. Garbutt, verbal update)

12:49 Staff Governance Committee, 2 November 2023
(A. Currie, verbal update)

12. Items for Homologation or Noting

a. **12:52 NES Standing Committee Minutes:**

- Audit and Risk Committee, 15 June 2023 — NES/23/83
- Technology and Information Committee, 29 August 2023 — NES/23/84
- Staff Governance Committee, 17 August 2023 — NES/23/85

13. 12:55 Any Other Business

14. 13:00 Date and Time of Next Meetings:

- Board Development Meeting: Extra meeting (Blueprint Self-Assessment) 19 January 2024
- Board Development Meeting: 25 January 2024
- Public Board: 8 February 2024
- Private Board: 8 February 2024

NHS Education for Scotland (NES)
e-mail: Chair & Chief Executive's Office ceo.nes@nes.scot.nhs.uk

NES/23/66

NHS Education for Scotland

DRAFT MINUTES OF THE ONE HUNDRED AND SEVENTY-SIXTH BOARD MEETING HELD ON 28 SEPTEMBER 2023, 11:00 – 12:50

*** This public Board meeting was held in hybrid format via Microsoft Teams and in-person at the NES office at the University of Highlands and Islands House, Inverness.***

Present:	David Garbutt (DG), (Chair) Jim Boyle (JB), Executive Director of Finance Olga Clayton (OC), Non-Executive Director Shona Cowan (SC), Non-Executive Director Anne Currie (AC), Non-Executive Director Jean Ford (JF), Non-Executive Director Lynnette Grieve (LG), Non-Executive Director / Employee Director Annie Gunner Logan (AGL), Non-Executive Director /Vice Chair Nigel Henderson (NH), Non-Executive Director Gillian Mawdsley (GM), Non-Executive Director / Whistleblowing Champion Karen Reid (KR), Chief Executive & Accountable Officer Emma Watson (EW), Executive Medical Director Karen Wilson (KW), Executive Director of Nursing / Deputy Chief Executive (Clinical)
In attendance	Christina Bichan (CBi), Director of Planning and Performance Rob Coward (RC), Principal Lead, Planning and Corporate Governance (For Item 09b) David Felix (DF), Postgraduate Dental Dean/Director of Dentistry Nick Hay (NH), Public Affairs Manager (to observe) Laura Howard (LH), Deputy Finance Director (to observe) Kevin Kelman (KK), Director of NHS Scotland Academy, Learning & Innovation Debbie Lewsley (DL), Risk Manager, Planning and Corporate Governance (to observe) John MacEachen (JMacE), Head of Corporate Communications Daniel McAfferty (DMcC), Associate Director NES Technology Services (to observe) Niamh Morrison (NM), Scottish Clinical Leadership Fellow (to observe) Claire Neary (CN), Manager, Communications (to observe) Pam Nicoll (PN), Associate Director, Medical (to observe) Helen Raftopoulos (HR), Assistant Director Health and Social Care (to observe) Ryan Reed (RR), Head of Programme, NHSSA, Learning & Innovation (to observe) Andrew Sturrock (AS), Director of Pharmacy Della Thomas (DT), Board Secretary / Principal Lead Corporate Governance Judy Thomson (JT), Director of Training for Psychology Service David Wilson (DW), Associate Director, NES Technology Services (NTS) (to observe) Christopher Wroath (CW), Director of NES Technology Services (Joined at Item 07b) Christopher Duffy (CD), Senior (Admin) Officer, (Minute Taker)

1. Chair's Introductory Remarks

1.1 The Chair welcomed everyone to the meeting and extended a particular welcome to Shona Cowan who was attending her first Board meeting as an official member of the Board. The Chair also welcomed Andrew Sturrock the new Director of Pharmacy, who will be a regular attendee at Public Board. He also welcomed Daniel McCafferty, David

Wilson, Debbie Lewsley and Laura Howard who were all attending as part of induction to their new roles. The Chair welcomed Niamh Morrison, Helen Raftopoulos and Pam Nicoll who were attending as part of their personal development.

2. Apologies for absence

2.1. Apologies for absence were received from the following Board member: Ally Boyle.

2.2. Apologies for absence were received from the following regular Board meeting attendees: Tracey Ashworth-Davies, Colin Brown, Lindsay Donaldson and Gordon Paterson

3. Declarations of interest

3.1. There were no declarations of interest in relation to any of the items of business on the agenda for this Board meeting.

4. Draft Minutes of the One Hundred and Seventy-Fifth Board Meeting 10 August 2023 (NES/23/54)

4.1. The Board reviewed the draft minutes and approved the August Board minutes with no changes required.

5. Matters arising from the Minutes and notification of Any Other Business

5.1. There were no matters arising in relation to the minutes of the last Board meeting. There were no notifications of any other business requiring consideration by the Board.

6. Actions from previous Board Meetings (NES/23/55)

6.1. The Board received the rolling Board action list for review and agreement. The Board noted that one action is now completed, one action is recommended for closure and seven actions are in-progress.

6.2. The action recommended for closure related to Key Performance Indicator (KPI) reporting on the NHS Scotland Youth Academy and this work will be picked up as part of ongoing Strategic KPI work.

6.3. The Board also recommended that the action relating to the COVID Inquiry and justice informed framework should be closed. It is very unlikely that NES will be called as a witness this year and the framework will be utilised as and when appropriate if any NES staff are called.

6.3 The Action list was agreed.

7. Chair & Chief Executive Updates

a. <u>Chair's Report</u> (NES/23/56)

7.1. The Chair presented a paper outlining his recent meetings and activity since the 10 August 2023 Board meeting, in his roles as Chair of the NES Board and a member of the NHS Scotland (NHSS) Board Chairs Group (BCG).

7.2. The Chair invited questions from the Board. The Board asked for more information on the meeting with the Professional Standards Authority. The Chair explained that the meeting discussed common areas of concern, not specifically to NES. There had been some

discussion about the growth of unregulated non-NHS treatments. The Professional Standards Authority would like to see regulation improvements. Physician Associates were also discussed, and they viewed Scotland as an excellent location to potentially introduce some new trials.

7.3. The Board then noted the report and the Chair moved onto the next item on the agenda.

b. Chief Executive's Report (NES/23/57)

7.4. The Chair invited Karen Reid to introduce this report.

7.5. Karen Reid highlighted the following items within the report for the Board's information:

a. The announcement of the appointments of Andrew Sturrock, Director of Pharmacy/Pharmacy Postgraduate Dean, Fiona Fraser, Associate Director for Innovation and Workforce Diversification and Gareth Hill, Associate Director in Nursing, Midwifery and Allied Health Professionals (NMAHP).
b. The publication of the programme for Government on 5th September. This year's programme for Government, 'Equality, Opportunity, Community' sets out the aims and ambitions of the Scottish Government (SG) over the next year.
c. The SG have commissioned NES as the strategic delivery partner for the National Centre for Remote and Rural Health and Social Care (the Centre), due to be launched in Autumn 2023. SG have committed £3.03m over 2023-2026 focussing initially on Primary Care as an initial proof of concept, with scoping work being carried out during the first 2 years of the Centre to develop potential expansion to include Social Care. Karen Reid thanked Emma Watson and Pam Nicoll for their contributions to this work.
d. The first meeting on the TURAS Refresh Project Board has been held, this is chaired by Angus McCann, Co-opted member of the NES Technology and Information Committee and has membership from SG.

7.6. Karen Reid invited executive colleagues to highlight any other particular aspects for the Board's information:

a. Emma Watson highlighted a new St Andrews Medicine programme (ScotCOM) that will see students completing their primary medical qualification in 5 years. It will be delivered in the community and not solely in hospitals. It has introduced multi-team working. The vision is that of a community hub staffed by doctors, nurses and pharmacists. Pam Nicoll is supporting a test of this work in both rural and urban practices.
b. Kevin Kelman drew attention to ongoing work focussing on external relationships. Fiona Fraser has been working with the Chief Scientist Officer to explore fellowship activity offered. NES are also working with the Centre for Sustainable Delivery and other national organisations to review how education and training can support innovation and entrepreneurship.
c. Kevin Kelman also referred to the TURAS Refresh project and noted that there are two tenders out. One is focussed on user research and the other is focussed on TURAS capabilities. It was also noted that underneath the TURAS Refresh project board there is also an internal working group meeting on a regular basis.
d. Karen Wilson highlighted a new App that was launched on 24 July 2023, 'Get the guidance in your pocket: Preventing infection in Social Care'. The App was discussed at the Education and Quality Committee on 14th September 2023 and will be demonstrated at an upcoming Board Development Session on 26th October 2023.
e. David Felix noted that on 1st November 2023 there will be major change to the delivery of dental services. The Chief Dental Officer has asked NES to develop

education resources. These were produced by Dental colleagues with the help of NTS colleagues for 25th September 2023. The feedback from the Chief Dental Officer and General Dental Practitioners has been very positive.

7.7. The Chair thanked Karen Reid for her introductory remarks and executive colleagues for their additional opening comments and opened the report for questions. During discussion, the following points were raised:

a. The Board discussed the work of the National Centre for Remote and Rural Health and Social Care, noting that the report highlighted that the scoping included primary care in the first year, but not social care. The Board asked if social care could be included at this stage as well. Karen Reid advised that this had been a policy decision made by SG.
b. The Board congratulated Karen Reid and her team for the recent NES corporate culture and inclusion webinar which had been very well attended, with good engagement. Karen Reid thanked the Board for their comments and reported that timings are being reviewed for the next webinar to encourage even more participation.
c. The Board referred to the extension of the National Care Service (Scotland) Bill at Stage 1 being extended to 31 January 2024 and commented that a move from a discussion about structures to the outcomes that will be achieved for people would be helpful. The Board noted that NES has invested in the establishment of the Social Care Directorate and asked if SG was intending to commission any activity from NES, further to us establishing this resource. Karen Reid reported that some information was forthcoming, and it was expected that we would receive something much more concrete in relation to commissions from SG in the next few weeks. The Board raised a point in relation to sustainability noting that it was pleasing to see NES representation at a recent conference promoting sustainable prescribing. Emma Watson added that the Medical Directors recently met with the Scottish Medicines Consortium and highlighted a significant gap in working on sustainability. Jim Boyle informed the Board that a detailed report on climate emergency and sustainability will be coming to the next Audit and Risk Committee on 5 October 2023 and then will be sequenced through Board thereafter.
d. The Board also noted the whistleblowing report and asked if some further information could be provided on the recent Scottish Speak Up Week Conference. Christina Bichan reported that she attended the conference virtually and confirmed it was a valuable and interesting day. She added that internal Speak Up Week communications will be distributed over the course of next week. She remarked that a third confidential contact will be promoted as part of the communications.
e. The Board asked for further information in relation to the changes to foundation recruitment. Emma Watson confirmed that this is a second iteration of change in a four-nation approach. She reported that previously foundation students were ranked according to their academic performance, meaning that some students could be under added pressure to gain additional qualifications. She advised that the academic assessment was removed 2 years ago. Emma Watson went on to remark that students were ranked on their performance in a Situational Judgement Test (SJT). She advised that because the medical profession is aware of quality, diversity and differential attainment the outcomes of the SJT were very skewed. She reported that Medical and Dental recruitment have been aiming for a more equitable process. In the new process 85% of students will get their first choice of programme compared to 72% in the old process.
f. The Board discussed a recent announcement by the Lord Advocate on the pilot of safer drug consumption facilities and asked if there was a potential role for NES to provide or develop any training. Emma Watson and Andrew Sturrock agreed to discuss this further with SG colleagues. **Action: EW and AS**

7.8. The Chair thanked Karen Reid and the executive team for the report and the Board moved onto the next agenda item.

8. Strategic Items

a. Draft Transformation Route Map (NES/23/58)

8.1. The Chair invited Karen Reid to introduce the draft Transformation Route Map which was presented to the Board for review and approval. Karen Reid remarked that an earlier version of the Route Map was presented at the 24 August 2023 Board Development Meeting for comment and discussion, ahead of being issued to NES staff for their review and feedback. She advised that the final draft being presented at the Board was prepared and informed by the feedback received. She reported that this will sit alongside a robust Organisational Development plan, which will support elements of culture and behaviour.

8.2. The Chair thanked Karen Reid for the introduction and asked Christina Bichan to make any additional remarks. Christina Bichan detailed the sections of the Route Map that had undergone development following feedback from the Board Development Session and confirmed these were all included in the draft now brought to the Board. She remarked that there have also been some minor amendments made to the graphics. Christina asked the Board to note that the Transformation Route Map will evolve over time. She advised that the Board will be updated of any significant changes through the Chief Executives Report.

8.3. The Chair thanked Christina Bichan for the additional comments and opened the meeting to questions.

8.4. The Board commented that the route map was an excellent document and noted that visible improvements had been made. The Board discussed the use of the term “wealthier” and if this would benefit from further clarification or a different term being used. It was agreed that the terminology used was consistent with current policy.

8.5. The Board approved the document and thanked Karen Reid, Christina Bichan and her team for their contribution.

9. Annual Items

a. Information Governance and Security Annual Report 2022-23 (NES/23/59)

9.1. The Chair invited Christopher Wroath to introduce this report which was presented to the Board for assurance. The Board noted that this report had already been scrutinised by the Technology and Information Committee at the 29 August 2023 meeting and it was approved for onward sequencing to the Board as it provides assurance to the Board in relation to the mitigation of strategic risk.

9.2. Christopher Wroath introduced the report which provided an annual overarching update on Information Governance and Security to the Board. He remarked that all the work undertaken by the information governance and security team, is reported.

9.3. The Chair thanked Christopher Wroath for the introduction and opened the meeting to questions.

9.4. The Board asked if there is any further information on the increase in Freedom of Information (FOI) activity, such as why these are made and who they are from. Karen Reid reported that in line with good practice we are unaware of who the FOI requests are from. She explained that where possible requests are redirected to information which is already in the public domain.

9.5. Karen Reid commended the recent results of a Network and Information Systems (NIS) audit where NES scored an 83% compliance rate. She reported that this was a significant

improvement on the previous compliance score of 43%. Christopher Wroath explained that NES have always been doing the right work, but that we weren't evidencing as well as we could have been. He reported that time and effort has been spent to provide excellent evidence for the most recent audit.

9.6. The Board confirmed the report provided assurance and approved the report. The Chair thanked Christopher Wroath and his team for all their work.

b. Feedback, Comments, Concerns and Complaints Annual Report 2022-23 (NES/23/60)

9.7. The Chair welcomed Rob Coward to the meeting and invited him to introduce this report.

9.8. Rob Coward highlighted that the report was presented to the Board for approval prior to publication on the NES website and submission to the Scottish Public Services Ombudsman and to SG. He advised that it had already received scrutiny at the 14 September 2023 Education and Quality Committee. He reported that it is an annual requirement for NHS Boards specified by the 2017 Patient Rights Directions and national complaints guidance. Rob Coward reported that the report contains relatively few complaints and focusses on how NES engaged with partners and collected examples of good practice.

9.9. The Chair thanked Rob Coward for the introduction and opened the meeting to questions and comments.

9.10. The Board noted that this report came through the Education and Quality Committee, where there was a rich discussion and the Committee had approved the report with some improvements highlighted for future reports.

9.11. The Board approved the report and the Chair thanked Rob Coward for his work on the report.

c. Caldicott Guardian Annual Report 2022-23 (NES/23/61)

9.12. The Chair invited David Felix to introduce this report.

9.13. David Felix introduced the report which was prepared to provide assurance to the Board in regard to NES compliance with the Caldicott Principles and was brought for Board approval. He advised that the report had been through the 29 August 2023 Technology and Information Committee, where it was approved. The Chair thanked David Felix for the introduction and opened the meeting to questions.

9.14. There were no questions on the report and the Board approved the report.

9.15. The Chair thanked David Felix and colleagues for producing the report.

d. Annual Delivery Plan (ADP) 2023-24 (NES/23/62)

9.16. The Chair invited Christina Bichan to introduce this report which was presented to the Board for approval before re-submission to SG.

9.17. Christina Bichan introduced the report. She advised that as per SG requirements for all NHS Scotland Health Boards, NES submitted the 2023-24 ADP in draft form in June 2023, further to approval at the NES 29 June 2023 Private Board meeting. NES's draft 2023-24 ADP has now been reviewed by the SG policy teams and some feedback has been provided to us by SG. This report provides the Board with an overview of the SG feedback and the amendments made as a result.

9.18. The Chair thanked Christina Bichan and opened the meeting to questions and comments.

9.19. There were no questions, and the Board approved the amendments for re-submission to SG The Chair thanked Christina Bichan and her team for their work.

10. Governance Items

a. Significant issues to report from Standing Committees

i. Staff Governance Committee held on 17 August 2023

10.1. Anne Currie provided a verbal update on the Staff Governance Committee meeting held on 17 August 2023. She advised that reports and updates were received on the following areas, National Trainee Services Team, Staff Carer Award, success of staff network groups, supporting armed forces employment programme, widening access framework, career progression and succession planning, workforce plan annual report, learning and development opportunities, health and safety annual report and the people and organisational development dashboard.

ii. Technology and Information Committee held on 29 August 2023

10.2. The Chair provided a verbal update on the Technology and Information Committee meeting held on 29 August 2023. He advised that reports and updates were received on the following areas, Information Governance and Security and the Caldicott Guardian Annual Report (which were both received by the Board at this meeting). The Committee also reviewed a pilot draft Technology and Information Committee assurance framework. Further to this it has been agreed that further work on the development of new Committee assurance frameworks will be suspended until future Committee structures have been developed for alignment with the new NES Strategy.

iii. Education and Quality Committee held on 14 September 2023

10.3. Annie Gunner Logan provided a verbal update on the Education and Quality Committee meeting held on 14 September 2023. She advised that reports and updates were received on the following areas, the development of the new NES "NHS Scotland Academy, Learning and Innovation directorate", Organisational Development Leadership and Learning activity, Feedback, Comments, Concerns and Complaints Annual Report 2022-23 (which was received by Board at this meeting), NES Research report, the Strategic KPIs relevant to Education and Quality Committee and a mid-year report on Equality and Diversity.

11. Items for Noting or Homologation

a. NES Standing Committee Minutes

i. Staff Governance Committee, 4 May 2023 (NES/23/63)

11.1. The Staff Governance Committee minutes were homologated.

ii. Education and Quality Committee, 11 May 2023 (NES/23/64)

11.2. The Education and Quality Committee minutes were homologated.

iii. Technology and Information Committee, 26 May 2023 (NES/23/65)

11.3. The Technology and Information Committee minutes were homologated.

12. Any Other Business

12.1 There was no other business requiring consideration at this meeting.

13. Date and Time of Next Meetings

- **Board Development:** 26 October 2023 at 10:15 – 13:30
- **Public Board:** 23 November 2023 in Westport, Edinburgh and via TEAMS at 10:15 – 12:45

13.1 The Chair thanked everyone for their attendance and closed the meeting at 12:50.

NES
October 2023
CD/DT/KR/DG
v.02

NES **NES/23/67**
Item 6
23 November 2023

Actions arising from Board meetings: Rolling list

Minute	Title	Action	Responsibility	Date required	Status and date of completion
Actions agreed at Board meeting on 28 September 2023					
7.7f	Chief Executive's Report	The Board discussed a recent announcement by the Lord Advocate on the pilot of safer drug consumption facilities and asked if there was a potential role for NES to provide or develop any training. Emma Watson and Andrew Sturrock agreed to discuss this further with Scottish Government (SG) colleagues.	AS/EW	23 Nov 2023	**Complete** Andrew Sturrock has discussed this and confirmed that currently there is not a role for NES. However, there are discussions ongoing across Pharmacy relating to Scotland's Drug Deaths Taskforce, Medication Assisted Treatment, and expanded roles for Pharmacy. These aspects may result in a need for further Education &Training. This has already been discussed with the Scottish Directors of Pharmacy Group that NES seek to play a key role in.
Actions agreed at Board meeting on 10 August 2023					
8.12	Q1 Financial Repot	The Board asked that in future reports the commentary and the material in Appendix 1 should match, in order to improve the presentation/grouping and flow of the report. Jim Boyle agreed to make these changes for Q2 finance report.	JB	23 Nov 2023	**Complete** This has been included in Quarter 2 reporting.
8.15	Q1 Risk Report	The Board suggested that the risk appetite relating to Strategic Risk 14 (Board	JB	23 Nov 2023	**In Progress**

Minute	Title	Action	Responsibility	Date required	Status and date of completion
		Governance) could require to be amended from adverse to cautious. Jim Boyle to explore this.			The Executive Team will be having a detailed consideration of all the strategic risks during December 2023, including risk appetite. This will be reported through to the Audit and Risk Committee in January 2024 and through to the Board in March 2024.
8.16 – 8.17	Q1 Risk Report	The Board suggested that a risk heatmap could be included in future risk reports and suggested other improvements relating to controls and risk appetite could be included in the ratings and the scorings.	JB	23 Nov 2023	**In Progress** The risk heatmap remains under consideration.
8.21	Q1 KPI Report	A contextual narrative will be included in the next Strategic Key Performance Indicator report to the Board, an explanation of terminology will also be included in the next report.	CBi	23 Nov 2023	**Complete** Action has been taken to ensure clear explanations and narrative within the Quarter 2 report.
8.27 – 8.28	Q1 Delivery Report	The key milestone section of the report will be made more meaningful to link back to the original milestone. Clarification will be provided on which impacts are internal and which are external and this will be incorporated for the next quarterly report to Board.	CBi	23 Nov 2023	**Complete** Action has been taken to increase the level of narrative and description whilst maintaining an appropriate level of detail. Narrative has been expanded to better reflect which impacts are internal and external and to better reflect this for items which are delayed.
Actions agreed at Board meeting on 25 May 2023					
10.3b	2022/23 Quarter 4 Risk Register Report	Ensure that future Risk Register Reports include shaded Gross and Net Score columns and additional context and information within the control ratings.	JB	23 Nov 2023	**Complete** This has been included in Quarter 2 reporting.

NES/23/68

CHAIR'S REPORT

David Garbutt, Chair of NES Board

20 November 2023

November 2023

Since the last Board meeting, I have attended the following meetings and events in addition to internal NES meetings, Board and Standing Committees. I also offer an update on the NES Corporate Governance Blueprint Self-Assessment process.

October 2023

1. I attended a meeting with other Chairs regarding the Aspiring Chairs Programme and to discuss the prospect of future vacancies for Board Chairs. There was agreement that we should support another programme for Aspiring Chairs commencing in 2024.

2. I met with the National Board Chairs and discussed our approach to an upcoming request by the Cabinet Secretary for a detailed review of primary care at the next Board Chairs Group meeting. A number of Chairs from Territorial Boards have already volunteered to speak at this, but national Board colleagues felt that there were elements which should be addressed by the National Boards.

3. I attended the Carer Positive award presentation to NES. Carer Positive is funded by the Scottish Government and the award incorporates 3 levels or stages, from **'engaged'** to **'established'** through to **'exemplary'**. NES was awarded the first level, "Engaged" in 2016. We have now been awarded the second level - 'Established'. As a Carer Positive employer NES has demonstrated that we help with issues related to workforce management and employee engagement, as well as wider social responsibility aims.

4. I attended the First Ministers Brave@Heart Awards at Edinburgh Castle as Chair of the Brave@Heart adjudication panel. We made 21 awards to members of the public and staff of the emergency services, and the panel recommended the award of four St Andrews medals for outstanding bravery. For the first time the panel also made two posthumous awards to the families of two police officers who had been killed on duty.

5. I attended the 2nd meeting of the National Performance Management Committee to evaluate Board submissions for their Executive cohorts.

6. I attended the Scottish Government/NES Sponsorship Meeting which was also attended by the Chief Executive and colleagues.

7. I attended the National Board Chairs meeting where we reviewed our plans for another round of Action Centred Leadership events.

8. I joined the Chief Executive to review the applications for the post of Dental Director and long listed a number of candidates.

9. I attended the Board Chairs Group meeting with the Vice Chair. This meeting was followed by the Board Chairs Group Meeting with the Cabinet Secretary.

10. I joined a Black History Month conversation with Professor Amjad Khan and a large number of NES colleagues. There was a lively debate and it was a

very useful session.

11. I met with the Director General (DG) for my 2nd term appraisal. This was extremely positive, and the DG made clear her high regard for NES and the work we do. She made a suggestion about collaborative work with NHS Grampian and their anti-racism plan. The Chief Executive is taking this forward.

November 2023

12. I attended the Annual General Meeting (AGM) of The Promise Scotland Board and reviewed the years progress. The Board then met with members of the Oversight Board which checks on delivery of The Promise. It has been agreed to repeat these meetings to ensure that the agendas are fully aligned, but with each playing their own role.

13. Together with The Chief Executive I carried out Chemistry fit Interviews for the long-listed applicants for the post of Dental Director. The led to the identification of a short list for full interview. This led to a further meeting to discuss the results of the candidates' psychometric tests.

14. I attended the third meeting of the National Performance Management Committee where a major part of the queries with Boards were resolved, and the Committee is close to signing off the appraisals for 2022/23.

15. I attended a meeting of the NHS Global Citizenship Advisory Board where we signed off protocols for staff secondments in support of the Scottish Government priority for supporting countries in Africa.

16. I attended the 10th Anniversary event of the NES led Psychology of Parenting Project (PoPP). This was an exceptional demonstration of collaborative working, community wealth building and excellent data tracking for outcomes.

Update on the Corporate Governance Blueprint Self-Assessment Process.

17. The Blueprint Questionnaire was issued by the Board Secretary on 3 November. We have until midday 1 December 2023 to complete the survey. Please could all members and regular attendees of the Board note the dates and prioritise completing it. The questionnaire will only take about 30 minutes of your time to complete.

18. We have agreed we will populate the optional evidence template and this will be completed by myself and Board Secretary. The purpose of the evidence template is to provide evidence of current documents or processes we have in place already and is used by the facilitator to prepare for the Self-Assessment meeting.

19. The NES Blueprint Self-Assessment Board Development Meeting is scheduled for Friday 19 January, 10.15-12.30 in Westport, Edinburgh. Everyone is actively encouraged to attend in person. The NES Improvement Plan will be prepared and scheduled to March 2024 Board for approval. It will be submitted to Scottish Government by their deadline of 31 March 2024.

David Garbutt
Chair

NES
Item 7b
23 November 2023

CHIEF EXECUTIVE'S REPORT

Professor Karen Reid, Chief Executive

November 2023

1. INTRODUCTION

1.1 The agenda for our November Board includes two significant strategic items for the Board's approval. As part of 2023-24 Annual Delivery Plan guidance received from Scottish Government, all NHS Boards have been asked to develop an Anchors Strategic Plan. This is the first time that NHS Education for Scotland (NES) has considered its role as an Anchor institution in a formal context and has provided an opportunity for us to set out our intentions as an Anchor institution and demonstrate our how work as a learning organisation can improve outcomes for local communities and the environment, both through our direct activities and the work we do to support partner organisations.

1.2 The Board will also receive the NES Learning and Education Strategy to approve in principle. Our Learning and Education Strategy is an enabling and underpinning strategy that flows directly from the commitments set out in our 2023-26 Corporate Strategy. The strategy sets out both how we will deliver education and training across the health and social care workforce and the direction, principles and priorities that will guide our future approach to fulfil our overall purpose and vision.

1.3 The November Board agenda also includes a suite of 2023-24 Quarter 2 performance items for approval that cover our financial, risk, and delivery position, including the second report setting out progress against our new strategic Key Performance Indicators (KPIs).

1.4 There are a number of governance items for review and approval, including an update on the revision of our Board Assurance Framework and the associated development of Committee Assurance Frameworks and paper setting out proposed Board and Committee Meeting Dates for 2024/25.

2. ANNOUNCEMENTS

2.1 **Laura Howard, Deputy Director of Finance**
I am very pleased to welcome Laura Howard as our new Deputy Director of Finance from 11 September 2023. Laura has a wealth of experience within NHS Scotland finance and prior to joining NES was Associate Director of Finance at NSS (National Services Scotland).

2.2 **Professor Judy Thomson, Director of Training for Psychology Services**
I am delighted to announce that Judy Thomson has received an Award of Honorary Status – Honorary Professorship by the University of Edinburgh. This is excellent news and is well deserved recognition for all that Judy has achieved over the years. Judy undertook her undergraduate degree and postgraduate professional training at the University of Edinburgh and since then has led the development of significant programmes of education in applied psychology, psychological therapies, and interventions during her career in clinical services and with NHS Education for Scotland.

2.3 **Associate Postgraduate Dental Dean for Dental Vocational Training**
Calum Cassie has been appointed as Associate Postgraduate Dental Dean for Dental Vocational Training and commenced in this role on 16 October 2023. Calum has extensive experience of primary dental care having worked as a general dental practitioner. He has had a long standing involvement in delivery of Vocational Training in Scotland initially as a trainer, subsequently as a scheme adviser and latterly as Assistant Postgraduate Dental Dean.

2.4 **Associate Postgraduate Dental Dean for Dental Workforce Development**
Dr Thomas Lamont has been appointed as Associate Postgraduate Dental Dean for Dental Workforce Development and will take up position in January 2024. He has a strong academic background and was a previous Scottish Clinical Leadership Fellow. His current role is Senior Lecturer in Restorative Dentistry in the University of Dundee. In addition, he holds a part time role within NES.

2.5 **NHS Education for Scotland Annual Review, 5 December 2023**
The NES Annual Review will take place on 5 December. The review will be led by Health Workforce Director, Gillian Russell and will focus on key achievements, the NES Strategy, Medium Term Priorities and the future sustainability of the health and social care workforce (including technology and innovation).

2.6 **NHS Education for Scotland Carer Positive Award Presentation**
Following the update given in the August 2023 Chief Executive's report the NES Board Chair (David Garbutt) and Deputy Chief Executive (Tracey Ashworth-Davies) were pleased to accept the “Established” Carer Positive Employer Award from Carer Positive Scotland on behalf of NES. A formal presentation took place on 3 October 2023. All NES staff were invited to join David, Tracey and the NES Parents and Carers staff network at a virtual event to acknowledge the achievement and present the award certificate. The certificate is on display at the reception, 102 Westport.

3 STRATEGIC UPDATES

3.1 A National Care Service (NCS) for Scotland

a. In October 2023 the Health, Social Care and Sport Committee restarted its evidence sessions at Stage 1 of the Bill. Currently Stage 1 must be completed by 31 January 2024. On 7 November Committee Convener Clare Haughey wrote to Maree Todd, Minister for Social Care, Mental Wellbeing and Sport, noting that based on oral evidence received from the Minister herself, COSLA (Convention of Scottish Local Authorities), local government and others, the Committee was of the view that it did “not have sufficient information regarding the precise implications for the Bill as introduced of the proposed shift towards a model of shared legal accountability to be able to recommence consideration and agreement of its Stage 1 report”. The Committee has therefore requested further information by 6 December, relating to Stage 2 amendments and seeking a response to 14 questions regarding implications of the accord with COSLA on shared legal accountability.

b. In relation to the co-design process, the second NCS National Forum took place on 30 October, with speakers including Maree Todd and Scottish Government Director for Social Care and NCS Development, Donna Bell. Summaries of the summer regional forums have now been published by the Scottish Government, outlining what people told them and what they will do next.

c. Both myself and Pam Dudek (Chief Executive, NHS Highland) are the Board Chief Executive representatives in the NCS group. This group comprises of SG, COSLA and NHS. The purpose of the group is to inform the development of the NCS Bill. We have been ably assisted in this task by other NHS Directors including Gordon Paterson (NES Director of Social Care).

3.2 National Centre of Excellence in Remote and Rural Health and Social Care

Remote and Rural Credential

We received several applications were received for the NES developed, General Medical Council (GMC) accredited rural and remoted credential, which was a major milestone. There are two routes to achieve the credential: the recognition route and the learner route. There have been applications for the recognition route to date, and we look forward to receiving several more over the next few weeks. The learner route will open in early 2024.

3.3 Sponsorship

A Strategic Sponsorship meeting between NES and Scottish Government's Workforce Directorate / Sponsor Team took place on 17 October 2023. The meeting covered a range of topics, including finance, NES funding, a review of our Strategic Framework and the format of our Annual Review scheduled for 5 December 2023.

3.4 COVID-19 Public Inquiry

a. NES has not received any formal requests to submit evidence to either the Scottish Inquiry or the UK Inquiry since our last Board meeting. NES continues to actively engage with all on-going requests from the Central Legal Office (CLO) and regularly attends all the CLO NHS Board COVID-19 Leads meetings to keep abreast of the progress of both of the Inquiries and the implications for NES. NES also continues to actively ensure mailboxes are retrievable once a staff member leaves NES.

b. The Scottish Inquiry "Health and Social Care Impact Hearings" are currently on-going. This includes Impact Statements from members of Care Home Relatives Scotland. The schedule of hearings and the link to the Scottish Inquiry You Tube page can be found here.

c. The UK Inquiry is currently considering Module 2 "Core UK Decision Making and Political Governance". Each of the UK countries will be treated individually. Scotland's preliminary hearing took place on 1 November 2023. Further information can be found here.

d. “Let's Be Heard”, the Inquiry’s listening project is the main way that the public can contribute to the Inquiry. It aims to give a voice to as many people as possible across Scotland. The national engagement period for “Let’s Be Heard” will run until 20 December 2023. This has been communicated to all staff via the NES intranet.

3.5 Climate Change Emergency and Sustainability

a. The Climate Emergency & Sustainability Group and the Executive Lead for this area, the Director of Finance, have prepared the Annual Report for 2022/23 for submission to the Scottish Government as well as the Public Bodies Climate Change Duties Report for 2022/23 for submission to the Sustainable Scotland Network. Both of these reports are presented for consideration by the Board at this Board meeting, and will be submitted by 30 November, subject to Board approval. These reports show that NES continues to make progress in helping the NHS in Scotland to address the challenges of climate change although, as with all Boards, this remains a medium to long-term goal, and will require work to be carried out over the coming years. NES has made good progress on this work over the last 12 months with the establishment of the NES Climate Emergency and Sustainability Group, and we will continue to make annual improvements in our performance.

b. Over the coming months, a comprehensive Climate Emergency and Sustainability Strategy will be developed for initial consideration by the Audit & Risk Committee and following that by the Board.

3.6 NES Corporate Improvement Programme

a. The Transformation Group continues to meet monthly. Since the last Chief Executive’s Report, progress of the Corporate Improvement Programme (CIP) includes: The Ways of Working & Property project has been establishing structures to ensure staff from across NES sites form focus groups to work with a lead advisor to develop (re)configuration plans for Glasgow, Inverness, and Dundee sites. The project has developed resources to support the implementation of the Once-for Scotland Flexible Working policies.

b. The Learning & Education Quality System project now has established workstreams with clear role responsibilities along with clearly identified deliverables. A series of workshops and related activities are now underway to develop proposals for the once-for-NES approach to learning & education quality.

c. The Turas Refresh project is working towards the submission of an Outline Business Case for future development of the platform by March 2024. To support this, external procurement is underway to ensure organisational stakeholder needs are understood, a supplier has been appointed. The technical review of the architecture and capability of the existing platform is at the evaluation of tender stage with a supplier to be appointed mid-November.

d. There has been significant focus on communications and engagement for transformation activity. There is now a dedicated place on the NES intranet for staff to find information on our transformation programme. Monthly all staff webinars are held on key spot-light themes and are supported by monthly director-led directorate townhall meetings where an organisational set of key message slides are cascaded. Positive feedback has been received from staff and the Joint Consultative Forum.

3.7 Whistleblowing – Delegated Executive Lead Report

Whistleblowing 2023/2024, Quarter 2 Update

a. In line with the National Whistleblowing Standards, this update presents our whistleblowing performance for the period 1 July 2023 to 30 September 2023 (quarter two 2023-24).

b. NES received one concern, which was related to learning reviews and safety investigations. During that said quarter, the case was under a stage two investigation. Our whistleblowing performance over 2022-2023 was noted in the Staff Governance Monitoring return.

c. In light of a recent verdict against a former neonatal nurse, the Scottish Government sought reassurance from all NHS Scotland boards on existing processes and systems, for the early identification, reporting and robust timely investigation of patient safety concerns. We noted the Staff Governance Standard, our 'iMatter'-related results, the staff networks, our Strategic Key Performance Indicators and our work as a strategic delivery partner on 'Leading to Change'.

d. Pamela Renwick, General Manager, Workforce was appointed as an additional “Confidential Contact”. This now increases our pool of Confidential Contacts to three. Additional work is underway to scope an additional contact.

e. The Whistleblowing Steering Group met during the said quarter and discussed the Confidential Contacts and preparations for the second national "speak up-week" (02 October 2023 to 06 October 2023).

f. All NES line managers are required to complete the line manager-level whistleblowing training. As of 30 September 2023, 271 line managers (78%) completed the e-Learning, with 78 yet to complete (22%). It is noted that compliance with 'essential learning' modules is included in this year's staff personal objectives.

3.8 John Robertson, Scottish National Director, British Medical Association (BMA)

The BMA announced the appointment of John Robertson on the 2 October 2023. John joined the BMA from Skills Development Scotland. I am looking forward to continuing to build on the engagement we have through our regular meetings.

3.9 Alex McMahon, Chief Nursing Officer (CNO), Scottish Government

Caroline Lamb, Chief Executive NHS Scotland and Director-General for Health and Social Care wrote to all NHS Chief Executives informing us that after a long service Alex McMahon, Chief Nursing Officer will be retiring by the end of May 2024. The Scottish Government announcement advised that a recruitment exercise will commence over the coming months for Alex's replacement. Alex has made a huge contribution to health and social care during his career. On behalf of the NES Board, I send our best wishes to Alex on his retirement.

4. DIRECTORATE UPDATES

4.1 Healthcare Science

a. We anticipate funding 24 clinical scientist supernumerary training posts for 2024. Of the 47 posts originally requested in May, we have been able to allocate posts to each of the 10 specialties that requested support.

b. Genomic counselling uses the clinical scientist training pathway as a route into its profession. We recently received a request from this group for training post support. We have advised that our next expression of interest from service for supernumerary clinical scientist training posts will be conducted in May 2024 for the September 2025 intake.

c. We have commenced a short project to help identify an education and development framework for career framework 2-4 'support' staff in healthcare science roles. We expect a working document by March 2024. A project officer has now been appointed to assist with this work on a sessional basis. The project is *Phase 3* of a wider Scottish Government commission held by the Nursing, Midwifery and Allied Health Professions (NMAHP) directorate. We have signalled to the programme board that, as part of the Healthcare Science work, we will run an impact assessment to test the utility of the framework.

d. In parallel with the support worker project, we opened support in late October 2023 for science graduates in support-worker roles to undergo assessment of their degrees by the Institute of Biomedical Science. Determining what additional learning is required to achieve full registration as a biomedical scientist helps the supply of laboratory staff into higher career grades. So far, we have offered 12 staff support, and we will continue to promote the scheme.

e. Dr Robert Farley, NES Associate Director for Healthcare Science, has been invited to co-chair the Scottish Government's Review of education pathways in Healthcare Science.

4.2 NES Technology Service (NTS)

a. **Turas Office365 (O365) single sign on –** To provide users with an integrated and consistent experience and enhanced security, we have released the option for users to sign into Turas using their NHS Scotland account (Office 365). This means users will no longer have to remember Turas specific login details. The O365 single sign on feature was launched on 6 September 2023. As of 16 October 2023, 6,140 users have signed into Turas with their NHS Scotland account.

b. **Student Indexing –** This new web application went live on 23 October 2023 with the objective of recording and maintaining student records and completion of training that can be reported to the relevant professional body. The NMAHP directorate are now adopting this for their student nurses and midwives, which means they are no longer using the Computerised Training Index (CTI) database which was hosted on legacy unsupported technology. The other benefit is that the indexing information received from the Higher Education Institutions (HEIs) can be bulk loaded and validated by the system which was previously done manually. Student records are created in the system which allows for maintenance of the record and recording completions which are then reported to the Nursing and Midwifery Council (NMC) (again this used to be done via the CTI database). The system also allows the tracking of International Nurses - employing board and Objective Structured Clinical Examination (OSCE) progress.

c. **Digital Front Door (DFD) –** Gavin Holt recently commenced as Head of Programme for DFD. Gavin was previously the Senior Product Manager for the Turas Vaccination Management tool which successfully supports the vaccination programme in Scotland. Work has commenced on the prototypes for the potential identity and verification solutions that will inform an evidence-based proposal to the DFD Programme Board around the Identity Verification solution for a Public Digital Health and Care Identity service. Engagements underway include NHS National Services Scotland (NSS) providing some of the other supporting services required for DFD and NHS24 providing trusted information for DFD. In relation to the National Care Service (NCS), NES is working in collaboration around the viewing and editing of Health and Social Care data.

d. **National Digital Platform (NDP) Demographics Service –** This service uses an international standard for representing patient demographics and provides a layer of abstraction above the current Community Health Index (CHI) system. This means that developers can add demographics functionality to their applications safe in the knowledge that the migration from the old system to the new system will be handled at the platform-level. The integration with new CHI was completed and new CHI went live on 1 November 2023. Since going live,

new CHI has experienced connection and performance challenges which have been highlighted to NSS and the CHI Programme. As the NDP Demographics service has a failover to the Rhapsody Electronic Master Patient Index (EMPI) this meant consumers of the NDP demographics service did not lose CHI connectivity, however there are some legacy data issues with this Rhapsody EMPI instance which cannot be fixed imminently. More robust failover plans are currently being investigated.

4.3 Medicine

a. **Quality Management of Medical Education** - In September and October, Quality Review Panels (QRPs) meet and review all data from the General Medical Council (GMC) National Training Survey (NTS) and the Scottish Training Survey (STS). Utilising the data, quality management processes are undertaken over the following six months. This year there will be: -

- 94 letters of good practice issued.
- 6 triggered visits undertaken.
- enhanced monitoring visits undertaken.
- re-visits undertaken.
- fact finding meetings.
- 61 Director of Medical Education (DME) enquiries.

b. Development of SMART objectives and increased engagement between NES and Health Boards has resulted in a decrease (44 to 13) in the number of visits. The improvements in medical education via co-production and collaboration result in improved trainee satisfaction, experience and improved patient care.

c. **Expansion posts, recruitment to Whole Time Equivalent and population need trainee allocations** – NES continue to work with Scottish Government to review requirements for increased numbers of training posts, aiming for whole time equivalent recruitment and appropriate trainee post allocation to meet Scotland's changing population and health needs. We are currently waiting for confirmation of numbers of expansion posts prior to a population need allocation process.

d. **Addressing Sexual Misconduct in Healthcare** - Recent publication of a sexual misconduct in surgery report[1] has highlighted an unacceptable culture of sexual harassment and assault in UK healthcare. NES has a responsibility to safeguard its employees and learners and to lead on effecting change to achieve a safe and supportive environment in healthcare in Scotland. Initial work has been undertaken within the medical directorate, led by the Chair of the Surgical Specialty Training Board (STB). Evidence suggests the issue is widespread and collaboration across NES and NHS Scotland will be key to delivering improvements.

[1] Sexual harassment, sexual assault and rape by colleagues in the surgical workforce, and how women and men are living different realities: observational study using NHS population-derived weight, British Journal of Surgery (November 2023)

4.4 Pharmacy

a. **General Pharmaceutical Council (GPhC) Accreditation of the Scottish Pharmacy Foundation Training Year (FTY) –** NES received notification from the GPhC (the pharmacy regulator) that Step 3a of the FTY Accreditation will take place on the 17 and 18 April 2024. The team is required to submit documentary evidence eight weeks prior to the event, demonstrating how the programme meets the 2021 Standards for the Initial Education and Training of Pharmacists – trainees completing this training year will be independent prescribers at the point of registration (2026 onwards). NES will be the first UK Statutory Education Body (SEB) to go through the Step 3a stage of accreditation.

b. **NES FTY Trainee Pharmacist cohort 2023-24** - In preparation for our GPhC FTY accreditation – we introduced standardised training start dates for our 2023-24 cohort with a July and November cohort intake in line with regulator deadlines. By the 6 November 2023, 212 NES funded trainee pharmacists had commenced in training with a further seven expected by the deadline on 10 November 2023. This is in addition to six non-NES funded trainee pharmacists who are supported on the NES FTY programme.

c. **International Registration for Pharmacists –** The GPhC are in the early stages of developing new standards and processes for internationally qualified pharmacists to register in the UK – there is no current route for registration within Scotland for internationally qualified pharmacists. The NES team have been involved in a series of workshops with the GPhC and stakeholders to develop the new standards; this is expected to continue into 2024.

4.5 Nursing, Midwifery & Allied Health Professions (NMAHP)

a. **Mental Health Nursing Forum Scotland Awards and Conference**
The Mental Health Nursing Forum for Scotland celebrated its 15th Conference and Practice Excellence Awards ceremony on 6 October 2023. The conference was opened by Maree Todd (Minister for Social Care, Mental Wellbeing and Sport) who formally launched the forthcoming national review of mental health nursing in Scotland with over 130 mental health nurses present from practice.

b. This year we have seen a change in the leadership of the Mental Health Nursing Forum with David Thomson (Head of Programme, NHS Ayrshire and Arran) standing down from the Chair role due to retiral and the sad passing of Vice-Chair Johnathan MacLennan (Head of Programme, Mental Health, Learning Disabilities & Dementia, NES). Future Co-Chairs will be Julia Wells (Chief Nurse, NHS Grampian) and Clare Lamza (Executive Nurse Director, Mental Welfare Commission). Winners and highly commended awards were presented across 12 categories of practice within dementia, community mental health, in-patient care, Child and Adolescent Mental Health Services (CAMHS), substance misuse, education, and forensic care. The overall winners award was presented to NHS Lothian for their 'Earn while you Learn' programme. While the day was reflective and emotional remembering Johnathan, the addition of an annual achievement award in his name was a fitting tribute. The inaugural Johnathan

MacLennan Award for Excellence was won within the physical health and wellbeing category by Amulree Ward for their 'Let's Get Active' initiative in NHS Tayside. We look forward to next year's conference and awards ceremony celebrating mental health nursing practice in Scotland.

c. **Technician to Paramedic Education Pathways –** NES is working in partnership with the Scottish Ambulance Service (SAS) to explore 'earn while you learn' education pathways from technician to paramedic: For 12 years, SAS and Glasgow Caledonian University have worked in partnership to deliver a Health and Care Profession Council (HCPC) approved 'Diploma in Higher Education (Dip HE) in Paramedic Practice'.

d. This SAS internal career progression route supported the technician workforce to 'earn-and-learn' to the point of eligibility to apply for professional registration as a paramedic. Due to changes in the threshold of training and education for paramedics, this route is expired with no replacement 'earn-and-learn' alternative. SAS is working in partnership with NES in an effort to re-establish an earn-and-learn technician to paramedic progression route. Phase 1 of this work explored potential viable options / solutions. A report has been produced, with the favoured option being a collaboration with the Scottish Qualifications Authority (SQA) and Higher Education Institutions. Phase 2 will commence collaboration with SQA and work will also be undertaken to establish costing implications. Scottish Government is funding a project officer from National Services Scotland to support this work.

e. The NES/SAS partnership is supporting this costing implications work whilst also exploring emerging advanced standing routes for technicians to join some of the HEIs delivering BSc paramedics in year 2 of their programmes. It is acknowledged this is not an 'earn while you learn' route and is not an option across all HEIs in Scotland.

4.5 NHS Scotland Academy, Learning and Innovation

a. **NHS Scotland Academy (NHSSA) –** The NHSSA continues to deliver its programmes, whilst also exploring several potential new workstreams. The impact of some NHSSA projects is evidently significant in reducing waiting times for a number of diagnostic tests as part of our imaging and endoscopy programmes. The NHS Scotland Youth Academy healthcare pathway is continuing with approximately 50 S4-S6 students registered across four health boards and 15 schools.

b. NES has agreed with Scottish Government (SG) to work on a commission, exploring an expanded role for NES as an apprenticeship provider. This will involve initial exploratory work in the remainder of 2023-24, with full scoping of different options, and recommendations to the NES Board and SG being completed during 2024-25.

c. **Innovation –** As an Accelerated National Innovation Adoption (ANIA) partner, NES has hosted two workshops. One for ANIA programme and project

managers specifically considering workforce and education needs of ANIA programmes. There is now an evolving workforce and education checklist to inform early consideration of needs, enabling a consistent approach. The second workshop, which involved all ANIA partners, mapped internal and external stakeholders to inform a communications timeline. This will increase understanding of ANIA programmes of activity and the potential these offer the service.

d. NES has initiated work to develop an orientation resource for staff recruited to ANIA programmes. This resource will inform and develop collective understanding in the service and aid consistency going forward.

e. The Innovation Design Authority (IDA) has approved the value case for the Type 2 Diabetes Remission Programme. As an ANIA partner NES will continue to contribute by supporting the design and recruitment to a national team. There is ongoing work with ANIA Digital Dermatology and Type 1 Diabetes Closed Loop System programmes, recruiting national teams and inputting to board workforce engagement.

f. NES is supporting Chief Scientist Office (CSO) fellowship learning sessions and the recruitment and selection of cohort 3. NES is now preparing for promotion and recruitment of two Clinical AI fellowships (medical) and is actively supporting the Clinical Entrepreneur Programme.

g. **Workforce Diversification** – A programme has been established to take forward defined project groups / activities resulting from the NES Medical Associate Professions (MAPs) report and recommendations. NES and Scottish Government (SG) are co-leading this activity which aligns with wider strategic workforce reform / innovation led by SG.

h. NES is engaging with North of Scotland services in support of the Morayshire maternity plan for Dr Gray's Hospital and integrated maternity care, specifically to meet maternity perioperative needs. A first workshop to key stakeholders in the region was delivered in conjunction with NMAHP colleagues in October 2023. Ongoing engagement is planned to further inform considerations for a diverse and responsive workforce model.

i. NES is contributing to the ongoing preparation of a new work-based degree qualification for Operating Department Practitioners (ODP).

j. **Turas Refresh –** The Turas Refresh Programme continues to make good progress with suppliers due to be appointed following tender exercises to undertake organisational user research and a technical review of the current Turas platform. The outputs from this work will be a key part of our discovery phase and informing plans for future work. We currently have five workstreams, with workstream leads all in place and support from the NES PMO (Programme Management Office) for the programme's overall delivery. Christopher Wroath (Director of NTS) has joined the programme as joint Senior Responsible Officer (SRO) alongside Kevin Kelman (Director of NHSSA, Learning and Innovation).

The new Head of Programme for Turas Refresh takes up post in November 2023. Governance and oversight of the programme is now in place and formal Terms of Reference are in the process of being finalised.

k. **Learning Strategy and Collaboration –** The NES Learning and Education (L&E) Strategy was reviewed at the Board development session on 26 October 2023. Amendments were made in response to Board feedback, and it was then passed to the Education and Quality Committee for comment and approval. An external consultation is being conducted and will close on 14 November. The L&E Strategy will be presented for Board approval, alongside the outcomes of the external consultation, on 23 November 2023.

l. The **Learning and Education Quality Systems** programme continues to make good progress with all seven workstreams now established and workstream leads in place. Discovery work is ongoing to determine the current policies and practices in place across NES, supported by the NES PMO. An 'all workstreams' session will take place in January 2024 to ensure learning across workstreams and planning for the development stages of the programme. An 'Education Lead' (Principal Educator) has been successfully recruited and will provide capacity and expertise across workstreams to ensure progress is maintained. The Project Board is considering efficient ways to gather views and input from across NES, taking account of the varied demands on people's time.

4.6 Psychology

a. **One Year Development Plan in Child and Adolescent Mental Health Services (CAMHS)** – NES Psychology continues to deliver the one-year development plan (1YDP) to provide enhanced level training to clinicians new to working in Child and Adolescent Mental Health Services (CAMHS). The training was developed in response to the Children and Young People's Mental Health Taskforce recommendations. Since 2019 260 clinicians, predominately nurses and allied health professionals across all territorial health boards have attended the 1YDP. The use of remote delivery has supported clinicians working outside the central belt to attend training and reduce their time away from frontline services.

b. NES Psychology works closely with health boards to ensure that the 1YDP continues to meet their needs. Using the NES-funded network of CAMHS learning co-ordinators, boards nominate clinicians to attend the training, and provide feedback on the learning needs of this group. The training is delivered in two overlapping cohorts per year. Health Boards report this is helpful as they recruit clinicians into post through the year, and the two cohort per year allows them to plan to spread new clinicians across cohorts, allowing them to better balance the demands of attending training and ongoing service delivery.

c. Demand for places on the 1YDP remains consistently high and the trainings are positively evaluated, Clinicians are reporting significant increases in knowledge

and skills following each workshop. Within the overall evaluation clinicians reported that the training was highly relevant, that they used the skills acquired and it had changed their practice. In response to the needs of clinicians and CAMHS services the following developments have recently been made:

- A pilot of increasing the cohort size from 30 places to 36 is underway for cohorts 7 (April 2023) and 8 (October 2023). This is being offered on a pilot basis to ensure that the quality and skills based focused of the workshops can be maintained with the larger cohort size.
- A pilot of an in-person risk assessment workshop. Clinicians will already have skills in risk assessment from their professional training and available TURAS modules. This workshop aims to provide an opportunity to practice skills and build confidence in risk assessment, formulation, and safety planning specifically with children and young people.

d. In addition, work is ongoing to transform the workshop on Physical Health Monitoring in CAMHS, so that it can be delivered to all clinicians in local CAMHS services in addition to those completing the 1YDP.

e. Matrix Launch – On 1 November 2023 Scottish Government (SG) held an event to launch a number of important national resources for psychological services in Scotland including the formal ministerial launch of an updated joint publication between NES and Scottish Government: *The Matrix: A Guide for delivering evidence based Psychological Therapies and Intentions in Scotland* (The Matrix). This sets out the best available evidence base for effective and efficient delivery of psychological therapies and interventions in Scotland and is a flexible, digital version of the highly regarded resource which was originally published by NES/SG in 2011 and was significantly updated in 2015.

f. We know the Matrix has been an essential tool used by services planners and practitioners to ensure the right people get the right therapies and interventions delivered by the right staff with the best available training and supervision. This most recent update incorporates additional features, including looking at wider implementation factors that might be relevant 'beyond the evidence'. That is, some psychological therapies and interventions have equivalent evidence of effectiveness, but we can help services understand more about the training, education and implementation factors. This will assist local decision-making on what future investment should focus on to support the ambition of best outcomes for the people using services in Scotland while being more accessible and searchable.

g. We plan to meet people with lived and living experience to establish what they would find useful. This is both in terms of informed, collaborative decision-making and what they can expect in terms of what psychological therapies and interventions might involve to reflect the proliferation of digital options both in terms of digital treatments and accessing traditional treatments in different formats such as online.

h. It is important to note that The Matrix is intended to be an iterative process. The evidence reviews which are available and published at the moment reflect a national prioritisation approach and we will continue to work with a wide range of stakeholders to complete the evidence reviews that are set out in the resource. Following the formal launch, NES Psychology will also be delivering a series of events over coming months specifically to highlight the new iteration of The Matrix and how it can usefully contribute to the delivery of evidence-based psychological therapies and interventions in Scotland.

4.7 Planning & Performance

a. **Communication and Engagement -** Following interviews with Audit Scotland in September 2023, NES provided a written submission as part of Audit Scotland's evidence gathering ahead of the 'NHS in Scotland 2023' publication, due in February 2024.

b. Our work around strategic collaboration continues, having recently signed two strategic collaboration agreements with the Digital Health and Care Innovation Centre (DHI) and the Open University in Scotland. Media statements have been agreed and will be jointly published along with planned social media activity.

c. The Corporate Communications team continues to promote NES's Transformation Projects, involving a number of different channels, including organisational webinars, Chief Executive stand-ups and monthly updated Townhall meetings for Directorates. A consistent Townhall PowerPoint presentation to promote NES's key messages and update staff on progress has also been shared with the organisation.

d. **Monitoring and Management of Performance** – Implementation of strategic Key Performance Indicators (KPIs) has continued, with additional KPIs being reported to the Board in 2023/24 Quarter 2, in line with the planned roll out. Development and refinement of metrics has also continued, with more KPIs scheduled to be reported to the Board in Quarters 3 and 4. Strategic KPIs have now also been delegated to appropriate Board Committees, with the reporting of strategic KPIs to Committees having begun with the Technology and Information Committee in October 2023 and the Staff Governance Committee at the beginning of November 2023.

e. **Board Services** – A Board Development session took place 26 October 2023 to discuss the NES draft Learning and Education Strategy, review the NES draft Anchors Strategic Plan and receive insights into exemplar work of the NMAHP Directorate. Board and Committee meetings have progressed as scheduled.

4.8 Social Care

a. The Social Care Directorate (SCD) has led discussions with the European Social Services Network to explore opportunities for NES to join over 170 existing members across 34 countries as a member organisation. The mission of this network is to advance the exchange of knowledge in public social services in partnership with health, education, housing, employment and social inclusion to benefit people and communities through improved policy and practice.

b. Along with the NES Technology Services Director, the Associate Director, Social Care has represented NES on the newly formed Social Care Data and Intelligence Programme Board chaired by the Director for Social Care and National Care Service Development at Scottish Government (SG). The Programme Board has been established to oversee, enable and help to prioritise work to improve the collection and use of social care data. The governance structure will provide greater strategic oversight, reduce duplication and improve co-ordination, and ensure an overarching programme approach.

c. Working with NES Quality Improvement colleagues, the SCD have contributed to the development of a National Improvement Framework. This work is led by SG and COSLA and aims to develop a national improvement programme for Adult Social Care Support and Community Health to improve experiences and outcomes for people who use adult social care support and community health services, unpaid carers and the workforce, while ensuring that the system has the capacity to improve to meet future needs and challenges.

d. In collaboration with the Scottish Refugee Council, the Director of Social Care is leading a group to explore 'Employment and Education Opportunities for Asylum Seekers and Refugees.' This group includes representatives from the Open University; Scottish Social Services Council; NHSS Academy; Colleges Development Network; Public Health Scotland; the Improvement Service; Centre for Workforce Supply; Prince's Trust and the Department of Work and Pensions. To discuss and promote the early work of this group, Director of Social Care has recently met with SG colleagues responsible for the Anchors Workforce Group, for Asylum and Refugee Integration and for Volunteering. He has also arranged to meet the Chief Executive of the Bridges Programme that leads on the Refugee Doctors Programme, to explore options for doctors who are unable to meet GMC requirements.

e. Colleagues from the SCD are providing professional advice and engaging in a review of recruitment into the Developing Senior Systems Leadership programme, in order to increase the applicants coming from Social Work and Social Care. Working with the faculty and external stakeholders we are revisiting past approaches and developing more proactive and focussed activity to target potential applicants, to raise their awareness of the focus and value of the programme and to encourage applications.

f. The SCD recently held a Directorate Development Day to review progress to date, engage with Business Partners from across NES, assess our contribution

to NES's new Strategic Plan and plan future activity for the remainder of this year.

4.9 Workforce

a. Succession planning in relation to a cohort of NES executive roles (and prioritised senior management roles) has resulted in a RAG rated analysis of succession risk provided to the NES Staff Governance Committee on 2 November 2023. Staff identified within the succession plan, together with their line manager, are accountable for developing, implementing, and reviewing Individual Development Plans. These will be reviewed as part of the 2024 annual personal review and planning process. The cohort succession plan will be formally reviewed in mid-2024. Consideration of succession planning with regards to a wider group of senior management roles is currently underway.

b. The NES Organisation Development (OD) Plan was approved by the Executive Team on 3 August 2023 and well received by the NES Partnership Forum and NES Staff Governance Committee at their consequent meetings. The plan identifies core organisational capabilities, aligned to the recently published NES Strategy, and was used to direct allocation of the Workforce Development budget for the 2023/24 financial year. The plan also focuses on 'culture', 'connection' and 'collaboration', as enablers in delivering the accountabilities and ambitions of NES.

c. There is a significant programme of transformational change underway across NES, facilitated by the Programme Management Office which operates as part of the Workforce Directorate. This includes three cross-organisational (tier 1) projects: Turas Refresh; Learning & Education Quality Systems and Ways of Working & Property as well as several smaller (tier 2) projects. Key focus is being placed on staff communication: monthly directorate ‘Townhalls’; CEO Stand Ups; all staff webinars and the NES intranet.

d. Recruitment in Quarter 2 of 2023/24 was marginally below the same quarter last year but an increase on the previous quarter reflecting the timing of funding being confirmed. Work continues reviewing arrangements for engaging contingency workers delivering services across NES.

e. The ‘Ways of Working and Property Project’ aims to evolve both NES ways of working and the management of office estate to meet the needs of staff, learners and partners whilst supporting sustainability and climate change aims. To inform the project, 691 staff participated in surveys across a broad range of teams during July-August 2023. The lease for NES’s Glasgow Central Quay office has been extended to October 2024 to allow NES to progress the case to relocate to a new site. Following consideration of options, a preferred property has been identified for proposed relocation in 2024, with a staff consultation of 60 days. The building is one of a small number in Central Scotland operating in as a carbon net zero site.

f. Hybrid working arrangements continue to enable sustainability and climate change ambitions with concentration focused on the training and development of line managers to ensure their confidence in managing teams. A staff Wellbeing Framework/Toolkit is also under development.

Calendar

18 September – 10 November 2023
This section of the report provides an overview of the meetings I have attended since 18 September 2023. Rather than list every date individually, where possible meetings have been grouped and additional context provided.

NES Executive Team (ET), Transformation Group (TG) and Strategic Implementation Group (SIG) - The NES Executive Team (direct reports to the Chief Executive) meets formally on a twice-monthly basis to focus on and consider strategic matters, collective strategic decision-making, strategic scrutiny, and cross-organisational leadership. During October 2023, the ET met weekly to ensure that key strategic decisions could be progressed.

The Transformation Group (TG), chaired by myself as Chief Executive, continues to meet and oversee transformation activity that is being taken forward to underpin the delivery of the NES strategy. The TG ensures clarity of direction and a focus on our people, partnerships, and performance. Membership comprises the NES Executive Team and other senior leaders within the organisation. TG meetings take place monthly.

The Strategic Implementation Group (SIG) meets for a business meeting once a month. SIG meetings are chaired by Karen Wilson (Executive Director of Nursing / Deputy Chief Executive (Clinical)) and Tracey Ashworth-Davies (Director of Workforce / Deputy Chief Executive (Corporate)).

NHS National Board Chief Executives (BCEs) - BCEs of the national Boards and Public Health Scotland meet fortnightly via Microsoft Teams.

NHS BCEs + Scottish Government - NHS Board CEs meet monthly for Private, Strategy and Business meetings. All Accountable Officers also meet monthly with Caroline Lamb (Director-General of Health and Social Care and Chief Executive of NHS Scotland). These meetings are held in a hybrid format.

NES
I continue to enjoy meeting with a range of NES staff either to discuss key NES programmes and initiatives or as part of their induction. In recent weeks I chaired two all-staff webinars covering the following topics: “What do we mean by Corporate Culture” and “our Transformation Projects”. The webinars are achieving high attendance levels from colleagues across the organisation and positive feedback has been received.

I held my first monthly all-staff ‘Stand Up’ session on 10 October 2023, which was a fantastic opportunity for me to engage with staff directly. I updated on recent key events and initiatives and staff also had the opportunity to ask questions. Over 300 colleagues were in attendance, and I look forward to using these sessions as a way to communicate and celebrate our work in NES.

On 24 October 2023 I chaired a session hosted by the NES Underrepresented Ethnic Minority Staff Network to celebrate Black History Month. Professor Amjad Khan, previously Director of Post Graduate GP Education in NES, came back to share his reflections of his career journey within the NHS. This was an excellent and insightful session which generated rich conversation among participants.

NHS Scotland
I have met with a wide range of colleagues across NHS Scotland since the last Board meeting including Chief Executives and other senior colleagues at, NHS Fife, NHS Grampian, NHS Lanarkshire, NHS Highland, NHS 24 and the Scottish Ambulance Service. I also Co-Chaired the Joint Negotiating Committee for medical workforce. I have been appointed co-chair of the NHS Scottish Partnership forum.

External Stakeholders - I continue to meet with a wide range of key stakeholders across health and social care. Since the last Board meeting, I have met with Chief Executives and senior representatives from the General Medical Council, British Medical Association, Open University in Scotland, University of St Andrews and The Royal Society of Edinburgh. I also had the pleasure of attending the Open University in Scotland Degree Ceremony.

Scottish Government (SG)
I have met with a number of SG colleagues since the last Board meeting including Donna Bell (Director of Social Care and National Care Service Development), Gillian Russell (Director of Health Workforce), Dame Anna Dominiczak (Chief Scientist), Alex McMahon (Chief Nursing Officer) and Julie Lusk (Scottish Government Advisor on Strategic Change).

In terms of wider SG meetings, I have attended the Leading to Change Programme Board, General Practice Task Group, Innovation Design Authority, Scottish Partnership Forum and the NCS discussion with COSLA/SG and NHS colleagues.

I also chaired the Mental Health and Wellbeing Workforce Education and Training Strategic Advisory Group Meeting and Chaired panel sessions at the Scottish Leaders Forum Conference.

NHS Education for Scotland **NES/23/70**
Item 8a
23 November 2023

Board Paper

1. Title of Paper

Draft NES Anchors Strategic Plan

2. Author(s) of Paper

Christina Bichan, Director of Planning & Performance
Alison Shiell, Planning & Corporate Governance Manager

3. Lead Director(s)

Christina Bichan, Director of Planning & Performance

4. Situation/Purpose of paper

4.1 This paper presents the draft NES Anchors Strategic Plan (ASP) to the Board for approval.

4.2 The paper also provides an overview of ASP reporting requirements that have recently been received from Scottish Government (SG). The full SG guidance (*Additional guidance on establishing a baseline to inform Anchor Strategic Plans*) is included for the Board's information at Appendix 1.

5. Background and Route to Meeting

<u>Anchor Institutions</u>

5.1 An anchor institution is an institution that – alongside its core function – plays a significant and recognised role in a locality or system by making a strategic contribution to the wider economy. Anchor principles provide an opportunity for organisations to look beyond their core functions and understand their wider roles in society, for example as an employer, procurer or advocate for carbon reduction, and how to do them better. By encouraging innovation and collaboration, organisations can take collective responsibility for improving health and reducing inequalities.

NHS Scotland – Anchors Strategic Plan

5.2 The Scottish Government (SG) Care and Wellbeing programme now includes an anchor work stream. The aim of this work stream is to support Scotland's health and social care providers to become active anchor organisations to help improve population health and reduce health inequalities in communities.

5.3 Public Health Scotland developed a draft framework (*Harnessing the power of anchor institutions: a progression framework for Scottish organisations*) to support the SG Care and Wellbeing programme. The draft PHS framework sets out 46 activities that can be taken forward by anchor organisations across five dimensions: *employer*; *procurement*; *environment, sustainability and assets*; *service design and delivery*; and *becoming an exemplar anchor*. Each activity is considered on a four-step journey from a basic starting point (Level 1) to best practice (Level 4). We will undertake this review within NES as part of establishing our baseline as an anchor institution and share the PHS framework with the Board once its content has been finalised.

5.4 As part of the SG NHS Scotland Annual Delivery Plan Guidance issued in February 2023, all NHS Boards were asked to outline the intention to develop an Anchors Strategic Plan (ASP) in their 2023-24 Annual Delivery Plan. These plans will help SG understand both the current position of NHS Boards as Anchor institutions and the additional support that could be provided at a national level by SG and PHS to assist their work.

NES Draft Anchors Strategic Plan - Route to Board

5.5 The Board received a presentation about NES's draft ASP at the Board Development session on 26 October 2023. Feedback from Board Members has been used to refine and strengthen the version that has been submitted to this Board meeting for review and approval.

5.6 NES's draft ASP was submitted to SG at the end of October 2023 as per SG submission requirements. The NES ASP will be an iterative document as we await feedback from SG on the content of our ASP and establish our baseline against the SG metrics set out in Appendix 1. SG have advised that feedback on our draft ASP will be issued in early 2024.

6. Assessment/Key Issues

NES Draft Anchors Strategic Plan - Content

6.1 As a national health Board with responsibility for education, training, workforce development, workforce data and technology for health and social care, NES operates in a unique position within our system and has the opportunity to leverage its scale and reach across organisation and community boundaries to improve health and wellbeing outcomes across every community in Scotland.

6.2 Our draft ASP sets out NES's intentions and contributions as an Anchor institution and demonstrates how our work as a learning organisation can improve outcomes for local communities and the environment, through both our direct activities and the work we do to support partner organisations.

6.3 We have used the headings provided in PHS's draft framework document (referenced in paragraph 5.3) to set out how NES's work can make a difference:

- Promoting a wellbeing economy
- Reducing poverty and inequality
- Net Zero contribution

6.4 The content of NES's ASP has been informed by directorate contributions and sets current 2023-24 and planned 2024-25 activities that will support the development of NES's Anchor institution status. Discussions have also been held with relevant NES cross-directorate groups.

6.5 Since the Board received the draft ASP at the October 2023 Board Development session, further contributions have been received from colleagues within the NES Medical, NMAHP and NES Technology Services directorates. This additional information provides further examples of work being taken forward to support our Anchor contribution.

6.6 The SG ASP Guidance contained specific guidance for National Boards. NES was also specifically asked to reference the following: 'Enhance local supply pipelines and cement each NHS Board's role as an 'anchor institution', for instance through our national approach to apprenticeships and community outreach.' Our draft ASP includes a number of initiatives that highlight our commitment to increasing apprenticeship opportunities and working directly with communities with the aim of supporting local people into health and social care roles.

<u>NES Draft Anchors Strategic Plan – Measurement and Reporting</u>

6.7 This is the first time that NES has considered its role as an Anchor Institution in a formal context. As such, there are a number of activities that need to be undertaken to establish our baseline and identify gaps and areas for improvement.

6.8 As noted in paragraph 4.2, SG have now published a set of metrics (Appendix 1) to support NHS Boards to establish a baseline to measure their impact as anchor institutions, which in turn will inform future ASP iterations. All NHS Boards have to submit their baseline (using 2022-23 reporting information) by 29 March 2024. NES will undertake this review alongside the completion of the PHS draft framework highlighted in paragraph 5.3. An EQIA for the NES ASP will also be completed.

6.9 The SG metrics guidance also confirms future ASP reporting requirements. All NHS Boards will be asked to measure progress against their baseline on an annual basis. Further guidance on submitting data for the 2023/24 reporting year will be issued by SG in 2024.

6.10 The governance of the NES's ASP will be considered as part of an upcoming planned review of our current Board and Committee governance structures.

7. Recommendations

7.1 The Board is asked to approve the draft NES Anchors Strategic Plan and note the associated Scottish Government reporting requirements.

Author to complete **checklist.**

a) Have Educational implications been considered?

☒ Yes
☐ No

b) Is there a budget allocated for this work?

☒ Yes
☐ No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒ 1. People Objectives and Outcomes
☒ 2. Partnership Objectives and Outcomes
☒ 3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒ Yes
☐ No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒ Yes
☐ No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒ Yes
☐ No

g) Have you considered a staff and external stakeholder engagement plan?

☒ Yes

☐ No

Alison Shiell
November 2023
NES

Anchors Strategic Plan

DRAFT

NES Vision - Supporting better rights-based quality care and outcomes for every person in Scotland through a skilled, capable and resilient health and social care workforce.

Foreword from Karen Reid, Chief Executive

In our changing world, it has never been more important to demonstrate the positive difference we can make in communities. There is a need for organisations to work collaboratively to address the issues facing society today including poverty, inequality and the climate emergency.

NHS Education for Scotland (NES) is committed to making a difference in local communities. We operate in a unique and privileged position within Scotland's health and social care system and our work plays an important role in improving Scotland's population health and reducing health inequalities. As a national organisation, the work we do affects everyone who works in and with health and social care services, and every person in every community in Scotland.

This document sets out NES's intentions and contributions as an Anchor Institution and explains how our work as a learning organisation can improve outcomes for local communities and the environment. By collaborating with our local and national partners we can utilise our expertise in the delivery of high quality education and training, skills development and employability and the innovative use of technology to support transformative change for current and future generations.

Karen Reid
Chief Executive, NHS Education for Scotland

An introduction to NHS Education for Scotland (NES)

NES helps people who work in health and social care to get the education and skills they need to provide good quality care for people in Scotland. We design and deliver education, ensure quality and standards, and use technology to enable staff to be skilled, confident, and motivated to provide better outcomes.

We work with the Scottish Government, local government, NHS, Health and Social Care Partnerships, social care providers, academia, regulators, and other strategic partners to create new roles and service and develop new and exciting career pathways for future generations.

In May 2023, we published our corporate strategy for 2023-26 centred around the themes of **People, Partnership** and **Performance**. We have outlined a bold ambition to create a health and social care workforce that meets people's needs as well as the needs of staff, carers, and the people of Scotland by working in partnership with our staff, learners and stakeholders. The heart of our strategy is centred on our fundamental belief in being adaptable, creative and responsive to the needs of the workforce and the communities they serve.

To support the delivery of our strategy and medium-term priorities, we have recently embarked on a significant programme of transformation. Our Transformation Route Map (summarised in Figure 1) sets out how we intend to deliver on our strategic intent over the next three years and the changes people will see and experience, both within NES and Scotland's health and social care system as we deliver our priorities.

Figure 1: NES's Transformation Route Map

NES's transformation journey is founded on four key commitments:

- **Co-Design Quality and Excellence**, by working with our partners and those with lived and living experience of health and social care services to shape our education, training and resources.
- **Connect and Collaborate**, by building relationships and extending our reach nationally and internationally to innovate and learn, adding value where it is most needed.
- **Cultivate Capabilities**, to build careers and a sustainable workforce which is fit for the future, both within NES and wider health and social care system
- **Create our Culture**, by being inclusive and reflecting our values and behaviours in all that we do to support, empower, and value our staff, partners and learners.

Over the next three years we will work with our learners, educators, partners and stakeholders to improve education and learning, using technology and innovation to create a better future for health and social care. Through our transformation journey we will create significant and sustainable long-term change by harnessing the energy, motivation and capability of our NES workforce and partner organisations and taking a holistic and integrated approach to service redesign. Our focus is, and will remain, improving people's health and care outcomes through a competent, confident and skilled workforce while supporting Scottish Government's policies.

Anchor Institutions

What is an Anchor Institution?

An anchor institution is an institution that – alongside its main function – plays a significant and recognised role in a locality or system, by making a strategic contribution to the wider economy. Anchor principles focus on organisations looking beyond their main function to understand their wider roles in society - for example as an employer, procurer or advocate for carbon reduction – and how to do them better, encouraging connection, experimentation and working across organisations and disciplines to take collective responsibility for improving health and reducing inequalities.

As a national health Board with responsibility for education, training, workforce development, workforce data and technology for health and social care, NES operates in a unique position within our system and has the opportunity to leverage its scale and reach across organisation and community boundaries to improve health and wellbeing outcomes across every community in Scotland. We are committed to advancing both our own opportunities as an Anchor institution and working with organisations across health and social care to support their local aims.

NHS Education for Scotland (NES) Anchors Strategic Plan

As part of the NHS Scotland Delivery Plan Guidance issued by Scottish Government in February 2023, all NHS Boards were asked to develop an Anchors Strategic Plan (ASP) which set out current and planned anchor activity which can be used to understand the current position of NHS Boards as Anchor Institutions and identify any additional support that may be required to develop and strengthen NHS Scotland's Anchor contribution.

NES's purpose is to be a collaborative, innovative and inclusive learning organisation that provides high quality education, training, workforce development, workforce data and technology for Scotland's health and social care workforce. By developing an Anchors Strategic Plan (ASP) we can demonstrate how our work plays an important role in improving population health and reducing health inequalities in communities through both our direct activities and the work we do to support partner organisations.

As an Anchor institution and through delivery of this ASP, NES will use its influence across workforce design and development, education, skills and employability, commissioning and procurement, as well as climate and land assets to positively impact economic, social and environmental priorities, working collectively with partners and the communities we serve. We will consider how we can support our partners with their own Anchor institution or Corporate Social Responsibility ambitions using our expertise as a learning organisation.

Our ASP sets out NES's intentions and contributions as an Anchor Institution and explains how our work as a learning organisation can improve outcomes for local communities and the environment. Using the headings provided in Public Health Scotland's *Harnessing the power of anchor institutions: a progression framework for Scottish organisations (REF),* we have set out our delivery intentions, focussing both on existing workstreams and those which are planned for 2024/25 and beyond, demonstrating our areas of focus in respect of:

- Promoting a wellbeing economy
- Reducing poverty and inequality
- Net Zero contribution

1. Promoting a wellbeing economy

A Wellbeing Economy can be defined as an attempt to measure the success of an economy by looking at the quality of people's lives, rather than using traditional attitudes and measures of prosperity such as GDP (Gross Domestic Product).[1] There is growing recognition that a move towards actively developing Wellbeing Economies is essential in helping to tackle the climate change emergency, protect the mental and physical health of citizens, and to tackle a range of challenges, such as growing wealth inequalities.[2] The Scottish Government describes a wellbeing economy as an economic system that operates within safe environmental limits, which serves the collective wellbeing of current and future generations first and foremost[3].

Through attracting people to careers in health and social care, NES can create jobs and boost the economy. Our work programmes ensure that those who work in health, social care and social work are skilled, confident and motivated to continually improve outcomes for people and improve the wellbeing of communities.

What we will deliver	
2023/24	**2024/25 and beyond**
Supporting Apprenticeships, Young People and Widening Access initiatives	
Delivery of the 2023/24 cohort of 74 Modern Apprenticeships in Dental Nursing.	Delivery of the Modern Apprenticeships in Dental Nursing programme, increasing the number of places offered to 100.
Recruitment of a graduate apprentice within the NES Technology Service (NTS) directorate. Expansion to between three and five apprentices within NTS, with a particular focus in the cyber security.	Outsourcing of the building of the digital application and components of the technology architecture for the Digital Front Door (DFD) programme to Scottish providers.
Provide expert input to a review of Once for Scotland health and social care contracting of apprenticeships and the development of 'earn as you learn' schemes.	Lead the review to update the existing Pharmacy Services Modern Apprenticeship to ensure that the relevant knowledge and skills are included for pharmacy support staff.

[1] *Wellbeing Economy Briefing*, Improvement Service (2022)
[2] *Wellbeing Economy Briefing*, Improvement Service (2022)
[3] Wellbeing Economy Governments, Scottish Government

What we will deliver	
2023/24	**2024/25 and beyond**
Supporting Apprenticeships, Young People and Widening Access initiatives	
Deliver a Healthcare Pathway pilot qualification for senior phase school students, through the NHS Scotland Academy. The pilot will run in five regions in academic school year 2023/24, with 40-70 students taking part.	Evaluation of the pilot to inform future years' activity.
Explore an expanded role for NES as an apprenticeship provider as part of delivering a new commission from Scottish Government Health Workforce Directorate.	Scope options and present recommendations for the future model of apprenticeship delivery, with a focus on supporting Boards to meet 'gaps' in existing apprenticeship provision.
Deliver the Armed Forces Talent Programme to support: • the upskilling and enabling of Health Boards to engage with the national approach to Armed Forces Community attraction and recruitment. • the delivery of a programme of direct engagement events with the Armed Forces Community.	Deliver the Armed Forces Talent Programme Year 2 delivery plan, working in partnership, and including expansion of engagement and support to the spouses and dependants of service leavers/veterans.
Benchmark current NES Widening Access activity and identify key supply pipelines and supply gaps.	Extend pipelines through the delivery of the NES Widening Access Framework and the development of partnerships with local supported employment providers, engaging with other local employers and partners through forums, such as Local Employability Partnerships.
Explore opportunities for and seek funding to support the development of roles which operate at regional level, working closely with Regional Workforce Planners and in partnership with NHS Boards, Higher Education providers, Local Authorities, Widening Access Partnerships, DYW Groups and other key regional/local partners to support widening access to medical training.	Further develop partnerships and identify regionally-specific actions which encourage medical undergraduate applications from under-represented groups.
Delivery of proactive support to the work being advanced by the Anchors Workstream Group in supporting recruitment of local people into health and social care roles.	
Provide qualified pharmacy technicians for workforce of NHS and community pharmacy via the pre-registration pharmacy technician scheme, delivered remotely in local community workplaces.	Raise awareness of pharmacy placements as part of the existing Social Services and Healthcare Foundation Apprenticeship to promote pharmacy careers within schools.

What we will deliver	
2023/24	**2024/25 and beyond**
Supporting the Current and Future Health and Social Care workforce	
Support undergraduate pharmacists through experiential learning funding longitudinal clerkships in remote and rural communities where students are placed in same geographical area.	Develop a case, in co-production with service, to reinstate the national centrally funded PTPT (pre-registration trainee pharmacy technicians) scheme.
Commission and deliver a range of education and training programmes which involve practice-based learning within local Health Board service areas.	Continuation of current programmes and initiatives, responding and adapting to service need for increased resource, where possible within funding parameters.
Deliver accelerated workforce programmes through the NHS Scotland Academy, in areas such as: National Clinical Skills Programme for Pharmacists Foundations in Perioperative Practice Programme Surgical First Assistant Programme Anaesthetic Practitioner Programme Assistant Perioperative Practitioner Programme Endoscopy Assistant Practitioner Programme Nursing & Midwifery Council (NMC) OSCE (Objective Structured Clinical Examination) Preparation National Ultrasound Training Programme National Endoscopy Training Programme National Bronchoscopy Training Programme	
Deliver the Medical Associate Professions (MAPs) programme to provide accessible education which meets locality needs and avoids the need for travel and related clinical service release.	
Identify and develop alternate roles such as Physician Associate and Anaesthesia Associate which provide additional routes of entry for individuals seeking a career in healthcare.	
Deliver the Enhanced Psychological Practice (EPP) Programme, increasing equality, diversity and inclusion by broadening the pool of practitioners in training, educating the practitioners about the role of the social determinants of health, including poverty, in creating health outcomes and health inequalities and then having practitioners in the workforce who can provide psychological interventions.	Continuation of the delivery of our programmes of education and training across Psychology that address early intervention and prevention of mental health difficulties and responses to trauma contributing to addressing inequalities.

What we will deliver	
2023/24	**2024/25 and beyond**
Supporting the Current and Future Health and Social Care workforce	
Via our Psychology education and training programmes, deliver MAP (Motivation, Action, Prompts) of Behaviour Change training aiming to equip all Health, Social Care and 3rd Sector staff with the knowledge/skills to talk to people about behaviour change and to deliver theory-based interventions which are person-centred and will promote positive health and wellbeing outcomes.	Continuation of delivery to increase knowledge and skills of the health, social care and third sector workforce to proactively support behaviour change in local communities.
Deliver the Psychology of Parenting Programme (PoPP) - aiming to remove barriers to parents accessing supports by providing these interventions for families across Scotland. Data shows these interventions are accessed at a disproportionately high rate by those families living within areas of high deprivation impacting positively on health inequalities and demonstrating accessibility to those with the highest level of need.	Continuation of the programme to provide ongoing access to interventions in communities which contribute to addressing inequalities.
Procure a work-based degree education programme for Operating Department Practitioners (ODP), providing an 'earn as you learn' approach and widening access routes to include access points such as those undertaking the NHSS Academy Assistant practitioner / perioperative programme enabling both employment and career mobility.	'Go live' of the articulation route for existing assistant practitioners and Health Care Support Workers, enabling existing NHS staff with appropriate experience to join ODP educational programmes at a later stage, enhancing both employment and career mobility with the potential to positively impact staff retention.
Through the Centre for Workforce Supply (CWS), which was established in 2021 to support the recovery, growth and transformation of the NHS workforce in Scotland (and now also includes a social care workforce remit): • work with partners to ensure that international recruits (nurses, midwives, social care workers, Allied Health Professionals (AHPs)) are treated fairly and with respect in line with the Scottish Code of Practice for International Recruitment of Health and Social Care Personnel. • mitigate against the risk of modern slavery through developing best practice guidance for employers.	Delivery priorities will be shaped in line with Scottish Government international recruitment targets and funding for 2024-25.

What we will deliver	
2023/24	**2024/25 and beyond**
Supporting the Current and Future Health and Social Care workforce	
The Scottish Government Healthcare Support Worker HCSW commission aimed to scope and recommend a nationally agreed framework to support definition of HCSW roles, career progression and development through education and training. Formalising national education for the HCSW workforce which will ensure a consistent career pathway which can lead to registered healthcare roles. Working with NES Workforce team to promote clinical HCSW roles as a positive career opportunity.	Further develop the HCSW roles and educational pathways in line with the outcomes of the SG nursing taskforce.
Enable access to NES employment opportunities for people across Scotland and increase the range of talent available to the organisation, through continuing to embrace hybrid working.	
Promote and utilise NES's asset re-use and IT equipment donation process as appropriate to support increased access to technology within communities.	
As an organisation that supports the health and social care workforce across the whole of Scotland, review all published Anchors Strategic Plans for NHS Scotland territorial/national health boards and consider how we (NES) can partner to support deliverables that positively impact communities.	

Promoting a Wellbeing Economy - the impact we will have
• Local supply pipelines will be enhanced and NES's role as an Anchor institution cemented. • Community wealth building will be supported and fair work opportunities for new employment and existing staff will be provided.

2. Reducing poverty and inequality

In May 2023 we published our corporate Communication and Engagement Strategy and set out our intention to reach beyond traditional NHS stakeholders, to social care providers and to public, private and voluntary bodies more generally, developing relationships and working collectively to maximise the societal impact that we make and our role in building careers, lives and the future sustainability of the health and social care workforce. We are working directly and intensively with our stakeholders to deliver work programmes that demonstrate our contribution as an Anchor Institution and make a positive difference within communities.

What we will deliver	
2023/24	**2024/25 and beyond**
Support the National Oral Health Improvement Programmes through the provision of Childsmile and other education and training with the aim of reducing health inequalities and improving oral health and access to oral care for priority groups.	Deliver six Childsmile module courses and two module updates to meet demand from Health Boards, as well as providing two Special Smiles sessions for up to 20 learners. A range of development sessions will also be delivered to meet the training needs of Childsmile staff in Health Boards, including Health board Coordinators, to support oral health programmes and reduce health inequalities.
Design education and launch the Operating Department Practitioner work-based degree programme, verified by the Health and Care Professions Council (HCPC). This degree programme will enable an 'earn as you learn' approach, promoting career opportunity and mobility into registrant professional roles.	Explore the development of an 'Earn and Learn' model for the Physician Associate degree qualification.
Assure equity of access via reasonable adjustments for those that we employ directly e.g., trainees on national programmes and GP trainees.	Work collaboratively with Health Board partners to ensure reasonable adjustments are easily available in a timely manner to all doctors in training, not just those who NES directly employ.
Support Less Than Full Time (LTFT) training for all trainees to increase equity of access and utilise data (from the Scottish Training Survey and General Medical Council (GMC) Training Survey) to consider the benefits and impacts of LTFT.	Aspire to recruiting to a whole time equivalent model to manage the impact of LTFT working on the workforce. Identification of trainees working LTFT to enable analysis as a cohort.

What we will deliver	
2023/24	**2024/25 and beyond**
Establish a standardised approach for all applicants utilising Medical recruitment processes in relation to specialist courses to ensure equity of access, particularly in relation to specialist course costs.	Continue to ensure through the Medical and Dental Recruitment and Selection (MDRS) recruitment group that all person specifications are aligned with Equality, Diversity and Inclusion principles.
Remote and Rural (R&R) credential accepted by the General Medical Council (GMC) and working collaboratively with the National Centre for Remote & Rural Health and Social Care, accepted by at least eight learners via the recognitions route during 2023, with the aim of launching the learner route in early 2024.	The learner route for the Remote & Rural credential will be opened following the recognition route being the pathfinders for this new and innovative credential.
Support appropriate travel for all Medical trainees to attend mandatory face to face training.	Input into an updated Once for Scotland policy for Travel and Relocation to ensure all trainees are treated fairly when they need to travel and relocate to meet training programme requirements.
Work with Health Boards and Scottish Government Bridges programme to support the refugee doctor programme.	
Deliver International Medical Graduate induction session both within NES and other Health Boards.	
Promotion and awareness raising of the work of the GP health inequality fellows already in post and the work being taken forward within all GP training programmes to support a reduction in health inequalities. Promote the new programme to dual train in both GP and Public Health, recruitment for which will begin in August 2024.	Increase the number of GP health inequality fellows and support multi-professional health inequality fellows
Ensure all medical schools have a strong community-based element within their curriculum	Work with Public Health Scotland and Specialty Training Boards to utilise regional demographics, disease profiles and projection as part of the workforce and post allocation reviews ensuring we have a healthcare workforce where it is required.

What we will deliver	
2023/24	**2024/25 and beyond**
Lead on the identification and development of opportunities to consider alternate workforce models including non- registrant roles as part of a wider programme of workforce diversification. Examples include: • ANIA (Accelerated National Innovation Adoption) workstream and diabetes related activity (assistant practitioner roles) • Engagement with Morayshire Maternity service/ perioperative considerations. This is specific and targeted activity to enhance planning and re-introduction of local services. • Non-medical GI endoscopy and Cystoscopy education programmes being open to mixed discipline staff, enabling enhanced career opportunity within localities and reducing need for learner travel to enable locally grown talent to develop and thrive.	Continuation of this workforce diversification activity into 2024/25 to target areas of need within the health and social care workforce.
Develop a NES Innovation Strategy that incorporates consideration of equity and enablement to ensure innovation potential and impact are positive and balanced in context of health and care target areas.	Develop a research strategy as a complement to the preceding Innovation strategy. This research strategy will incorporate considerations of equity and enablement when exploring impact and evaluation of education and training initiatives.
Progression of formal partnership agreements which enable enhanced working both strategically and at a local level with an example being partnership work between NES and the Digital Health & Care Innovation Centre (DHI) in Morayshire focussing on skills and simulation.	Build on existing partnership arrangements to identify further opportunities for collaborative work which enhances the benefits for people in Scotland through shared intelligence, understanding of need and potential for future impact.
Update our Support Worker Learner and Career Development Resources to provide existing staff with support to develop their roles and careers, providing accessible guidance for staff in roles that may face barriers development.	Deliver Phase 2 of the learning needs analysis research to identify learning and engagement needs of the existing Estates and Facilities workforce and development of proposals for a future Business and Administration Development Scheme.

What we will deliver	
2023/24	**2024/25 and beyond**
Deliver the National Centre for Remote and Rural Health and Social Care Programme to support delivery of improved care for remote and rural communities across Scotland through focussed work to improve the sustainability, capacity and capability of the remote, rural and island based primary care and community healthcare workforce.	Deliver the agreed 0-24 month targets for the National Centre for Remote and Rural Health and Social are on behalf of the Scottish Government and in partnership with a wide variety of partner agencies across the UK and internationally.
Development of the Digital Front Door (DFD) programme which will focus on reducing inequality through enabling access to wider data, services and information. It will support the people of Scotland with self-management, enabling them to access and contribute to their own health and care information.	Deliver version 1.0 of the national Digital Front Door (DFD).
Explore the development of appropriately accredited 'earn as you learn' options to provide a route for existing staff to progress to registration as pharmacists and allow health boards to grow their own workforce.	Explore the delivery of an MPharm utilising contemporary methods to increase accessibility to undertake the MPharm from all communities in Scotland, producing pharmacists who want to remain in these communities to live, work and learn meeting the service needs of patients.
Implement the NES Widening Access Framework, including the establishment of a strategic oversight, governance and planning process for all widening access programmes and activities in NES with a focus on action planning, prioritisation, reducing duplication and increasing collaboration.	Deliver the NES Widening Access Framework, widening access and participation activities through the development of partnerships and resources to maximise project level and departmental activity where appropriate.
Support the Scottish Government aim of a Scotland where everyone thrives by continuing to actively engage through delivery of public health workforce education initiatives in areas such as Blood Borne Virus (BBV)/sexual health and vaccination where the reduction of inequalities is a key driver.	
Promote the new vaccinator Health Care Support Worker (HCSW) role and associated career development opportunities.	Continue to support and promote the vaccinator Health Care Support Worker (HCSW) role and associated career development opportunities.

What we will deliver	
2023/24	**2024/25 and beyond**
Lead and facilitate the workstream on 'Education and Employment Opportunities for Asylum Seekers and Refugees' in collaboration with a range of partner organisations, through the NES Social Care Directorate, exploring the links that this might have with the Anchors Workforce Group.	Provide education and training, influence policy and strategy, promote wellbeing resources and support Fair Work ambitions for social care, recognising evidence of in-work poverty in this sector and growing awareness of the impact of poverty on health and wellbeing and healthy life expectancy.
Undertake anchor baseline assessment set out within PHS's *Harnessing the power of anchor institutions: a progression framework for Scottish organisations* to identify NES's current position and identify priority areas of focus going forward.	

Reducing Poverty and Inequality - the impact we will have
• Access to employment and careers in health and social care will be widened, reducing poverty and inequality. • The Scottish Government aim of a Scotland where everyone thrives will be supported. • Health inequalities in remote and rural communities will be reduced.

3. Net Zero Contribution

Within the NES Strategy 2023-26, we outlined our commitment to supporting the delivery of more sustainable care and helping tackle the climate emergency by ensuring these are key areas within our education, training and workforce development. This was further enhanced through our commitment to developing education and training products that encompass sustainability and climate change to develop the knowledge and skills of the workforce in protecting our environment and tackling the climate emergency as well as supporting health and social care professionals to deliver value-based health and care in a way which is meaningful to their roles and those they support.

What we will deliver	
2023/24	**2024/25 and beyond**
Deliver an increase in the amount of data supplied by the national reporting delivery company and in the frequency of reporting of business with Small to Medium Enterprises (SMEs). Building on current performance of: • 35% of our core trade spend (by value) with 270 SME's, equating to £5.9m. • Over 50% of all our transactions were with SMEs. • Spend of in excess of £770k with registered charities.	Further detailed analysis utilising the national reporting tool to improve our understanding of the opportunities available and develop operational targets in respect of procurement practice to drive performance.
Sign up to WARP-IT, the resource redistribution network, for any opportunities generated from imminent office moves.	Engage further with the NHS-wide NSS (National Shared Services) Community Benefits Gateway.
Oversee and monitor activities to support national policy through the NES Climate Emergency and Sustainability Group with a focus us: • reducing waste emissions across our estate, • the introduction of the salary sacrifice scheme for low emission vehicles, • planning the reduction in our property base, • sustainable technology services, • the move to online recruitment for doctors and dentists and • delivery of sustainable education and training across the clinical network.	Relocation of the Glasgow office to a new net zero property. Develop plans for other moves with climate sustainability at the heart of each programme.

Net Zero Contribution - the impact we will have
• Progressive procurement of goods and services with an increase in the % of spend with SMEs and registered charities. • Use and/or disposal of NES's land and assets will be to the benefit of the local community and local economy. • Scotland's ambition of becoming net zero by 2045 will be supported.

Measuring and Monitoring Impact

Governance

NES's ASP is included within a suite of corporate documentation which underpins delivery of the NES Strategy 2023-26 and our strategic Key Performance Indicators (Appendix 1). The development of an ASP is included as a deliverable in our 2023-24 Annual Delivery Plan (ADP) and the NES Board has overall accountability and responsibility for the delivery of our ADP. The NES Executive Team will have oversight of the delivery of the ASP operationally and the NES Board will receive quarterly update reports via national ADP reporting requirements. As part of an upcoming planned review of NES's current Board and Committee governance structures, we will consider how best to position the governance of our ASP going forward.

Performance Reporting

We will measure and report publicly on our performance through our strategic Key Performance Indicators and progress reports against our Annual Delivery and Medium-Term plans. We will also report on the required national Scottish Government Anchors Metrics to aid us in demonstrating our impact. NHS Boards are required to send through baseline metrics by 29 March 2024 and report on an annual basis thereafter.

Appendix 1: Overview of NES strategic Key Performance Indicators (KPIs)

NHS SCOTLAND

Delivery Plan Guidance

Additional guidance on establishing a baseline to inform Anchor Strategic Plans

November 2023

Scottish Government
Riaghaltas na h-Alba
gov.scot

Contents

Introduction 3
1. Background 4
2. Reporting 5
3. Future reporting 5
Annex A – Baseline of anchor activity 6
Annex B – Data sources and additional notes 11
Annex C – Engagement 13

Introduction

As part of the NHS Scotland Delivery Plan Guidance, issued in February 2023, the Scottish Government asked NHS Boards to develop the following:

> *'**a clear baseline** in relation to workforce; local procurement; and use or disposal of land and assets for the benefit of the community[1]'.*

The aim of the baseline is to support NHS Boards measure progress on their anchor activity to inform their Anchor Strategic Plans, as well as to provide an overview of the current position of NHS Scotland as an anchor institution.

This communication includes a template (Annex A) that NHS Boards should use to establish their baseline and which should be submitted to the Scottish Government by Friday 29 March 2024.

Further information on how the metrics were developed is outlined below along with a note on some caveats and limitations in relation to the proposed metrics and data sources.

[1] See Section 6.5 of the NHS Scotland Delivery Plan Guidance.

1. Background

1.1 Process to develop appropriate metrics

Scottish Government Health and Social Care Analysts, in collaboration with NHS Boards, have developed a set of metrics to support NHS Boards establish a baseline to measure their impact at a local level as anchor institutions.

The process of developing a set of metrics involved extensive engagement with stakeholders to explore and review existing data sources and metrics. Other existing frameworks, such as the UCL Partners Anchors measurement framework, were also reviewed. Three Boards – NHS Ayrshire and Arran, NHS Forth Valley, and NHS Lothian – tested the final set of metrics to identify any practical issues in reporting.

Feedback received through this engagement process was fundamental in ensuring that the final set of metrics are feasible, manageable, and proportionate for NHS Boards to report on. The metrics were signed off by the Place and Wellbeing Programme Board on 12 October 2023.

1.2 Caveats and limitations

While we are confident that the proposed metrics are robust and feasible measures to support NHS Boards baseline their impact as anchor institutions, there are a number of caveats that should be acknowledged.

Some of the metrics are relatively blunt measures for the complex and nuanced outcomes around reducing health inequalities at a local level. However, as such outcomes are challenging to measure with the existing data, the proposed metrics should provide the most robust measurement possible with the available data.

For the land and assets strand, identifying appropriate metrics proved particularly challenging due to the lack of meaningful data as well as the complexity of outcomes. We have therefore included two qualitative questions to elicit a narrative on community use and barriers, which we recognise will not lend themselves to year-on-year comparison. However, they will provide some of the nuance needed to understand the current position around use and disposal of land and assets.

There are some issues around data incompleteness for the agreed metrics, in particular for the self-reported workforce equalities data. Incompleteness of self-reported staff equalities data is an analytical issue across all employers and sectors, and while this limits conclusions and interpretation, such data still provide valuable insights and are used widely in analysis and policy development.

For workforce, we have asked about Scottish Index of Multiple Deprivation (SIMD) to capture deprivation data relating to the proportion of staff, applicants, and leavers, which will provide amongst other things useful insights into the workforce geographical spread. However, as SIMD is primarily a measure of area-based deprivation we recognise there are limitations to the conclusions that can be drawn using SIMD, particularly in remote and rural areas.

It should also be noted that in a number of instances, we are asking NHS Boards to report on data that they report elsewhere. This is to signal that these data should be included and monitored as part of their Anchor Strategic Plans.

2. Reporting

All NHS Boards are asked to establish a baseline for their anchor activity using the template in Annex A. The template should be completed and submitted to PAWSecretariat@gov.scot by **Friday 29 March 2024**.

To avoid additional burden on NHS Boards, the metrics draw on existing data. Data sources and additional notes to help complete the template are set out in Annex B.

The baseline reporting period for the metrics will be the financial year 2022/2023.

If you have any comments or questions regarding the completion of the template in Annex A, please contact PAWSecretariat@gov.scot.

3. Future reporting

The main aim of asking each NHS Board to establish a baseline is to support them measure progress on their anchor activity which should in turn inform future iterations of their Anchor Strategic Plans.

We recognise that if the metrics had been included with the guidance issued in June 2023, NHS Boards could have baselined their current activity to inform their Anchor Strategic Plan for 2023/24. However, the process of establishing appropriate metrics took significantly longer than anticipated due to the lack of appropriate data to measure complex outcomes.

Our intention is to ask NHS Boards to measure their progress against their baseline on an annual basis, and we will issue further guidance in 2024 on submitting data for the reporting year 2023/24.

It should be noted that we have agreed to review the metrics set out in Annex A once we have received the baselines, taking on board any feedback and comments from NHS Boards and other stakeholders.

Finally, we would like to recognise the significant input of the many individuals from the groups listed in Annex C who contributed to the process of identifying and agreeing the final set of metrics.

Úna Bartley Team Leader, Place and Wellbeing Programme

Return dates

Baseline for Anchor Strategic Plans 2023/24
Friday 29 March 2024

Annex A – Baseline of anchor activity

Reporting year: 2022/2023

NHS Board:

Workforce

Code	Metric	Response
W1	How many employability programmes were underway within your Board in the reporting year? (*Please refer to guidance note*)	
W2	How many people have you engaged through employability programmes in the reporting year?	
W3	Are you accredited as a Real Living Wage employer?	Yes/No If no, are you working towards being a Real Living Wage employer?
W4	Are you accredited as Carer Positive?	Yes/No
W5	Are you accredited as Disability Confident?	Yes/No
W6	Are you accredited as Equally Safe at Work?	Yes/No
W7	Are you accredited as Menopause Friendly?	Yes/No
W8	Are you accredited with the Young Person's Guarantee?	Yes/No
W10	Are you accredited with the Defence Employer Recognition Scheme?	Yes/No
W11	Do you publish a race pay gap?	Yes/No
W12	Do you publish a disability pay gap?	Yes/No
W13	Do you have a clear strategy for engaging with Local Employability Partnerships (LEPs) within your Board area?	Yes/No
W14	Does your Board have an identified LEP rep who attends regularly and contributes to the development, implementation and continuous improvement of the LEP Investment Plan? Please provide name and title for the rep(s) within your Board.	Yes/No Name and title:

Code	Metric	Response
W15	Please state if you are actively targeting one or more of the following groups, either through recruitment, employability programmes or progression schemes, or through working with partners e.g. LEP, college, university. (Please tick all groups that you are actively targeting). (*Please refer to guidance note*)	☐ Care experienced ☐ Carers ☐ Black and Minority Ethnic groups ☐ People living in the 20% most deprived areas ☐ Disabled people ☐ Gypsy Travellers ☐ Dependent on alcohol and drugs ☐ Homeless people ☐ Recently left prison ☐ Refugees and asylum seekers Priority family groups at risk of child poverty, please state which: ☐ lone parents ☐ young mothers (under 25 years old) ☐ minority ethnic families ☐ large families (with three or more children) ☐ families with a baby (under one) ☐ families with a disabled adult or child Other (please state):
W16	Do you have plans to systematically collect data on any of these groups?	Yes/No If yes, which groups:

Code	Metric	Response
W17	What is the distribution of your workforce by protected characteristics and SIMD in the reporting year? (*Please refer to guidance note*)	
W18	What is the distribution of your workforce leavers by protected characteristics and SIMD in the reporting year? (*Please refer to guidance note*)	
W19	What is the distribution of applicants and their success rate by protected characteristics and SIMD in the reporting year? (*Please refer to guidance note*)	

Procurement

Code	Metric ***(Please refer to guidance notes for each question below)***	Response
P1	What is your total spend on local businesses in the reporting year?	
P2	What percentage of your overall spend is on local businesses in the reporting year?	
P3	What is your total spend with SMEs in the reporting year?	
P4	What percentage of your overall spend is with SMEs in the reporting year?	
P5	What is your total spend on contracts with supported business in the reporting year?	
P6	What is your total spend with third sector bodies in the reporting year?	
P7	Please list all community benefits delivered through procurement during the reporting year.	
P8	What percentage of your newly awarded contracts are with suppliers that are Real Living Wage Accredited or committed to pay the Real Living Wage, for the reporting period?	

Land and Assets

Code	Metric	Response
LA1	How many asset transfer requests have you received to date? *(Please refer to guidance note)*	
LA2	How many asset transfers have been awarded to date? *(Please refer to guidance note)*	
LA3	Do you have a process in place for embedding anchor procurement activities in new developments? For example, working with local suppliers.	Yes/No
LA4	Do you have a process in place for embedding anchor employment and activities in new developments? For example, providing local employment opportunities (including apprenticeships) through direct or indirect employment through suppliers.	Yes/No
LA5	Do you have a process in place for embedding anchor sustainability activities in a) new developments (e.g. energy supply through renewable sources and utilising opportunities for energy generation where surplus energy can be used by target populations) b) existing sites (e.g. green space, café, bookable multipurpose spaces)? *(Please refer to guidance note)*	a) Yes/No b) Yes/No
LA6	Does your strategy for new building and estates development include provision for community use a) now (e.g. green space, café, bookable multipurpose spaces) b) in the future (e.g. disposal or redevelopment, suitability for conversion to housing, education)? *(Please refer to guidance note)*	a) Yes/No b) Yes/No
LA7	Do you have a process in place for engaging with the local community in planning the design and use of new developments?	Yes/No
LA8	Does engagement with the community on new developments include any of your	Yes/No

Code	Metric	Response
	Board's target populations and/or target organisations?	
LA9	Do you engage with other anchor partners in planning new developments (e.g. local authority, college, university)? *(Please refer to guidance note)*	Yes/No
LA10	Do you have a policy or strategy in place for local community use of existing land and buildings?	Yes/No
LA11	Do you have a process for local community to engage with the organisation to request use of existing sites?	Yes/No
LA12	Does engagement with the community on existing sites include any of your Board's target populations and/or target organisations?	Yes/No
LA13	Do you have a mechanism in place for community and partners to be notified of assets that are surplus/ could be transferred?	Yes/No
LA14	Please list the current use of land and assets by community groups and activity type (including retail space).	
LA15	Please list the known key barriers to use/disposal of land and assets by community groups.	

Annex B – Data sources and additional notes

Workforce metrics

Key data sources: Staff Governance Monitoring; NES TURAS.

Additional notes on Workforce metrics

- **W1:** Definition of Employability: Employability covers a range of activity to help participants gain skills, confidence and experience supporting them to progress towards and access employment opportunities, and to sustain and progress in work.
- **W15:** When we ask about the following groups – dependent on alcohol and drugs, homeless people, recently left prison – we are referring to a people with lived experience of addiction, homelessness and the criminal justice system.

  When we ask about 'Priority family groups at risk of child poverty' we are referring to those identified within the Government's Best start, Bright Futures: tackling child poverty delivery plan. We recognise the challenge in identifying these groups as they are quite specific, however we are seeking this information to understand where NHS employment could help to mitigate against child poverty, which we know can lead to health inequalities.

- **W17 – W18:** NHS Education Scotland will provide the data via Turas Data Intelligence by March 2024. When available, we will write to Anchor Leads with instructions on how to access the data.
- **W19**: NHS Education Scotland will provide the data via Turas Data Intelligence by March 2024, providing data sharing agreement is reached with sufficient time to undertake analysis and quality assurance. If available, we will write to Anchor Leads with instructions on how to access the data.

Procurement metrics

Key data source: Procurement Annual Report Annex A.

Additional notes on Procurement metrics

- **P1 – P2:**
  - 'Local' is defined using the invoice address as registered on Spike Cavell/DXC.
  - For territorial NHS Boards, local spend is classified as expenditure with suppliers whose postcodes within DXC Spend Analytics are located within the local authority areas covered by the territorial Health Board.
  - For national NHS Boards, local spend is classified as expenditure with suppliers whose postcodes within DXC Spend Analytics are located within Scotland.
- **P3 – P4:** 'Small and medium enterprises' (SMEs) means businesses with no more than 250 employees.

- **P4:** We are aware this is not reported as part of procurement annual reports. This should be calculated by dividing the total spend with SMEs in reporting year (metric P3) by your total overall procurement spend in the reporting year.
- **P5:** 'Supported business' means an organisation whose main aim is the social and professional integration of disabled or disadvantaged persons and where at least 30% of the employees of the organisation are disabled or disadvantaged persons.
- **P7:** Community benefits are defined as relating to training and recruitment or availability of sub-contracting opportunities; or which is otherwise intended to improve the economic, social or environmental wellbeing of the contracting authority's area in a way additional to the main purpose of the contract in which the requirement is included.

Land and Assets metrics

Key data source: Asset Transfer Request annual report.

Additional notes on Land and Assets metrics

- **LA1 – LA2:** This should be counted from the earliest available data on asset transfers up to and including the reporting year 2022/23.
- **LA5, LA6 and LA9:** We have provided examples of the types of activities that may feature as part of Anchors Land and Assets work however, these are not exhaustive.

Annex C – Engagement

To develop the metrics to support NHS Boards establish a baseline, we engaged with representatives from the following groups and organisations:

- Anchors Delivery Group
- Anchors Workforce Strategic Group
- Land and Assets Task and Finish group
- National Services Scotland
- NHS Ayrshire and Arran
- NHS Forth Valley
- NHS Lothian
- NHS Education for Scotland
- NHS Procurement Services Senior Management Team
- Procurement Task and Finish group
- Public Health Scotland
- Scottish Property Advisory Group
- Scottish Government NHS Workforce Policy
- Scottish Government Procurement Policy and Analysis
- Scottish Government Wellbeing Economy Analysis
- Supplier Development Programme
- UCL Partners (Health Foundation).

NHS Education for Scotland **NES/23/72**
Item 9a
Date of meeting: 23 November 2023

NES BOARD

1. Title of Paper

Annual Climate Emergency and Sustainability Report 2022/23 and Public Bodies Climate Change Duties Report 2022/23

2. Author(s) of Paper

Jim Boyle, Director of Finance

3. Lead Director(s)

Jim Boyle, Director of Finance

4. Situation/Purpose of paper

The purpose of this paper is to:

4.1 Present for review by the Board the 2022/23 Annual Report on the NHS Scotland Global Climate Emergency and Sustainable Development Policy and the 2022/23 Public Bodies Climate Change Duties Report. The obligation on all Boards to publish the Annual Report arises from the Policy for NHS Scotland on the Global Climate Emergency and Sustainable Development (the Policy), which was published by the Scottish Government in November 2021. The duty to report annually was also reinforced in the NHS Scotland Climate Emergency & Sustainability Strategy, published in August 2022. The instruction for Boards to comply with the Policy was contained in the Directors Letter DL (221) 38 and the 2022/23 report is due to be submitted by NHS Boards in Scotland by 30 November 2023. Following submission to the Scottish Government, reports then have to be published by each Board.

4.2 This report also contains at Appendix 2 NES' Public Bodies Climate Change Duties (PBCCD) Report for 2022/23. That report is submitted by all public bodies that are required to report annually in accordance with the Climate Change (Duties of Public Bodies Reporting Requirements)(Scotland) Order 2015, as amended by the Climate Change (Duties of Public Bodies: Reporting Requirements) (Scotland) Amendment Order 2020, which took effect for reporting periods commencing on or after 1 April 2021. Subject to Board approval, the report will be submitted to the Sustainable Scotland Network by 30 November 2023.

5. Background and Route to Meeting

5.1 All Boards are required to adopt the national Policy and Strategy and each Board has a requirement to report publicly and via its own internal governance processes each year. As part of that reporting, each NHS Scotland body must assess its contribution to the achievement of the United Nation's Sustainable Development Goals on an annual basis. The proposed draft report is attached at Appendix 1.

5.2 Furthermore, as an NHS Board, NES is a 'Major Player' under the terms of the Climate Change (Scotland) Act 2009 and has a legislative duty to submit an annual report on what it is doing to meet the statutory Public Bodies Climate Change Duties. This report must be submitted to Scottish Government, via the Sustainable Scotland Network, by 30 November each year and will cover the most recently completed financial year. The Public Bodies Climate Change Duties Report has seven sections:

Part 1: Organisational Profile

Part 2: Governance, Management and Strategy in relation to climate change

Part 3: Corporate Emissions, Targets and Projects

Part 4: Adaptation to the impacts of climate change

Part 5: Procurement actions and achievements regarding climate change

Part 6: Data Validation and sign-off Declaration

Part 7: Reporting on Wider Influence (recommended completion only).

5.3 The first six parts apply to the Board's own carbon emissions reduction, climate change adaptation and sustainable procurement activities. The draft Public Bodies Climate Change Duties Report is attached as Appendix 2 of this report.

6. Assessment/Key Issues

6.1 All Boards are required to adopt the new Policy and Strategy and each Board has a requirement to report publicly and via its own internal governance processes each year. As part of that reporting, each NHS Scotland body must assess its contribution to the achievement of the United Nation's Sustainable Development Goals on an annual basis.

6.2 Many of the provisions of the Strategy apply to the Territorial Boards, which have large buildings estates, use metered dose inhalers and anaesthetic gases, and have large vehicle fleets. Clearly none of these areas of activity apply in any significant way to NES and some of the other National Boards, but we still have an obligation to fully comply with both the Policy and the Strategy.

6.3 The Annual Report (Appendix 1) sets out the activities that we have been engaged in over the 2002/23 reporting year, and also contains details of NES own CO_2 emissions which remain low, as we continue with the remote/hybrid working model that we implemented during the Covid pandemic period. The report demonstrates that we have continued to see very significant reductions in business mileage compared to the period before 2020.

6.4 Appendix 2 of this report contains the Public Bodies Climate Change Duties Report for NES for 2022/23, to be submitted to the Sustainable Scotland Network on behalf of NES.

6.5 The major source of carbon emissions for NES is travel by staff in carrying out their duties. This has seen a very significant reduction as a result of the Covid pandemic and the move to a predominantly remote/hybrid method of working for staff. Although 2022/23 recorded an increase in emissions from the previous financial year through a general increase in activity, the carbon emissions for both years as a result of staff travel represented very significant reductions from pre-pandemic levels of over 80%. The emissions sources comparison with the previous year is shown below:

	2021/22 (tCO_2e)	**2022/23 (tCO_2e)**	**Annual Change (tCO_2e)**
Domestic Flight	12.9	21.3	8.4
Short-Haul Flight	7.3	21.8	14.5
International Flight	-	2.5	2.5
Rail	3.3	18.6	15.3
Car	29.0	50.0	21.0
Hotel	12.0	19.0	7.0
Electricity	2.4	2.4	-
Total	**66.9**	**135.6**	**68.7**

(tCO_2e = tonnes of CO_2 equivalent)

6.6 Although the emissions from travel in particular remain very low compared to pre-pandemic levels, a key focus of the Climate Emergency and Sustainability Group during 2023/24 and in future years will be to bring additional initiatives forward that can further reduce NES's carbon emissions and to support other Boards in their efforts to do likewise. It will be the intention to focus some of that work on developing how our education and training programmes can further build in elements of awareness of climate change and sustainability and behavioural change in clinical practice to widen NES's influence in this area.

7. Recommendations

7.1 Review and approve the proposed Annual Report for 2022/23 on the NHS Scotland Global Climate Emergency and Sustainable Development Policy, as set out in Appendix 1 to this report.

7.2 Approve the submission of the Annual Report to the Scottish Government by 30 November 2023, subject to any further amendments the Board may wish to see made.

7.3 Review and approve the proposed Public Bodies Climate Change Duties Report for 2022/23, as set out in Appendix 2 to this report.

7.4 Approve the submission of the Public Bodies Climate Change Duties Report to the Sustainable Scotland Network by 30 November 2022, subject to any further amendments the Board may wish to see made.

Author to complete **checklist.**

Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☐Yes
☒No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☐1. People Objectives and Outcomes
☐2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☐Yes
☒No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒Yes
☐No

g) Have you considered a staff and external stakeholder engagement plan?

☐Yes
☒No

Author name:
Jim Boyle, Director of Finance
Date: 15/11/23
NES

APPENDIX 1

NHS EDUCATION FOR SCOTLAND

CLIMATE EMERGENCY & SUSTAINABILITY

DRAFT ANNUAL REPORT FOR 2022/23

Introduction

This is NHS Education for Scotland's (NES) second annual Climate Emergency and Sustainability Report, covering the year 2022/23.

The planet is facing a triple crisis of climate change, biodiversity loss and pollution mainly as a result of human activities.

The World Health Organisation recognises that climate change is the single biggest health threat facing humanity. Health organisations have a duty to cut their greenhouse gas emissions, the leading cause of climate change, and influence wider society to take the action needed to both limit climate change and adapt to its impacts. More information on the profound and growing threat of climate change to health can be found here: www.who.int/news-room/fact-sheets/detail/climate-change-and-health

NES provides training and education to the entire NHS Scotland workforce and NES also supports the development of systems and data services to enhance the provision of digital healthcare in Scotland. NES is a key partner in ensuring that the Health and Social Care workforce has the right skills, in the right place, at the right time, for today and for future years.

In line with the wider NHS in Scotland, NES aims to become a net-zero organisation by 2040 for all our emission sources. NES does not provide direct clinical healthcare services to individuals within Scotland, we do not discharge harmful clinical gases, we do not generate clinical waste, we do not operate a vehicle fleet and we operate from only a small number of premises. As a consequence our direct carbon dioxide (CO_2) emissions are very low when compared to territorial NHS Health Boards in Scotland.

During 2022/23 NES employed 1,415 full-time equivalent people to directly provide its services. NES also acted as lead employer for around 6,300 doctors in training, as well as 270 dentists in training.

Leadership and governance

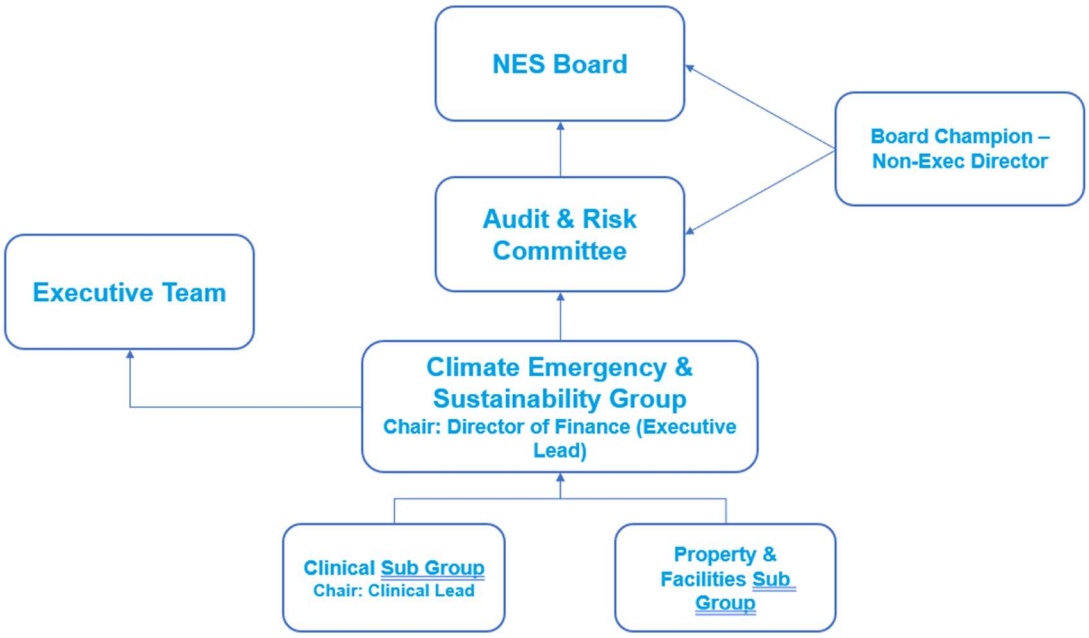
- The Sustainability Champion on the Board is Gillian Mawdsley, who is a Non-executive Director on the Board of NES
- The Executive Lead is Jim Boyle, Director of Finance, who is also an Executive Director on the Board of NES
- The committee with lead responsibility for climate change and sustainability is the Audit and Risk Committee

DRAFT

APPENDIX 1

- NES is showing leadership in tackling climate change and becoming environmentally sustainable in a number of ways
    - Supporting continued home and hybrid working to enable staff to carry out their duties where possible without the need to commute to offices
    - Where staff are required to travel, NES encourages and promotes the use of public transport and other sustainable forms of transport, such as cycling
    - Implementation of an employee salary sacrifice scheme to encourage the move to low-emission electric vehicles.
    - We are striving to build climate emergency and sustainability considerations into our education and training activities where appropriate, and we see this as the main focus of NES' contribution to helping to meet the Scottish Government's policy on Climate Emergency and Sustainability in future years.

The NES internal governance structure for Climate Emergency and Sustainability is represented as follows:



Raising Awareness of Climate Emergency and Sustainability

There have been a number of initiatives aimed at raising awareness of the issues around Climate Emergency and Sustainability right across NES. A Board Development session has already taken place on the issue, and further sessions will be scheduled. Board and Committee reports contain a checklist of NES and Scottish Government policies that should be considered when presenting reports and taking decisions, and Climate Emergency and Sustainability features highly on that list of policy considerations. This is aimed at ensuring that Climate Emergency and

APPENDIX 1

Sustainability actively features in discussions on NES business as a routine consideration, and not only when specific decisions are required.

Further awareness sessions will take place during 2023/24 with the wider NES workforce, emphasising the importance of incorporating climate emergency awareness and mitigation into NES' core work programmes. The intention is to constantly cascade the messages around Climate Emergency and Sustainability to the entire workforce and then onto the NHS and Social Care workforce that NES engages with.

NES regularly participates in and contributes to national events aimed at raising awareness of Climate Emergency and Sustainability issues and developing strategies to combat the effects of climate change. The Board Champion attends the Climate Emergency and Sustainability Champions Network, and the Executive Lead attends the national forum for Board Executive Leads, so we are constantly connected the emerging policies and strategies and other developments in this area.

The Board will continue to play an active role in this national work to make sure that our own core work aligns with national policy, and that we play a role in supporting the wider NHS in effecting change in how we manage NHS resources to mitigate the impacts of climate change.

National Sustainability Assessment

NHS Scotland has developed a National Sustainability Assessment Tool (NSAT) which all Health Boards used on an annual basis to measure their progress across sixteen different areas of sustainability. The completion of the tool has moved to a biennial basis, and so the most recent assessment period is 2021/22. The tool is administered and operated by NHS National Services Scotland (NSS), through direct engagement with other NHS Boards, in order to provide a score for each Board individually.

In 2021/22, the most recent assessable period, NES was rated as BRONZE with an overall score of 55% . This was a slight improvement from the previous year when the rating was still BRONZE, but with an overall score of 51%. Our three highest scoring areas were: People Welfare (80%), People Awareness (70%) and Governance & Policy (68%). Our three areas with the most room for improvement were: Waste Management (42%), Adaptation (43%) and Procurement (44%).

The ratings from this tool do indicate that NES can still make significant improvements in how it responds to the Climate Crisis, and the Board will be making efforts to improve its response as quickly as possible.

Climate Change Adaptation

The climate is changing mainly due to the greenhouse gases already emitted into the atmosphere. While efforts to reduce the rate and scale of climate change continue, we must also adapt to new conditions we are facing.

DRAFT

APPENDIX 1

As a national Board with relatively few properties, negligible levels of surgical gas emissions and waste discharge, the activities of NES have a much more limited impact on the environment than those of the territorial Boards. However, NES is a key organisation in driving health and social care practice in Scotland, and we have a responsibility to show leadership to those to whom we educate and train, as well as our own employees, in reducing the impact on the environment from health and social care practice.

For those properties that we operate, and the staff travel that we incur, NES has a statutory duty to ensure that those activities are conducted in a manner that is not detrimental to the country's efforts to reverse the catastrophic damage to the planet. We are required to comply with the same statutory obligations as the territorial Boards.

The changing climate is increasing risks for health and social care services. More information on these risks in the UK can be found in the UK Climate Change Committee's Health and Social Care Briefing available here:

CCRA3-Briefing-Health-Social-Care.pdf (ukclimaterisk.org)

NES takes the challenge of the climate emergency very seriously, and the Board stands ready to play a full part in meeting that challenge in whatever way it can, either through its own activities directly, or by supporting other Boards in their efforts. NES is ideally placed to support NHS Scotland by raising awareness of climate emergency and helping to disseminate information through education and training at all stages of the learning journey of the workforce.

NES has carried out awareness raising development sessions for the Board, with an emphasis on the importance of transforming our business activities to comply with climate change and sustainability requirements.

We have also established a Climate Emergency and Sustainability Group to manage and monitor the operational activities of NES to start to ensure that the impact on climate change and sustainability is at least neutral, and if possible, has a positive and beneficial impact. This impact will not be achieved in the very short term but will require a step-change approach to be adopted over the medium term.

The Climate Emergency and Sustainability Group has as part of its membership the Board's appointed Clinical Lead for Climate Emergency and Sustainability, currently the Postgraduate Dean of Dental Education. The Clinical Lead will coordinate and monitor activity across all of NES' clinical activities, to ensure that there is consistency across all clinical disciplines and that our programmes of work build in Climate Emergency and Sustainability elements wherever appropriate.

Travel and Transport

Domestic transport (not including international aviation and shipping) produced 24% of Scotland's greenhouse gas emissions in 2020. Car travel is the type of travel which contributes the most to those emissions. NES does not operate a fleet of vehicles, but our employees do routinely use their own vehicles and we also make

extensive use of public transport in carrying out the services within our Strategic Plan.

The reduction in travel brought about by the Covid pandemic in 2020 saw a significant reduction in business travel for NES, with all travel practically ceasing for a period of time, before increasing slightly as Scotland moved out of the initial stages of the pandemic. This also created a reduction in distances travelled through all forms of transport by NES employees as we moved to a predominantly remote and hybrid model of working. As a result, we saw substantial reduction in the CO_2 emissions generated by our business travel. From 2019/20 to 2022/23, we saw a 77% reduction in the value of our CO_2 emissions attributed to our business travel as set out in the table below:

		Amount of greenhouse gas (tonnes of CO_2 equivalent)				Percentage change from 2019/20 to 2022/23
Source	**Description**	**19/20**	**20/21**	**21/22**	**22/23**	
Business travel	Greenhouse gases produced by staff travel for work purposes, not using NHS vehicles, and also excluding personal commuting	493	58	53	115	-77%

This pattern shows that in the last three reporting years, we have seen a sustained reduction in business travel from the last full pre-pandemic year, 2019/20. With the continuation of remote and hybrid working, we see this as a long-term reduction in CO2 emissions from that source, and we will strive to reduce those emissions further, even from that low base point.

NES and the wider NHS Scotland are supporting a shift to a healthier and more sustainable transport system where active travel and public transport are prioritised, thereby reducing the need to use vehicles.

Prior to the Covid pandemic, NES already had a strong focus on delivering training and education, as well as our strategic and administrative functions, in a digitally-enabled manner. The pandemic increased the scope of this method of working, and involved significant technological investment. As we move out of the pandemic, a significant proportion of the workforce continue with remote and hybrid working as the default means of working. NES strongly supports this strategy for the future, not only to provide employee flexibility and choice, but also as a strong contributor to reducing staff travel and commuting. Although we will make adjustments as working patterns and aspirations settle post-pandemic, the remote and hybrid model will continue as the default work style.

NES strongly supports active travel for its staff and provides a number of initiatives to enable and promote this. We support and operate the Cycle to Work Scheme. We took a decision during 2021/22 to increase the scheme financial limits to allow

DRAFT

greater access to eBikes, to encourage more employees to participate in cycling to work.

As we look to reconfigure the NES buildings estate in the coming years, access to public transport will feature as one of the key options appraisal criteria, and we would be highly unlikely to support any options that involve employees, or those receiving our services, having any significant need for car transport.

Recognising that some form of car use will be inevitable for the delivery of our services for the foreseeable future, albeit with a policy of encouraging public transport and active travel, during 2022/23 NES developed proposals to implement a salary sacrifice scheme for ultra-low emission electric vehicles (ULEVs). The scheme was launched in July 2023, and has seen good take up by staff in the early months of operation.

While NHS Boards more widely are working to remove all petrol and diesel fuelled cars from their fleets by 2025, NES does not operate a fleet of vehicles, so our focus will be to reduce business travel through other forms and to offer more environmentally sustainable options.

Building Energy

We aim to use renewable heat sources for all of the buildings operated by NES by 2038.

NES operates from five buildings all of which are shared with other organisations. None are owned by NES and none are used by NES for direct clinical care. The buildings are:

- Westport, Edinburgh
- 2 Central Quay, Glasgow
- Centre for Health Sciences, Inverness
- Forest Grove House, Aberdeen
- Ninewells Hospital, Dundee

In addition to the above sites, NES also has a presence in the Dental Education Centres in Glasgow, Edinburgh, Aberdeen, Dundee and Inverness.

Like many employers that are continuing to operate in a remote/hybrid manner, NES is currently considering the reconfiguration of its buildings estate, as we are currently carrying excess capacity. Reducing the buildings footprint will help to reduce our overall CO2 emissions, and the reconfiguration will also be designed in a manner that reduces the need for our employees to travel. Reduction in CO2 emissions will feature heavily in the decisions we make around our future estate requirements.

Greenhouse gas equivalent data is not currently available on a consistent basis for all of the buildings occupied by NES. A key action point during 2023/24 will be to ensure that this information is provided by landlords and energy providers in a way that allows year-on-year comparisons to be made.

DRAFT

APPENDIX 1

However, as an example of the reduction in energy usage at our sites, the gas consumption in our Westport site reduced by 35% between 2019 and 2020 and reduced by a further 19% for 2021 and then stabilised at that level in 2022. We will work to drive forward this reduced consumption as we continue with our remote/hybrid working approach and as we reconfigure our estate.

NES is actively contributing towards the development of the Environmental Management System used by NHS Scotland which includes the monitoring of energy usage. Based upon Westport, we are using less energy than in previous years due to the move towards a hybrid presence and the impact of energy reduction measures in previous years, such as the introduction of Passive Infra-Red motion detectors for the lighting in our buildings.

In 2022/23, due to the nature and location of our shared estate, NES generated no energy from renewable technologies, but we do purchase energy that is generated from renewable sources.

What did we do last year to reduce emissions from building energy use?

Although no specific initiative was implemented to reduce energy usage, as a consequence of the move towards hybrid-based working, energy usage remains lower than pre-pandemic levels with reduced numbers in the office for work and training.

What are we doing this year to reduce emissions from building energy use?

We remain committed to identifying areas of reducing energy use. As part of our ongoing commitment towards the Net Zero Route Map, property projects will focus upon energy-efficient premises and this will form part of the criteria for selection of future estate. In addition, we will continue to work with landlords to ensure that energy efficient measures can be introduced where possible, including transferring supplies to the Scottish Government Framework where metering makes this possible.

Sustainable Care

The way we provide care influences our environmental impact and greenhouse gas emissions. NHS Scotland has three national priority areas for making care more sustainable – anaesthesia, surgery and respiratory medicine. NES does not deliver care services that directly generate CO_2 emissions, but a key focus of our work will be to ensure that our programmes of education and training fully recognise the importance of addressing climate change, and which embed best practice to make sure that NHS Scotland makes a contribution to Scotland's efforts to reverse the impacts. This will form a key part of NES increasing contribution to the overall effort of NHS Scotland to reversing the impacts of the climate emergency, and will require all of our programmes of work, where appropriate, to contain aspects of climate emergency and sustainability.

DRAFT

APPENDIX 1

The method of delivery of our core programmes has changed in recent years, primarily as a result of the response to the Covid pandemic. However, as we have moved out of the pandemic, we have continued to deliver a large number of our education and training programmes on a remote and hybrid basis. Similarly, our recruitment processes are now largely conducted on a remote/hybrid basis, which has been welcomed by those participating in the process. As well as capturing significant environmental benefits from a greatly reduced need to travel, this method of recruitment can also offer other benefits. It can reduce the costs for applicants and allow them to apply for a greater range of opportunities compared to when recruitment was held on a face-to-face basis. From that point of view, it can actually make the application process more accessible and equitable for a wider range of applicants, thereby increasing equality of opportunity.

Sustainable Procurement, Circular Economy and Waste

Earth Overshoot Day marks the date when our demand for resources exceeds what Earth can regenerate in that year. In 2020, the Global Earth Overshoot Day was 16 August, in 2021 it was 3 August, in 2022 it was 1 August and in 2023 it was 2 August. The current global trend shows a concerning picture of over consumption.

For the UK, the picture is more worrying. In 2023, the UK's Earth Overshoot Day was 19 May. The current level of consumption of materials is not sustainable, it is the root cause of the triple planetary crises of climate change, biodiversity loss and pollution.

NES aims to reduce the impact that our use of resources has on the environment through adopting circular economy principles, fostering a culture of stewardship and working with other UK health services to maximise our contribution to reducing supply chain emissions to net-zero by 2045.

What did we do last year to improve the environmental impact of the goods and services we buy?

According to the requirements of legislation all of our procurement documents contain a section devoted to Sustainability, which includes the NES Ethical Procurement Policy where suppliers must state their compliance to, amongst other issues, the environmental impact of supplying the goods and services.

We get regular quarterly measures on CO_2 emissions from all forms of transport and travel activities, and these are provided to the NES Climate Emergency and Sustainability Group.

What are we doing this year to improve the environmental impact of the goods and services we buy?

NES fully participates in the national Sustainable Procurement Steering Group, which discusses and shares best practice in this area.

DRAFT

APPENDIX 1

Management of Waste

NES wants to reduce the amount of waste we produce and increase how much of it is recycled. We only generate a tiny fraction of the amounts of waste that Territorial Health Boards generate from clinical activities and from the provision of meals for hospital patients, but nevertheless, NES will be continuing efforts to influence the amount of waste that we recycle and to reduce waste entering the cycle in the first place.

What did we do last year to reduce our waste?

The reduction in office-based activities during the pandemic meant that waste was not produced to the level of pre-pandemic years. We have continued to ensure recycling contracts remain in place and that contracts prioritise reduction in waste, including plastics and use of biodegradable items for packaging in our catering contracts.

What are we doing this year to reduce our waste?

We will remove those single use plastics we introduced as part of our infection control measures in shared spaces, and return to reusable items. For those contracts we are looking to retender, we will ensure that reducing waste is a key part of this, in particular, those projects involving changes to our physical space where the reuse and repurposing of existing items will form part of the project deliverables.

Environmental Stewardship

Environmental stewardship means acting as a steward, or caretaker, of the environment and taking responsibility for the actions which affect our shared environmental quality. This includes any activities which may adversely impact on land, air and water, either through the unsustainable use of resources or the generation of waste and pollution. Having an Environmental Management System (EMS) in place provides a framework that helps to achieve our environmental goals through consistent review, evaluation, and improvement of our environmental performance.

What did we do last year to improve our environmental performance?

As with many aspects of our core work, responding to the demands of the Covid pandemic in the 2020 and 2021 affected planned improvements in how we manage, monitor and improve our environmental impact. Now that we have been able to step back from managing the Covid response, we will refocus on that work up to make sure the Board can fully comply with the Policy for NHS Scotland on the Global Climate Emergency and Sustainable Development, and the NHS Scotland Climate Emergency & Sustainability Strategy.

What are we doing this year to improve our environmental performance?

DRAFT

APPENDIX 1

We will work to ensure that we can accurately measure the environmental impact of all of our activities across NES. We will also play a full part in the national groups which will share best practice and drive forward all of NHS Scotland's improvement work, aimed at playing a full part in national and international efforts to reverse the impacts of the climate emergency.

Conclusion

As a non patient-facing NHS Board, NES is not exposed to the main causes of production of CO_2 emissions that the Territorial Boards, and some of the National Boards are: operation of a large buildings estate; running a large fleet of vehicles; the production of large volumes of clinical and food waste; and the discharge of gases and propellants for clinical purposes. Nevertheless, we are required to be fully compliant with the Policy for NHS Scotland on the Global Climate Emergency and Sustainable Development and the NHS Scotland Climate Emergency & Sustainability Strategy.

NES will continue to drive improvements in the environmental aspects of our business practices, in particular how we measure the climate impact of everything we do.

However, our greatest contribution to NHS Scotland's efforts to minimise the climate impact of our health and social care services, will be to ensure that minimising the impact of those services on the climate emergency is fully built into all the programmes of education, training and employee development that we offer. By doing that, the wider workforce will be better equipped to make a positive contribution through all the work that they carry out.

As a Board, NES is now very climate aware, and we will ensure that we maintain our efforts to reduce our own CO_2 emissions, as well as supporting the wider NHS in Scotland.

DRAFT

Public Bodies Climate Change Duties Compliance Reporting Template 2022/23

1. Overview

This template is provided for public bodies required to report annually in accordance with the Climate Change (Duties of Public Bodies Reporting Requirements) (Scotland) Order 2015, as amended by the Climate Change (Duties of Public Bodies: Reporting Requirements) (Scotland) Amendment Order 2020 which took effect for reporting periods commencing on or after 1 April 2021.
Reports must be submitted to **ccreporting@ed.ac.uk by 30th November**. Late submissions will not be accepted for analysis and may be deemed non-compliant with Public Bodies Duties reporting requirements.

2. Guidance

1. The "Profile of Body" tab must be completed before proceeding to add any other data.

2. Question 1f must be completed to ensure the correct emission factors are applied in Q3b.

3. If you need to add more rows in any table please email the file ccreporting@ed.ac.uk

4. More emission factors from the UK Government (DESNZ) release have been included this year. When completing Q3b you can filter by the Emission Type dropdown in column C.

5. Please only use the "Other" emission source rows (130 onwards) when there is no relevant emission source in the dropdown lists or if you have bespoke data/emission factors. Please provide a brief explanation in the comment field.

6. The water supply and sewage emission factors are based on Scottish Water's carbon intensities of service supply, one of the lowest in the UK water industry. If you still wish to use the UK DESNZ (formerly BEIS) factors (which are more than double) you will need to enter consumption data in an "Other" row.

7. Some auto-checks have been added to improve the quality of data entries, e.g. correct emission scopes where only one category ever applies.

8. More detailed reporting guidance is available on the SSN website.

3. Colour Coding used in the template

	Dropdown box - select from list of options
	Uneditable/fixed entry cell
	Editable cell

PART 1 Profile of Reporting Body

1a Name of reporting body

Provide the name of the listed body (the "body") which prepared this report.

NHS Education for Scotland

1b Type of body

Select from the options below

National Health Service

1c Highest number of full-time equivalent staff in the body during the report year

1,415 THIS MUST BE COMPLETED

1d Metrics used by the body

Specify the metrics that the body uses to assess its performance in relation to climate change and sustainability.

Metric	Units	Value	Comments
Please select from drop down box			Not applicable to NES as a National Board
Other (please specify in comments)			

1e Overall budget of the body

Specify approximate £/annum for the report year.

Budget	Budget Comments
£706,842	

1f Report type

Specify the report year type

Report type	Report year comments
Financial	2022/23

THIS MUST BE COMPLETED

1g Context

Provide a summary of the body's nature and functions that are relevant to climate change reporting.

NES is a National Health Board, with it's principal purpose being to provide education and training to the whole of the NHS and social care workforce in Scotland. Although NES has a limited set of activities that cause CO_2 emissions, when compared to other NHS Boards, we still have an important role to play in enabling NHS Scotland policy aims to be met, regarding Climate Emergency and Sustainability. Our key aim will to raise awareness of Climate Emergency and Sustainability in the healthcare environment, and to drive forward improvements in clinical practice that will help to address the policy aims.

PART 2 Governance, Management and Strategy

Governance and management

2a How is climate change governed in the body?

Provide a summary of the roles performed by the body's governance bodies and members in relation to climate change. If any of the body's activities in relation to climate change sit outside its own governance arrangements (in relation to, for example, land use, adaptation, transport, business travel, waste, information and communication technology, procurement or behaviour change), identify these activities and the governance arrangements. Provide a diagram / chart to outline the governance structure within the body.

NES has recently appointed a Board Sustainability Champion, Gillian Mawdsley, and an Executive Lead for Sustainability, Jim Boyle, Director of Finance.

NES has an active Climate Emergency & Sustainability Group, with identified relevant directorate representatives and with other corporate representatives e.g. Travel and Transport, Procurement, Energy and Waste. Those representatives have been delegated with the responsibility for ensuring the planned implementation of sustainable development activities within their area of authority. The Climate Emergency & Sustainability Group also has representation form the Board's nominated Clinical Lead, who is currently the Postgraduate Dean of Dental Education.

The Board's objectives are to ensure that NES complies with the relevant elements of the public bodies duties of the Climate Change (Scotland) Act 2009, as well as the recently published Policy for NHS Scotland on the Global Climate Emergency and Sustainable Development.
A clear management strategy is required for NES to help achieve the Scottish Government's target of Net Zero 2045 (compared to previous levels), and we will comply with all national reporting requirements to monitor national and individual Boards' performance against policy.

2b How is climate change action managed and embedded in the body?

Provide a summary of how decision-making in relation to climate change action by the body is managed and how responsibility is allocated to the body's senior staff, departmental heads etc. If any such decision-making sits outside the body's own governance arrangements (in relation to, for example, land use, adaptation, transport, business travel, waste, information and communication technology, procurement or behaviour change), identify how this is managed and how responsibility is allocated outside the body. Provide a diagram to show how responsibility is allocated to the body's senior staff, departmental heads etc.

Climate change action is managed by the NES Climate Emergency and Sustainability Group. The Terms of Reference of the Group contain the following key responsibilities:

The Group will meet on a regular basis to consider NES' ongoing response to the climate emergency, and how NES will support the goal of NHS Scotland becoming a net zero greenhouse gas emissions health service by 2040 or earlier.

The Group will be responsible for the production and the subsequent updating of the NES Climate Emergency & Sustainability Strategy, for consideration by the Executive Team, the review and approval of the Audit and Risk Committee and final approval by the NES Board.

The Group will set Climate Emergency and Sustainability targets, including, but not limited to:
- direct CO_2 emissions generated from the operation of NES's property estate and from staff and trainee travel in relation to NES's operational activities;
- incorporation of Climate Emergency and Sustainability awareness and mitigations into NES's programmes of education and training

Initially these will be operational targets for consideration by the Group, and some of these targets may be escalated up to augment the Strategic KPIs already approved by the Board in relation to Climate Emergency and Sustainability.

The Group will act as a forum for discussion on an ongoing basis, on how NES can drive forward a programme of continuous improvement in its core activities in relation to the Climate Emergency and Sustainability agenda. Furthermore, the Group will consider how NES can participate in regional, national and international initiatives to improve the performance of healthcare systems in relation to the Climate Emergency and Sustainability agenda.

Consult and communicate appropriately with the Director of Finance and the Clinical Lead so far as to support and enable the successful discharge of their delegated responsibilities for NES Climate Emergency and Sustainability matters.

Identify total expenditure and areas of expenditure of Climate Emergency and Sustainability activities for reporting purposes.

Serve as a means of consultation with representatives of the NES workforce on the selection of appropriate Climate Emergency and Sustainability arrangements and to recommend ways of improving the overall Climate Emergency and Sustainability performance of NES.

Input to the production of and review of Climate Emergency and Sustainability reports that are required by the Scottish Government, the UK Government, the Sustainable Scotland Network, relevant

Strategy

2c Does the body have specific climate change mitigation and adaptation objectives in its corporate plan or similar document?

Provide a brief summary of objectives if they exist.

Wording of objective	Name of document	Document Link

2d Does the body have a climate change plan or strategy?

If yes, provide the name of any such document and details of where a copy of the document may be obtained or accessed.

The NES Climate Emergency & Sustainability is currently working to produce a Strategy for the Board, and it is anticipated that it will be presented to the Audit & Risk Committee in January 2024 and to the Board in March 2024.

2e Does the body have any plans or strategies covering the following areas that include climate change?

Provide the name of any such document and the timeframe covered.

Topic area	Name of document	Link	Time period covered	Comments
Adaptation				
Business travel	Travel & Subsistence Policy		Updated 2017	
Staff Travel	Flexible Working Policy			This is currently being revised in the light of the Ways of Working & Property project, a key component of the NES transformation programme
Energy efficiency				
Fleet transport				NES does not operate a fleet
ICT				
Renewable energy				
Sustainable/renewable heat				
Waste management				
Water and sewerage				
Land Use				
Other (please specify in comments)				
Please select from drop down box				

2f What are the body's top 5 priorities for climate change governance, management and strategy for the year ahead?

Provide a brief summary of the body's areas and activities of focus for the year ahead.

Development of a Climate Emergency & Sustainability Strategy for consideration by the Board

Embedding awareness of CC&S issues in NES core programmes of education and training

Reprovision of office accommodation in Glasgow, incorporating Climate Emergency & Sustainability considerations as key to this initiative

Continuing to manage NES' limited office estate in a sustainably responsible manner, capturing further improvements in how we manage the estate's energy consumption and waste management practices.

Continuing with the hybrid working model for our workforce in order to minimise business and commuting travel, and to develop the Board's recently introduced Low Emission Vehicle salary sacrifice scheme.

2g Has the body used the Climate Change Assessment Tool (a) or equivalent tool to self-assess its capability / performance?

If yes, please provide details of the key findings and resultant action taken.

(a) This refers to the tool developed by Resource Efficient Scotland for self-assessing an organisation's capability / performance in relation to climate change.

The Climate Change Risk Assessment and adaptation model were most recently completed in June 2022, and will again be completed on a two-yearly cycle.

Further information

2h Supporting information and best practice

Provide any other relevant supporting information and any examples of best practice by the body in relation to governance, management and strategy.

PART 3 Corporate Emissions, Targets and Project Data

Emissions

3a Emissions from the start of the year which the body uses as a baseline (for its carbon footprint) to the end of the report year

Complete the following table using the greenhouse gas emissions total for the body calculated on the same basis as for its annual carbon footprint / management reporting or, where applicable, its sustainability reporting. Include greenhouse gas emissions from the body's estate and operations (a) (measured and reported in accordance with Scopes 1 & 2 and, to the extent applicable, selected Scope 3 of the Greenhouse Gas Protocol (b). If data is not available for any year from the start of the baseline year to the end of the report year, provide an explanation in the comments column.

(a) No information is required on the effect of the body on emissions which are not from its estate and operations.

(b) This refers to "The greenhouse gas protocol. A corporate accounting and reporting standard (revised edition)", World Business Council for Sustainable Development, Geneva, Switzerland / World Resources Institute, Washington DC, USA (2004), ISBN: 1-56973-568-9.

ENSURE QUESTION 1f IS COMPLETED BEFORE STARTING THIS SECTION, THEN SELECT APPROPRIATE BASELINE YEAR. TOTAL EMISSIONS IN THE MOST RECENT FOOTPRINT YEAR IN THIS QUESTION SHOULD EQUAL TOTAL EMISSIONS IN Q38

Reference year	Year	Year type	Scope 1	Scope 2	Scope 3	Total	Units	Comments
Baseline Year	2017/18	Financial			339	339	tCO_2e	
Year 1 carbon footprint	2018/19	Financial			333	333	tCO_2e	
Year 2 carbon footprint	2019/20	Financial			493	493	tCO_2e	
Year 3 carbon footprint	2020/21	Financial			58	58	tCO_2e	
Year 4 carbon footprint	2021/22	Financial		2	65	67	tCO_2e	
Year 5 carbon footprint	2022/23	Financial		2	134	136	tCO_2e	

3b Breakdown of emissions sources

Complete the following table with the breakdown of emission sources from the body's most recent carbon footprint (greenhouse gas inventory); this should correspond to the last entry in the table in 3(a) above. Use the 'Comments' column to explain what is included within each category of emission source entered in the first column. If there is no data consumption available for an emission source enter the emissions in kgCO2e in the 'Consumption' column of one of the "Other" rows and assign the scope and an emission factor of 1.

(a) Emissions factors are published annually by the UK Department for Business, Energy & Industrial Strategy

Emission Factor Year 2022 The emission factor year is auto-assigned based on your answer to Q1f, if it is incorrect please contact SSN.

You can now filter emission sources by "type" in column C to enable quicker selection of emission source in column D.

User defined emission sources can be entered in rows 130 onwards. Please only use these if you cannot find a relevant emission source in the dropdown list or you have a bespoke emission factor or non-standard derivation of emissions e.g. based on a survey/consumption data. If you require extra rows in the table please send the template to ccreporting@ed.ac.uk.

Medical gas emission sources can be found under the "Process" Emission Type. The UK emission factor for **homeworking** has now been provided in the dropdown list.

Land Use & Land Use Change emissions can be included where data/estimates are available.

Emission Type	Emission source	Scope	Consumption data	Units	Emission factor	Units	Emissions (tCO_2e)	Comments
Transport - public	Flights - Domestic, to/from UK - Average passenger	Scope 3	86,689	passenger.km	0.24587	kg CO2e/passenger.km	21.31422	
Transport - public	Flights - International, to/from non-UK - Average passenger	Scope 3	118,998	passenger.km	0.18362	kg CO2e/passenger.km	21.85041	
Transport - public	Flights - Long-haul, to/from UK - Average passenger	Scope 3	12,909	passenger.km	0.19309	kg CO2e/passenger.km	2.49249	
Transport - public	National rail	Scope 3	525,072	passenger.km	0.03149	kg CO2e/passenger.km	18.65481	
Transport - car	Average car - Unknown	Scope 3	236,766	km	0.17067	kg CO2e/km	50.65412	
Hotel stay	Hotel stay - UK	Scope 3	1,729	Room per night	10.46000	kg CO2e/Room per night	17.98160	
Hotel stay	Hotel stay - UK (London)	Scope 3	72	Room per night	11.50000	kg CO2e/Room per night	0.82800	
Electricity	Transmission and distribution - Electricity: UK	Scope 2	140,417	kWh	0.01769	kg CO2e/kWh	2.48433	
							116.240	

No Scope 1 emissions reported. please check and/or state why in comments above

3c Generation, consumption and export of renewable energy

Provide a summary of the body's annual renewable generation (if any), and whether it is used or exported by the body.

Technology	Renewable Electricity		Renewable Heat		
	Total consumed by the body (kWh)	Total exported (kWh)	Total consumed by the body (kWh)	Total exported (kWh)	Comments
Please select from drop down box					

Targets

3d Organisational targets

List all of the body's targets of relevance to its climate change duties. Where applicable, targets for reducing indirect emissions of greenhouse gases, overall carbon targets and any separate land use, energy efficiency, waste, water, information and communication technology, transport, travel and heat targets should be included. Where applicable, you should also provide the body's target date for achieving zero direct emissions of greenhouse gases, or such other targets that demonstrate how the body is contributing to Scotland achieving its emissions reduction targets.

Name of target	Type of target	Target	Units	Boundary/scope of target	Year used as baseline	Baseline figure	Units of baseline	Target completion year	Progress against target	Comments
Still under development	Please select from drop down box		Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box	Please select from drop down box		

3da How will the body align its spending plans and use of resources to contribute to reducing emissions and delivering its emission reduction targets?

Provide any relevant supporting information that is not already included elsewhere in this report.

In future financial planning periods NES will be considering a significant estate rationalisation programme that will have sustainability and reduction of emissions at its heart. We will be aiming to reduce the building footprint, which in itself will create significant reduction in emissions, and any reconfiguration of buildings, acquisition of new building or lease commitments will be done with sustainability considerations from and centre. We will encourage work practices that eliminate unnecessary travel by making remote working facilities fully accessible for employees, and where travel is unavoidable, then use of public transport or other sustainable sources will be the default method.

Annual Operating Plans will also seek to gather information on emmissions associated with all of our activities, that will allow us to make informed decisions about how to modify, reduce or indeed increase activities based on sustainability considerations. This may not be fully achievable in the forthcoming iteration of our Operating Plan, but early steps will be taken to start preparing this.

3db How will the body publish, or otherwise make available, it's progress towards achieving its emissions reduction targets?

Provide any other relevant supporting information. In the event that the body wishes to refer to information already published, provide information about where the publication can be accessed.

Simply referencing this report or it's availability on the SSN website is insufficient information.

NES will fully comply with all statutory reporting requirements, and will make such reports available via the Board's web site and employee intranet.

Projects and changes

3e Estimated total annual carbon savings from all projects implemented by the body in the report year

If no projects were implemented against an emissions source, enter "0".

If the body does not have any information for an emissions source, enter "Unknown".

If the body does not include the emissions source in its carbon footprint, enter "N/A".

Emissions source	Total estimated annual carbon savings (tCO_2e)	Comments
Electricity	-	
Natural gas	-	
Other heating fuels	-	
Waste	-	
Water and sewerage	-	
Travel	-	
Fleet transport	-	
Other (please specify in comments)	-	
Total	-	

3f Detail the top 10 carbon reduction projects to be carried out by the body in the report year

Provide details of the 10 projects which are estimated to achieve the highest carbon savings during report year.

Project name	Funding source	First full year of CO_2e savings	Are these savings figures estimated or actual?	Capital cost (£)	Operational cost (£/annum)	Project lifetime (years)	Primary fuel/emission source saved	Estimated carbon savings per year (tCO_2e/annum)	Estimated costs savings (£/annum)	Behaviour Change
Low Emission Vehicles salary sacrifice scheme	Employee salary sacrifice	2023/24	Estimated	-	0		Petrol (100% mineral diesel)	N/a	N/a	Yes

3g Estimated decrease or increase in the body's emissions attributed to factors (not reported elsewhere in this form) in the report year

If the emissions increased or decreased due to any such factor in the report year, provide an estimate of the amount and direction

Emissions source	Total estimated annual emissions (tCO_2e)	Increase or decrease in emissions	Comments
Estate chanaes		Please select from drop down box	
Service provision		Please select from drop down box	
Staff numbers		Please select from drop down box	
Other (please specify in comments)		Please select from drop down box	
Total	-		

3h Anticipated annual carbon savings from all projects implemented by the body in the year ahead

If no projects are expected to be implemented against an emissions source, enter "0".

If the organisation does not have any information for an emissions source, enter "Unknown".

If the organisation does not include the emissions source in its carbon footprint, enter "N/A".

Emissions source	Total estimated annual carbon savings (tCO_2e)	Comments
Electricity		
Natural gas		
Other heating fuels		
Waste		
Water and sewerage		
Travel		
Fleet Transport		
Other (please specify in comments)		
Total	-	

3i Estimated decrease or increase in emissions from other sources in the year ahead

If the body's corporate emissions are likely to increase or decrease for any other reason in the year ahead, provide an estimate of the amount and direction.

Emissions source	Total estimated annual emissions (tCO_2e)	Increase or decrease in emissions	Comments
Estate changes		Please select from drop down box	
Service provision		Please select from drop down box	
Staff numbers		Please select from drop down box	
Other (please specify in comments)		Please select from drop down box	
Total	-		

3j Total carbon reduction project savings since the start of the year which the body used as a baseline for its carbon footprint

If the body has data available, estimate the total emissions savings made from projects since the start of that year ("the baseline year").

Total savings	Total estimated emissions savings (tCO_2e)	Comments
Total project savings since baseline year		

Further information

3k Supporting information and best practice

Provide any other relevant supporting information and any examples of best practice by the body in relation to corporate emissions, targets and projects.

PART 4 **Adaptation - please do not include information in this part on measures that solely reduce emissions with no implications for climate adaptation. These are clim**

Assessing and managing risk

4a **Has the body assessed current and future climate-related risks?**
If yes, provide a reference or link to any such risk assessment(s).

NES participates in the Climate Change Risk Assessments which were produced by NHS National Services Scotland and NHS Health Scotland as part of the national Climate Change Risk Assessment programme undertaken on behalf of NHS Scotland. Where required this has used the NHSScotland mapping tool to assesses the risk and vulnerability of healthcare assets to climate change impacts across Scotland (see: https://www.nss.nhs.scot/health-facilities/sustainability/access-climate-change-and-sustainability-tools/).

NES also maintains a Waste Action Management Plan

4b **What arrangements does the body have in place to manage climate-related risks?**
Provide details of any climate change adaptation strategies, action plans and risk management procedures, and any climate change adaptation policies which apply across the body.

NES Climate Emergency and Sustainability Group oversees the delivery of the actions aimed at meeting the Scottish Government's national policy.

NES has a robust business continuity process with resilience leads established across each strategic business unit and directorate. We actively contribute towards the various reporting processes including the NSAT Report which confirmed the retention of our Bronze Award with an increased score. Over the coming year, NES plan to address as many recommendations as possible from that report to ensure progress towards an increased award for 2023/24, the next assessable period.

Taking action

4c **What action has the body taken to adapt to climate change?**
Include details of work to increase awareness of the need to adapt to climate change and build the capacity of staff and stakeholders to assess risk and implement action. The body may wish to make reference to the Scottish Climate Change Adaptation Programme ("the Programme").

Much of the work to reduce direct impact on climate was put in place to meet the challenges of the Covid pandemic, e.g. reducting in employee travel. However, now that the initial phase of the pandemic has ended, it will be crucial to take a more active role in driving forward other actions aimed at reducing NES's carbon emissions and moving towards the medium-term aim of becoming carbon net-zero, in line with national policy. That will be the focus of the Climate Emergency & Sustainability Group during 2023/24 and in future years.

4d **Where applicable, what contribution has the body made to helping deliver the Programme?**
Provide any other relevant supporting information

Review, monitoring and evaluation

4e **What arrangements does the body have in place to review current and future climate risks?**
Provide details of arrangements to review current and future climate risks, for example, what timescales are in place to review the climate change risk assessments referred to in Question 4(a) and adaptation strategies, action plans, procedures and policies in Question 4(b).

4f **What arrangements does the body have in place to monitor and evaluate the impact of the adaptation actions?**
Please provide details of monitoring and evaluation criteria and adaptation indicators used to assess the effectiveness of actions detailed under Question 4(c) and Question 4(d).

Future priorities for adaptation

4g **What are the body's top 5 climate change adaptation priorities for the year ahead?**
Provide a summary of the areas and activities of focus for the year ahead.

Ensuring that as many of our core education and training programmes have climate emergency and sustainability as part of their delivery plans

Further roll out of our low emission vehicle salary sacrifice scheme

Delivery of a repacement office for Glasgow, incorporating the key principles of carbon net-zero

Further information

4h **Supporting information and best practice**
Provide any other relevant supporting information and any examples of best practice by the body in relation to adaption.

PART 5 Procurement

5a How have procurement policies contributed to compliance with climate change duties?

Provide information relating to how the procurement policies of the body have contributed to its compliance with climate changes duties.

NES adheres to >97% of applicable national framework agreements at Scottish Government and NHS National Procurement level. (Example of adherence – use of national stationery contract, travel contract, desktop and mobile client devices, cleaning consumables, etc, ensuring that all contractors adhere to the basic requirements of SG contract awards.

NES has a published NES Ethical Procurement Policy (available on NES internet) which requires all direct suppliers and contractors to observe the provisions of the policy and requires that such suppliers and contractors, in turn obtain similar compliance with its provisions from their suppliers and contractors including our environmental impact expectations when contracting with NES. The policy sets out NES's aims in this regard. It sets out a definition of ethical trade practices delivered through our Procurement and Commissioning activities; a clear statement of ethical and sustainable practice; the core objectives and promotes the adoption and improvement of ethical and sustainable practices across our supply chain.

NES Procurement Strategy identifies our commitment to Sustainability, environmental impact and ongoing continuous improvement.The NES Procurement Annual Report is published in accordance with the Procurement Strategy Guidance and Template issued by the Scottish Government in May 2017 and the Procurement Reform (Scotland) Act 2014 which requires public organisations with an estimated total value of regulated procurement spend of £5m or more (excluding VAT) in a financial year to prepare and publish a procurement strategy and to report on this annually. This report describes our commitment to Sustainability and our expectations of the supply base.

5b How has procurement activity contributed to compliance with climate change duties?

Provide information relating to how procurement activity by the body has contributed to its compliance with climate changes duties.

Further to the requirements of the Procurement Reform (Scotland) 2014 Act all regulated Procurements and open tendering contain a section devoted to Sustainability, which includes the NES Ethical Procurement Policy where suppliers must state their compliance to environmental impact, fair working practices, living wages commitments, community benefits and other associated impacts. In addition, beyond regulated procurement, all tenders above £25k require as commitment to accept our Sustainability requirements.

Regular quarterly measures are provided (via nationally designated Travel Management company) on carbon emissions from all forms of transport and travel activities, and these form part of NES's core Strategic KPI's and reported to the board.

Further information

5c Supporting information and best practice

Provide any other relevant supporting information and any examples of best practice by the body in relation to procurement.

The NES intranet has a page devoted to Sustainability guidance and have a published Suppliers Code of Conduct.
Stationery ordering and delivery - Since the advent of homeworking, the consumption of general stationery has dropped by over 63%. added to this our consolidated ordering and shipments means reduced frequency of site deliveries.

Post-Covid a significant amount of education and training has been designed and procured to be conducted online and remotely, reducing the travel and accomodation requirements. Examples include the Digital Coaching framework encouraging and increasing the amount of travel-free and hybrid training made available to staff. The use of a range of technology has increased post pandemic and forms an integral part of our service delivery models for education, training and CPD.

NES fully participates in the national Sustainable Procurement Steering Group. The SPSG is the focal point and core oversight group for sustainable procurement activities across NHSS Procurement teams. Its purpose is to ensure sustainable procurement activities are communicated, planned and delivered on an NHSS wide basis. The core objectives are to be a centralised discussion, planning and decision making group on matters of sustainable procurement activity; to take input from other sustainability networks; to be a gateway review for any new process or procedural introduction (NPI); to agree an activity plan, objectives and targets to present to senior NHS management and to provide effective oversight and monitoring on progress and report same to PS-SMT

PART 6 Validation and Declaration

6a Internal validation process

Briefly describe the body's internal validation process, if any, of the data or information contained within this report.

This report was collated within the Finance & Procurement Directorate and submitted to the Audit and Risk Committee for consideration in November 2023 and the Board in November 2023

6b Peer validation process

Briefly describe the body's peer validation process, if any, of the data or information contained within this report.

6c External validation process

Briefly describe the body's external validation process, if any, of the data or information contained within this report.

NES do not have external validation facility

6d No Validation Process

If any information provided in this report has not been validated, identify the information in question and explain why it has not been validated.

6e Declaration

I confirm that the information in this report is accurate and provides a fair representation of the body's performance in relation to climate change.

Name:	Jim Boyle
Role in the body:	Director of Finance
Date:	08/11/2023

Recommended Reporting: Reporting on Wider Influence

Wider Impact and Influence on GHG Emissions

Q1) Historic Emissions (Local Authorities Only)
Please indicate emission amounts and unit of measurement (i.e. tCO2 of t) and years. Please provide information on the following components, as to date from the links provided below. Please use 0 as the default unless targets and actions relate to Q1.
Please note - territorial emissions of carbon dioxide (CO2), methane (CH4) and nitrous oxide (N2O) are provided, but not fluorinated gases, which are also included in the UK territorial greenhouse gas emissions statistics. Prior to the 2021 to 2022 publication the statistics covered emissions of carbon dioxide only

https://data.gov.uk/dataset/723c243d-2f1a-4fd1-918c-60cb14b614e2/emissions-of-carbon-dioxide-for-local-authority-areas

Local Authority (Please State)	Please select from drop down box
GHG2 Dataset (Suffer sub-set)	Please select from drop down box

Source	Sector	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	Units	Comments
GHG2 Sectors	Total Emissions													ktCO2e	
	Agriculture													ktCO2e	
	Livestock													ktCO2e	
	Agricultural Soils													ktCO2e	
	Net Centre													ktCO2e	
Other Sectors	Please select from drop down box													Please select from drop down box	
	Please select from drop down box													Please select from drop down box	
	Please select from drop down box													Please select from drop down box	
	Please select from drop down box													Please select from drop down box	
	Please select from drop down box													Please select from drop down box	

2a) Targets
Please detail your wider influence targets

Sector	Description	Type of Target (units)	Baseline value	Start year	Target	Target/End year	Saving in latest year measured	Latest Year Measured	Comments
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	
Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	

2b) Does the organisation have an overall mission statement, strategies, plans or policies outlining ambition to influence emissions beyond your corporate boundaries? If so, please detail this in the box below.

Q3) Policies and Actions to Reduce Emissions
Please detail any of the specific policies and actions which are underway to achieve your emission reduction targets

Sector	Start year for policy/action implementation	Year that the policy/action will be fully implemented	Annual CO_2 saving once fully implemented (tCO_2)	Latest Year measured	Saving in latest year measured (tCO_2)	Status	Metric/indicators for monitoring progress	Delivery Role	During project/policy design and implementation, has SIM or an equivalent behaviour change tool been used?	Please give further details of this behaviour change activity.	Value of Investment (£)	Ongoing Costs (£/year)	Primary Funding Source for implementation of Policy/Action	Comments
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	
Please select from drop down box	Please select from drop down box	Please select from drop down box		Please select from drop down box		Please select from drop down box		Please select from drop down box	Please select from drop down box				Please select from drop down box	

Please provide any detail on data sources or limitations relating to the information provided in Table 3

Q4) Partnership Working, Communications and Capacity Building
Please detail your Climate Change Partnership, Communication or Capacity Building initiatives below.

Key Action Type	Description	Organisation's project role	Lead Organisation (if organisation is not leading)	Private Partners	Public Partners	3rd Sector Partners	Outputs	Comments
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						
Please select from drop down box		Please select from drop down box						

Other Scalable Reportable Activity

Q5) Please detail key actions relating to Food and Drink, Biodiversity, Water, Procurement and Resource Use in the table below.

Key Action Type	Key Action Description	Organisation's Project Role	Impacts	Comments
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		
Please select from drop down box		Please select from drop down box		

Q6) Please use the text box below to detail further climate change related activity that is not noted elsewhere within this reporting template

NHS Education for Scotland **NES/23/73**
Item 9b
Date of Meeting: 23 November 2023

Board Meeting

1. Title of Paper
2023 NES iMatter Staff Experience Report

2. Author(s) of Paper
Nick Frew, NES iMatter Op Lead and Stuart Caulfield, Senior Specialist Lead, ODLL

3. Lead Director(s)
Tracey Ashworth Davies, Director of Workforce and Deputy Chief Executive (Corporate)

4. Situation/Purpose of paper
To provide an update on the results from the 2023 iMatter staff experience continuous improvement tool roll out and to highlight key areas of interest for assurance.

5. Background and Route to Meeting

5.1 iMatter is the Health and Social Care staff experience continuous improvement tool designed in partnership to help individuals, teams and Health Boards understand and improve staff experience. The tool was first implemented in NES in 2015.

Prior to going to the Public Board, this paper has been reviewed by:

- NES Executive Team on 10 October 2023
- Staff Governance Committee on 2 November 2023
- Partnership Forum by correspondence.

6. Assessment/Key Issues

6.1 NES results for 2023

The NES response rate and Employee Engagement Index (EEI) score is consistent with 2022. The response rate remained high at 88% and staff engagement was also high at 85. Benchmarking against other Boards will take place after the national report is published towards the end of November 2023.

The Doctors and Dentists in Training (DDiT) iMatter survey was issued on the 30 October 2023 with the report most likely available in early 2024.

Areas of Strength

The survey is made up of 28 questions, which respondents score on a scale (1-10). Each question corresponds to a Staff Employee Engagement Component.

Since 2019, 6 out of the 28 components (see Appendix 1) have improved, 15 have stayed the same, and 7 have decreased. NES evidenced particular strength in these areas:

- 'Visible and consistent leadership' (first component);
- 'Assessing risk and monitoring work stress and workload' (second component);
- 'Confidence and trust in management' (third component).

A number of contributing factors have reinforced these areas of strength including;

- All NES managers have access to a Line Managers Network (established January 2023) to support management development and support for staff. The network provides consistent corporate messaging, regular opportunities for developing skills and practice, a place to share good practice and engage with other staff and managers at learning events, and panel sessions with senior leaders;
- NES has adopted a proactive, wellbeing focus to support staff, with regular sessions offered to provide practical and psychological support, and clear messages around looking after self and others. Staff networks have been set up for various groups to ensure that specific needs can be better understood with learning shared to assist network members and inform organisational decision-making;
- A key workforce priority is how NES supports colleagues to work effectively and efficiently within a hybrid model. A Ways of Working and Property Project Board has been established to provide governance and oversight to several key short life working groups: 'wellbeing', 'line manager support', 'how we work in a hybrid way', 'space and property'.

Areas of development

These are the areas that scored lowest:

- 'Managing performance' (75 to 74);
- Board members visibility (72 to 71);
- The lowest indicator over the four years is 'partnership working', which has stayed the same at 68.

Actions to improve future scores are as follows:

- Conduct further research into what managing performance means in terms of the expectations of our workforce. Anecdotally, answers to this question are likely to have been based, at least in part, on perceptions of how other teams' performance is being managed, not necessarily the performance of the team in which the respondent is a member. Due to confidentiality, management of performance will also not tend to be visible. Managing poor performance is addressed between the manager, HR and the perceived poor performer. The score provides a starting point for further planned exploration.

- Add slots on our corporate induction programme to include both Board and Trades Unions. This will improve visibility of the NES Board and Partnership Forum to increase understanding of their roles and remits. The Board is also raising its profile and visibility with members being invited to and attending staff networks and other meetings such as Directorate Townhalls.

Whistleblowing

The national 'iMatter' staff experience survey included the following new statements in 2023:

- "I am confident that I can safely raise concerns about issues in my workplace." (Score - 86);
- "I am confident that my concerns will be followed up and responded to." (Score - 83).

These statements were based on a six-point Likert scale and were not mandatory. Results to these two questions are reported at Directorate and Board level but not nationally. The inclusion of these new questions reinforces sector commitment and encourages the workforce to both speak up and to increase their awareness of routes to speak up, such as whistleblowing.

Action plan completion rate

Following the receipt of their iMatter report, teams have an 8-week window action plan. While there is a deadline to conclude action planning, teams can still upload action plans beyond the deadline. The figures below show the uptake of action plans by and post the deadline. 'Official' means the action plans concluded by the deadline and 'unofficial' relates to those post deadline.

2022 official	2023 official	2022 unofficial	2023 unofficial
81%	83%	87%	91%

In 2023, there were 207 teams (202 in 2022), so the numbers are comparable. Both 'official' and 'unofficial' figures show an increase in action planning activity.

Directorates and teams are accountable for taking forward the actions defined within their action plans.

7. Recommendations

7.1 The Board is invited to note the results of the iMatter survey and follow up activity on action planning for assurance.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) **Have Educational implications been considered?**

☒Yes
☐No

b) Is there a budget allocated for this work?

☐Yes
☒No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒1. People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒Yes
☐No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☐Yes
☒No

g) Have you considered a staff and external stakeholder engagement plan?

☒Yes
☐No

Author name: Nick Frew and Stuart Caulfield
Date: 29th September 23
NES

Appendix 1

Key = increase no change decrease

iMatter Questions	Staff Experience Employee Engagement Components	Average Response			
		2019	2021	2022	2023
My direct line manager is sufficiently approachable	Visible and consistent leadership	91	94	95	95
I feel my direct line manager cares about my health and well-being	Assessing risk and monitoring work stress and workload	91	94	94	95
I have confidence and trust in my direct line manager	Confidence and trust in management	89	93	94	94
I am treated with dignity and respect as an individual	Valued as an individual	89	92	93	92
I am treated fairly and consistently	Consistent application of employment policies and procedures	88	91	91	91
I would recommend my team as a good one to be a part of	Additional Question	87	91	91	91
My team works well together	Effective team working	86	89	90	89
I am clear about my duties and responsibilities	Role Clarity	87	86	87	88
I would be happy for a friend or relative to access services within my organisation	Additional Question	85	88	89	88
I feel involved in decisions relating to my team	Empowered to influence	82	86	87	87
I am confident performance is managed well within my team	Performance management	82	86	87	87
I feel appreciated for the work I do	Recognition and reward	82	85	86	87
I would recommend my organisation as a Good place to work	Additional Question	84	87	88	87
I have sufficient support to do my job well	Access to time and resources	82	84	86	86
I am confident my ideas and suggestions are listened to	Listened to and acted upon	84	86	86	86
I understand how my role contributes to the goals of my organisation	Sense of vision, purpose and values	84	85	86	86
I get enough helpful feedback on how well I do my work	Performance development and review	81	84	85	86
My work gives me a sense of achievement	Job satisfaction	84	84	86	86
I get the information I need to do my job well	Clear, appropriate and timeously communication	82	83	84	84
I feel my organisation cares about my health and wellbeing	Heath and well being support	81	85	86	84
I am given the time and resources to support my learning growth	Learning & growth	80	80	82	83
I am confident my ideas and suggestion are acted upon	Listened to and acted upon	79	81	82	83
I feel involved in decisions relating to my job	Empowered to influence	79	81	82	82
I get the help and support I need from other teams and services within the organisation to do my job	Appropriate behaviours and supportive relationships	76	80	81	80
I have confidence and trust in Board members who are responsible for my organisation	Confidence and trust in management	73	76	75	75
I am confident performance is managed well within my organisation	Performance management	69	73	75	74
I feel that board members who are responsible for my organisation are sufficiently visible	Visible and consistent leadership	70	72	71	71
I feel sufficiently involved in decisions relating to my organisation	Partnership working	63	69	68	68

NHS Education for Scotland **NES/23/74**
Item 9c
23 November 2023

NES Board

1. Mid-year Equality and Diversity Report

2. Author(s) of Paper

Katy Hetherington, Principal Lead – Equality, Diversity and Human Rights

3. Lead Director(s)

Karen Wilson, Deputy Chief Executive (Clinical) and Director of Nursing and Tracey Ashworth-Davies, Deputy Chief Executive (Corporate) and Director of Workforce

4. Situation/Purpose of paper

4.1 To review and approve the mid-year report on NES's equality and diversity work, including our statutory responsibilities under the Equality Act (2010) including the Public Sector Equality Duty.

4.2 Approve for publication NES's employment equality and diversity report, April 2022-March 2023 (Annex A)

4.3 Note an update on recent policy and legislative developments relevant to equality, diversity and human rights.

5. Background and Route to Meeting

5.1 The paper has been informed by mid-year reports to the Education and Quality Committee on 14th September 2023, Technology and Information Committee on 30th October 2023 and Staff Governance Committee on 2nd November 2023. Each Committee has responsibility for scrutiny of aspects relating to that Committee's business.

5.2 Education and Quality Committee members were provided, via correspondence on 27 October, with the proposed revisions to those Equality Outcomes relevant to the Committee's remit given work on these was still being undertaken when the Committee met in September. The Committee approved the proposed amendments.

5.3 Further to the necessary committees' scrutiny of specific, relevant, elements of the mid-year report, the Board is now being presented with the full mid-year report.

6. Assessment/Key Issues

6.1 Each Committee has reviewed and approved the proposed amendments to the equality outcomes relevant to their remit, as well as a mid-year progress update. This review was undertaken to ensure alignment with NES's 2023-26 Strategy. The rationale for any change is set out to the Board in the progress report. A minor change in wording was suggested to Outcome 5 by the Staff Governance Committee and this has been addressed. Following approval by the Board, NES will continue to report on these outcomes until 2025, when a refreshed set of equality outcomes are required to be published.

6.2 Work continues to support the organisation to undertake Equality Impact Assessments: refreshed templates, educational drop-ins and an EQIA tracker providing an overview of activity across the organisation.

6.3 NES is committed to taking an anti-racism approach. Leadership is a key aspect, and a development session was held for the Board in June 2023. NES's Non-Executive Board Champion for Equality and Chair of the Staff Governance Committee introduced the session, setting the scene for the Board to learn and reflect from our speaker, Professor Laura Serrant OBE.

6.4 As well as leadership from the Board, NES's anti-racism approach includes actions across several areas and has been informed by current thinking in the field, also by discussions at the Equality and Human Rights Steering Group. Actions are being discussed and progressed with staff networks. There is discussion as to whether NES should develop a specific anti-racism action plan to articulate and demonstrate transparency of actions, as NHS Grampian has recently produced. As a minimum, it is proposed to include reference to NES's commitment to anti-racism on the corporate website and the actions being taken should there be a decision not to produce a separate publication. Steps will also be taken, as agreed by the Staff Governance Committee, to explore any interest in creating a Once for Scotland NHS Scotland action plan.

6.5 All staff have a corporate objective this year to undertake learning activities on anti-racism, equality, diversity and inclusion. The Equality Team continues to promote opportunities for learning via the Community of Interest on Teams, the Equality and Diversity Sharepoint Hub and all staff emails. The Equality Team has also contributed to team meetings and away days, on request. Training for line-managers on anti-racism is being delivered from November 2023.

6.6 NES has a duty to gather and analyse the NES workforce by protected characteristics as part of the Public Sector Duty. The Board is provided with the latest annual data from April 2022-March 2023, including recommended actions. The report was included in the Staff Governance Committee's mid-year report and approved for publication, subject to approval by the Board. This is included in Annex A.

7. Recommendations

The Board is asked to:

- review and approve the revised equality outcomes;
- approve the mid-year report;
- approve the employment equality and diversity monitoring report for publication (Annex A).

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☒Yes
☐No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒1. People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒Yes
☐No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☐Yes
☒No

g) Have you considered a staff and external stakeholder engagement plan?

☒Yes

☐No

Author name: Katy Hetherington
Date: 24 Novembr 2023
NES

Board Mid-Year Report – Equality and Diversity

1. **Progress towards Equality Outcomes:**

The Board approved a new 3-year strategy and set of Strategic Key Performance Indicators in May 2023. Equality, diversity and inclusion is central to achieving our purpose to be a collaborative, innovative and inclusive learning organisation. It was agreed that NES's Equality Outcomes would be reviewed during 2023 to ensure alignment with the strategy. This was an action identified in the Equality Impact Assessment of the Strategy and in NES's 2-year progress report on the Public Sector Equality Duty.

The Board is provided with proposed amendments to the outcomes, the rationale for any change and a mid-year update on activities towards each outcome.

Outcome 1: Our support for youth employment with a particular focus on engagement and supporting transitions from school, college and university for those further from the labour market or more likely to experience barriers to full employment: young people who are care-experienced, disabled, or from Black and minority ethnic or socio-economically disadvantaged communities.

Proposed amendment:
None. This outcome predates the establishment of the Youth Academy and NES's Widening Access strategy, which now contribute towards this outcome. It also fits with NES's commitment to increase education, training and promote apprenticeships for young people and to enable a diverse range of people to flourish by widening access to careers in health and social careers, as set out in the NES Strategy.

Progress
The NHSS Health Care Academy has developed a Youth Academy which has an important contribution to make towards this outcome. Work is underway through regional 'huddle' groups to improve progression pathways for young people from school/college into the workforce. Recent work includes supporting the piloting of a new qualification aimed at improving progression for young people into Health/Care support worker roles; the Healthcare Pathway Pilot. This pilot has now started with selected schools in 4 NHS Board areas. An EQIA will be undertaken on the work of the Youth Academy to ensure equality is being considered and progressed for those most likely to experience barriers and inequalities in accessing employment and training.

A new Widening Access Framework was approved by the Executive Team in August 2023. The Framework seeks to support the wide range of NES programmes and activities aimed at widening access to jobs, careers and training for groups who are currently under-represented in the NHS Workforce. This work is progressed in partnership with the Scottish Government, Health Boards and the NHSS Health Care Academy, and aligns with NES equality and diversity commitments. Actions across the organisation will be reviewed to ensure alignment with the new Framework.

Outcome 2: The number of refugee health professionals re-entering their profession is increased through better access to training, language support, professional mentoring and work experience.

Proposed amendment:
The proportion of refugee health professionals achieving professional registration and the number of international recruits attracted and supported into NHS Scotland is increased.

We have amended this outcome to the specific role that NES can provide to refugee professionals, which is around training, professional mentoring, language support via Bridges and mentoring and work experience. The Bridges project will provide annual monitoring and reporting to NES and Scottish Government on numbers. Reference to international recruits is now included given that the Centre for Workforce Supply has now been established.

Progress
We continue to support refugee doctors through the Bridges Project to complete English language requirements and the Professional and Linguistic Assessment Board (PLAB) to practice in Scotland. There are currently 106 Drs registered with Bridges and 26 have registered since January 2023. 37 Drs have registered under the Ukraine scheme since May 2023. Work is taking place with Scottish Government to explore the refugee doctor scheme.

NES is also working with the Scottish Refugee Council and has set up a group with SSSC, NHS Scotland Academy, College Development Network, Open University, Skills Development Scotland, Princes Trust, Public Health Scotland, Improvement Service and DWP to look at 'Employment and Education Opportunities for Refugees and Asylum Seekers'. The group has met three times to identify actions and connect current activities.

Outcome 3: Attainment gaps for medical trainees from Black and Minority Ethnic backgrounds and International Medical Graduates are reduced.

Proposed amendment:
NES contributes towards reducing the UK-wide attainment gap for medical trainees from Black and Minority Ethnic backgrounds and International Medical Graduates by designing and monitoring evidence-informed activities.

This reflects that this is a UK-wide issue and reducing the attainment gap requires actions at several levels, many are not within the direct control of NES. The Scotland Deanery action plan, which is reported to the GMC, includes supporting trainees and educational supervisors.

Progress
The Advancing Equity in Medical Education Steering Group (AMEG) continues to meet regularly to plan and deliver specific interventions that aim to address differential attainment that exists in postgraduate medical education and training. An

action plan is in place and progress is reported to the GMC on an annual basis. Differential attainment is a UK-wide issue and the General Medical Council's report Tackling disadvantage in medical education, published in March 2023, reported that the attainment gap remains a significant issue especially for doctors from ethnic minority backgrounds. It is known that the factors that cause the attainment gap are complex and operate at the individual, institutional and policy level. Addressing it will therefore require action at all these levels.

NES's work to date is largely focused on supporting trainees and educational supervisors. AMEG's core group has been involved in the proposed amendment to the outcome.

Progress includes:

- The Scottish Trainee Enhanced Program (STEP) is now running for most speciality groupings. The GP STEP has been qualitatively evaluated and will be submitted to a peer reviewed journal for publication. The unique feature of the STEP programme is early involvement of the Educational Supervisor in developing a positive trainer-trainee relationship.
- A Reciprocal Mentoring Scheme is being piloted. This will be evaluated in 12 months and inform future plans.
- Year 2 funding for Active Bystander Training has been provided to NHS Boards. The use of the funding has been widened for this year as uptake of Active Bystander training is reaching saturation in some areas. Boards will be able to use the available funding for any educational activity aimed at doctors in training that will support the objectives of the Advancing Equity group. Boards will be asked to report on use of the funds and its impact by April 2024.
- Communication will be issued shortly to all Trainees to update equality and diversity monitoring questions on TURAS. This will assist the Deanery to understand the diversity of all trainees in Scotland who access training and any differential impact there might be in different population groups.
- Induction for International Medical Graduates (IMG) pre-start webinar and IMG Induction Day (Softer landing, Safer Care) took place for August 2023 intake.
- A 'Fairness in Feedback' pilot training session has been evaluated following a pilot with Trainers in March 2023 and options for further sessions are being discussed and will be planned in collaboration with Directors of Medical Education.
- The Centre for Workforce Supply (CWS) is leading on a review of IMG induction support across Scotland. This review will inform future initiatives and will include a collaborative approach between NES and Health Boards. The induction will consider the needs of locally employed doctors, clinical fellows and SAS doctors who are new to NHS in Scotland. A Fellow who started in August 23 is supporting this area.

- The GP team is considering an Enhanced Skills Programme to support the needs of IMG GP trainees by offering a package of 6-8 sessions which will cover areas such as exam support, communication, reflection, 'Thinking like a GP', wellbeing and resilience.

Outcome 4: We will continue to enhance the inclusivity of education and training programmes for disabled learners in NHS Scotland through:

a. Expanding the availability of technology enhanced learning which reflects best practice in accessibility and increases flexibility in learning opportunities.

The Technology Enhanced Learning Team was established in 2020 to provide support to NES staff in adjusting to delivering learning remotely. The team continues to support a community of educators with a suite of resources to deliver training and education in a hybrid manner. The team are funded until March 2024.

Given NES's evolving Learning and Education Strategy, further activities may emerge to support this outcome. An EQIA is underway on this strategy.

b. Establishing arrangements for reasonable adjustments passports for trainees under the Lead Employer programme.

NES has been engaged in discussions nationally about a reasonable adjustment passport for trainees though no final version has yet been agreed with all Lead Employers. In NES, however, staff including Doctors and Dentists in Training who require reasonable adjustments/an individualised learning plan receive passporting information and can use it for the future, if required.

c. Providing holistic careers advice and person-centred support for disabled trainees through the Performance Support Unit (now the Training, Wellbeing and Development Service).

One to one support and case management continue to be undertaken by the Disability Specialist Lead. Individual learning/reasonable adjustment plans are being implemented where necessary for NES Doctors and Dentists in Training.

The Training Wellbeing and Development Service is available to support trainees progress with their learning and to empower them to make appropriate career choices. Bespoke, person-centred, services are available and include advice on, for example, less than full-time training, wellbeing, careers advice and signposting to specialist services. It has been recognised that there is a need for support to NES educators/trainers to support trainees who are neurodivergent. NES is exploring options to improve knowledge and understanding in this area. We continue to have access to advice from the Business Disability Forum, as all NHS Boards do, and have guidance material on the Equality and Diversity Zone on Turas Learn.

<u>Proposed amendment</u>

No change. This outcome fits with NES's purpose to be an inclusive learning organisation and the KPIs that seek to measure how well staff and learners are supported.

Outcome 5: The diverse development needs of our workforce and changes in the way work is being done will be our focus as we support development of digital capability and accessible and inclusive technology enhanced learning. Digital learning capability is a complex concept incorporating elements of information literacy, digital skills and capacities for learning. Learners may also be differentially impacted by barriers to accessing appropriate digital infrastructure for learning. We will invest in core skills development for our educators and designers which will include:
a. Accessibility [design, facilitation, assessment, reasonable adjustments]
b. Cultural competence and anti-racist education
c. Unconscious bias in education
d. Social learning and facilitating for inclusive learning

Proposed amendment:
We support and develop the knowledge and skills required by our educators and designers to support accessible and inclusive learning. This will focus on accessibility and inclusion, digital solutions to support learning, culture and anti-racism knowledge and skills.

This is more concise wording and focuses on the key elements where we want to make a difference: the knowledge and skills of our educators.

Progress:
The goal of the developing Learning and Education strategy is to develop NES as a world class organisation for education, training and learning to improve health and social care outcomes and reduce inequality for the people of Scotland. Developing our workforce with the appropriate skills and competencies will be central to the delivery of the strategy and is a specific workstream in the Quality Systems Programme.

A new digital learning resource on 'Cultural Humility' has been developed by NHS Scotland Academy with the NES Equality Team. It will be promoted to all health and social care staff, including NES Educators, when launched in November 2023. An evidence review has informed the team's work. It covers key concepts around privilege, culture, reflective practice and includes videos to share the experiences of international and Black and Minority Ethnic health and social care workers.

All staff in NES have a corporate objective in 2023-24 to increase understanding and self-reflection on anti-racism, equality, diversity, and inclusion. Further information on staff training is provided in section 4 – staff training.

Outcome 6: Our approach to digital design considers the role of digital in:

- How we design with the diverse needs of our audiences in mind when developing our products;

- How we consider the role of digital in supporting the care pathways we are supporting or for which we are delivering learning;
- How the delivery of highly accessible digital solutions is best supported by and influences the “non-digital” ways of interacting with a product or service; and
- How we measure whether our digital products and technology enabled learning are connecting with audiences in ways that address rather than widen inequalities.

Proposed amendment:
Our approach to digital design enables and facilitates equality and equity of access using digital and technology through the pillars of accessibility, accommodation, acceptability, availability, and affordability.

This revision separates the aim of the outcome from the outcome measures framework and better reflects the NES Strategy format. The framework to support measures towards this outcome has been updated to reflect our work across education and training, health and social care and the workforce.

Progress
Published EQIAs: There are no current EQIAs published to the organisational and relevant application websites. Work completed in September 2023 identified the available EQIAs in the portfolio. A programme of work is underway to collate the available equalities information used to design and monitor products and services to finds the gaps needed to inform EQIAs and publish a phased timeline to complete or publish the required NES Technology Service EQIA or request the required information from commissioning programmes and services.

Published Accessibility Statements: Accessibility statements are published for 92% of our websites denoting basic accessibility. While not all our websites meet WCAG 2.1 compliance, they have been reviewed and recommendations made for remedy reviewed. Work is underway to define the auditing and reporting cycles and confirm the extent of the portfolio subject to this duty. New accessibility guidelines (WCAG 2.2) have been released and internal evaluation to understand the changes relevant to our work is underway.

Accessible flowcharts
Accessible flowcharts style guide draws together learning and insights for extensive research and testing with people that use screen readers. This guide was applied to the ‘Workforce Policies Investigation Process’ in NHS Scotland and forms a best practice guide for content designers and others to apply across their own work. The style guide maps out the approach to describe the flowchart contents, steps, and connections to support the screen readers. The additional value of this is that the ‘reading’ flow promotes organisation of information for the person to comprehend what is being shown. This reading flow also informs flowchart design and layout for visual comprehension.

Outcome 7: The attraction and selection processes for our leadership and management programmes support a leadership and management cohort that is inclusive and representative. The provision of our leadership and management programmes supports the building of an inclusive workplace culture.

Proposed amendment:
We contribute to the development of an inclusive and diverse workplace culture through our national leadership and management programmes for health and social care managers and leaders.

This wording reflects our commitments in our Strategy as the strategic delivery partner to Scottish Government on skills development in leadership and to deliver a range of national leadership programmes and resources for the health and social care workforce. It recognises that NES has a contribution to workplace culture in health and social care through our programmes but that the overall goal of an inclusive and representative cohort and the building of inclusive workplace cultures is a shared responsibility with local health boards and social care employers.

Progress:
NES is limited in influencing the processes for the attraction and selection to its national leadership and management programmes as this is done at a local level. The programme that NES directly manages recruitment to is the NHS Management Trainee Scheme (MTS). The recruitment process for the Scheme was reviewed to identify any potential barriers for people with protected characteristics and an EQIA is being undertaken. An analysis of the diversity of applicant data showed an increase in applicants from 16-25 age group, potentially due to introducing a social media campaign. There was no increase in candidates declaring a disability. This data will be included in the EQIA and recommendations will guide improvements in recruitment for next year's Scheme.

NES builds in equality, diversity and inclusion into the design and delivery of management and leadership programmes. An EQIA session was held in July 2023 with the OD & Leadership team and plans are being progressed for EQIA in 2023.

Outcome 8: NES is an inclusive employer, with:

a. Effective employee voice, including staff networks with effective influence on policy.

NES's staff networks continue to meet and are supported by our Learning Content & Staff Network Officer and the Staff Network Chairs. Activities over the last 6 months include:

- NES was successful in achieving 'Established' Level in the Carer positive Award, which was led by our Parents and Carer's Network.
- A stand at the Pride Event in June 2023 to promote NHS Scotland careers, with the NES Employee Director/LGBTQ+ Network ally and the Equality and Diversity Team attending. Learning to improve our presence for next year is underway with the staff network.
- NES renewed its Disability Positive Employer Award and the self-assessment informed actions for continuous improvement, including working towards 'Leader' status.

- The Disability Network is developing guidance for night's out and social events for NES staff and have been asked to contribute to the TEL team's checklist for face-to-face training.
- Opportunities have been provided for each network to inform consultations on NES's Strategy, Learning and Education Strategy, and to inform 'tips to consider bias in recruitment'.
- The Under-represented Minority Ethnic Staff Network hosted an event as part of Black History Month in October 2023, chaired by our Chief Executive.
- Peer network sessions are in place as part of the Disability, Long-term conditions, Neurodiversity and Mental Health Staff Network.
- A new peer network on neurodiversity for NES Doctors and Dentists in Training has been established and has met once so far and a teams channel has been set up.

b. Improved recruitment outcomes for young candidates, minority ethnic candidates and disabled candidates

The Employment Equality and Diversity Monitoring Report at Annex A provides data and analysis of our recruitment activity in relation to different groups. Ensuring staff involved in recruitment panels are appropriately trained and are aware of bias is being addressed with the roll-out of new recruitment e-learning modules. We have identified actions to promote NES as an inclusive employer including our work as a Disability Confident Employer. NES's Strategy 2023-2026 sets out our objectives on widening access, including for younger people, and we are rolling out training to line managers on anti-racism in 2023/4.

c. An adaptable and flexible workforce with positive support for staff wellbeing

NES continues to consider improving the provision of services for neurodivergent trainees, led by our Specialist Disability Advisor and Training Development and Wellbeing Service. This will include assessment processes, reasonable adjustments, case management, ongoing support and trainer awareness. We also continue to run the Guaranteed Interview Scheme for Dental and Pharmacy trainees as part of our recruitment campaigns and accommodate reasonable adjustments during trainee recruitment campaigns and trainee employment. We are developing a self-assessment tool to support dental vocational trainers in assessing the accessibility of their premises as a place of work, improving the ability to identify training practices which suit the needs of trainee applicants with disabilities. We continue to refer to the Business Disability Forum's advice and guidance, available via the Equality and Diversity Zone on Turas.

Since the Board's last update, there have been a variety of activities to support staff wellbeing. This includes:

- An Organisational Development Plan 2023-26 to support NES deliver its strategy. Inclusion, diversity, and wellbeing is weaved through the plan.

- Webinars for all staff on culture, including one with a focus on inclusion.
- NES Menopause meet ups continue and guidance for line managers, including on reasonable adjustments is available.
- ANDYSMANCLUB session was made available to all staff to attend in June to raise awareness of men's mental health and how they can access local community support.
- The Coaching for Wellbeing continues to be available to staff with 1717 people registered in the first quarter. Resources are also available on the Wellbeing Hub.
- NES funded teams to participate in the Step Count Challenge in May and October.
- Regular drop-in sessions took place on mindfulness and guided journalling. A mindfulness podcast is now available as part of NES's new podcast series.

Proposed amendment:
No change. This outcome reflects our commitments to being an inclusive organisation and the KPIs in place to measure equality, diversity and inclusion in our workforce.

3. **Mainstreaming Outcomes**

As well as specific outcomes, to focus efforts to mainstream the Equality Duty into day-to-day work, NES also set two mainstreaming outcomes in 2021:

- Improve our Equality Impact Assessment (EQIA) performance, ensuring a systematic approach to using EQIA to inform the development of new workstreams.

We continue to offer drop-in sessions for staff to support equality impact assessments and have updated our tools and templates. The Equality, Diversity and Human Rights Team continue to provide support and advice to consider and carry our EQIAs, including bespoke training sessions to teams. The team delivered a session tailored to educational resources, through the Technology Enhanced Learning Meet-Up sessions.

EQIA is a legal requirement and is an important way for us to mainstream equality into our work. EQIAs in development are reported via Directorate representatives on the Equality and Human Rights Steering Group to the Equality Team. We are redesigning the Equality and Diversity section on NES's website and signed-off EQIAs will continue to be published on the website.

We have also incorporated equality considerations into the checklist for all papers that go to the Board and Committees. This is to provide assurance that this has been considered.

- Build capacity – both technical and educational – to deliver accessible digital learning.

Progress under Equality Outcome 4 and 5 provide the Board with activities which support accessible digital learning. We also reviewed and updated our Inclusive Education and Learning Policy in 2023. The evolving Learning and Education Strategy and the workstreams under the Quality Programme will support our work in this area e.g. Educator Quality & Competence and Learning Design and Practice.

4. Staff Learning and Development

All staff in NES have an objective to undertake learning on anti-racism, equality, diversity and inclusion. The Equality, Diversity and Human Rights SharePoint Hub is a source of information for staff on ideas for learning and the Equality and Diversity team held sessions earlier in the year for staff to share ideas for learning.

Drop-in sessions on EQIA continue and the Equality and Diversity Team deliver bespoke sessions on EQIA and on equality, diversity and inclusion issues for teams upon request, including as part of team development days.

The Equality and Diversity Team have developed a new essential learning module on equality, diversity and human rights. This is aimed as a learning resource for the health and social care sector, including NES staff, and a stakeholder group has informed its development. The module is being reviewed during November by stakeholders across health and social care and will be launched in December 2023.

A new 'Cultural Humility' module, also aimed at the health and social care workforce will be available in November 2023 and was developed by the NHS Scotland Academy with the NES Equality Team. This will be available on the Equality and Diversity Zone on Turas.

The Equality and Diversity Team facilitated the Business Disability Forum to run eight training sessions on Disability-Smart Management Practices for NHS Scotland staff, including NES staff. This was funded by Scottish Government Health Directorate.

An e-learning module for line managers on sexual harassment has been promoted to line managers and staff. This followed research which found experiences of sexual harassment and assault in the UK surgical workforce. Further actions are being progressed with the Scotland Deanery.

We have held seminars over the last 6 months on the following:

- A human rights based approach – chaired by NES's Director of Social Care and delivered by Scottish Government and the Scottish Human Rights Commission.
- Anti-racism – chaired by Professor Nitin Gambhir, Lead Dean Director and delivered by Coalition for Race Equality and Rights (CRER).
- Gender-based violence – jointly delivered by NES's Women, Children, Young People and Families Team and the Gender-Based Violence team at Public Health Scotland

- Power-point accessibility – delivered by the Equality and Diversity Team's Learning Content Officer

Dates are now available for line managers to attend sessions on anti-racism during November and December and further dates, including two face-to-face sessions, will be available in 2024. We will evaluate these to inform future roll-out.

We intend to participate in Race Equality Week in February 2024 and continue to look out for resources to share learning via our community of interest, the Equality, Diversity and Human Rights Sharepoint Hub and in the first Equality newsletter issued on 31st October.

5. Employment Equality and Diversity Monitoring Report (Annex A)

We have a duty to gather and analyse our workforce by protected characteristics under the Equality Act (2010). We have included for the first time our disability and ethnicity pay gaps and the Board will receive this via the new approach to KPIs. We have progressed actions since we published our last report and have identified actions for the coming year, including a campaign to encourage staff to update their equality and diversity information. Following approval by the Board, this report will be published on our website.

6. NES's anti-racism approach

NES has agreed to take an anti-racism approach, which is about more than being against racism. It is about taking steps to address racism. Themes informing our actions cover leadership, workforce monitoring, knowledge in the workforce, addressing concerns and organisational culture. We are progressing actions across all these areas in 2023/24, for example, the Board attended a development session on anti-racism in June 2023; rolling out anti-racism training for line managers; facilitating an under-represented ethnic minority staff forum; and specific equality outcomes to progress race equality. We also plan to participate in Race Equality Week (5-11th February).

NHS Grampian have published an anti-racism action plan and we are exploring the potential for sharing an approach to plans across NHS Scotland.

7. Policy and Legislative Developments

4.1 A Human Rights Bill for Scotland

The Scottish Government issued a consultation over the summer on a new Human Rights Bill to bring four United Nations international human rights treaties into domestic legislation. It aims to provide a new human rights framework for Scotland to provide people with stronger legal protections, put new duties on public bodies and build a stronger human rights culture in Scotland. NES provided a response to the consultation which closed on 5th October 2023.

1.2 UNCRC

The Scottish Government remains committed to Scotland being the first UK nation to incorporate the UNCRC in domestic law. Following a judgement from the Supreme Court, the Government is working to update the UNCRC (Incorporation) (Scotland) Bill to ensure it is compatible with devolved responsibilities. A recent statement on progress was provided by the Cabinet Secretary in June 2023 and a motion was agreed by the Parliament in September 2023 to reconsider the Bill. Defined in Part 1 of the Children and Young People (Scotland) Act 2014, NHS Education for Scotland (NES) currently have a duty as a public authority to evidence progress on children's rights.

1.3 Consultation on Public Sector Equality Duty Review

The Scottish Government consulted on proposals in 2022 to review compliance with the specific duties which are placed on Scottish public authorities to comply with the Public Sector Equality Duty. The consultation covered a range of areas including the reporting regime, extending equal pay reporting to ethnicity and disability, setting national equality outcomes, and strengthening impact assessment. The Minister for Equalities, Migration and Refugees has now responded to the consultation. This advises that the Government will be prioritising two regulatory changes to include pay gap reporting on ethnicity and disability and a new duty on listed public bodies in relation to the use of inclusive communication. An appropriate lead in time for this will be agreed with the Equality and Human Rights Commission. No changes are being proposed in relation to regulations relating to the procurement duty or the duty to assess and review policies and practices. The Minister advised that the Government would issue a consultation on a mainstreaming strategy by the end of the year as part of the commitment to embed equality and human rights across government and the public sector.

Katy Hetherington
Principal Lead - Equality, Diversity and Human Rights
23 November 2023

Annual Employment Equality and Diversity Monitoring Report 2022/23

NHS Education for Scotland - 2023

CONTENTS

1. INTRODUCTION 3
2. WORKFORCE COMPOSITION 4
2.1 Sex 4
2.2 Ethnic Origin 6
2.3 Disability 9
2.4 Age 10
2.5 Religion or Belief 11
2.6 Sexual orientation 12
3. RETENTION 13
4. STAFF DEVELOPMENT 15
4.1 Promotions 15
4.2 Training 16
5. RECRUITMENT AND SELECTION 17
5.1 Attraction 17
6. PAY GAP 18
7. Progress on recommendations 21
8. Recommendations 22

1. INTRODUCTION

Gathering and analysing equality and diversity information on the workforce is important to inform our work to progress equality, tackle discrimination and harassment and address prejudice in the workplace. We have a specific duty as part of the Public Sector Equality Duty in Scotland to gather information on the composition of our workforce and information on the recruitment, retention, and development of our employees by each of the protected characteristics. We gather and analyse this data annually.

Good employee information helps us to meet the Public Sector Equality Duty by for example, identifying key issues for us as an employer to progress equality and identify any actions to avoid discrimination and harassment. Analysis of our workforce data informs areas for improvement and allows us to monitor our progress. Knowing your workforce through data is one of 4 areas of focus identified in the Scottish Government's Anti-Racist Employment Strategy, published in December 2022.

This report includes an update on progress with actions we are taking as a result of our employee equality and diversity monitoring. We collect and analyse data on the protected characteristics of age, disability, race, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief, sex, and sexual orientation.

The report relates to employees who are directly employed by or on secondment to NES for the financial year 1 April 2022 to 31 March 2023.The report will set out by relevant protected characteristic:

- Workforce composition
- Staff retention
- Staff development
- Recruitment and selection
- Gender, Disability and Ethnicity pay gaps

The data in this report relates to employees who are directly employed by or on secondment to NES[1]. It summarises key findings from our workforce equalities data as of 31 March 2023 and, unless otherwise noted, refers to the financial year 1 April 2022 to 31 March 2023.

Data on Doctors and Dentists in Training (DDiT) analysed in this report is limited to the trainees employed by NES. NES is one of four lead employers for trainee doctors in Scotland.

[1] For Data Protection reasons we are not allowed to report on any categories if there are under five staff present in that category

2. WORKFORCE COMPOSITION

As well as our core[2] staff, NES is the lead employer for Doctors in Training in General Practice, Public Health, and Occupational Health speciality training. In 2021, NHS Education for Scotland (NES) also became the lead employer for Dental Core (DCT), Specialty Training (STRs) and, in August 2022,Vocational Dental Practice (VDP) trainees. As at 31 March 2023, we employed 1167 core staff and 1918 DDiT. DDiT's work in placement settings across NHS Scotland and are recruited through national recruitment processes. Unless otherwise noted, this report will report data on NES employed DDiT separately from our core staff[3].

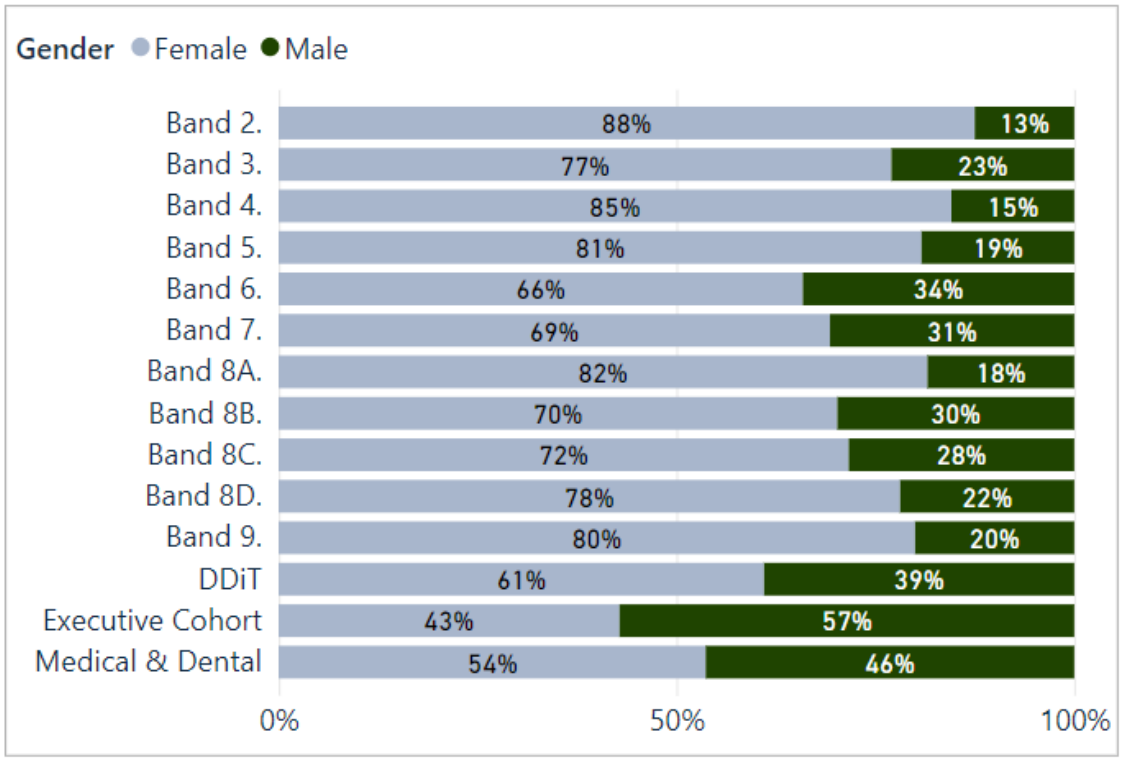
2.1 Sex

As of 31 March 2023, women comprised 66% of the total employed workforce at NES.

- 72% of NES Core Staff are female
- 61% of DDiT are female

NES collects data on gender identity, which would enable an individual to identify themselves as trans. We do not have sufficient numbers to allow reporting of these figures. The breakdown by Sex and Grade is set out below in Figure 1.

Figure 1: Sex by grade (all staff)



[2] We refer to all staff employed by NES who are not employed as Doctors or Dentists in Training and working in NHS Boards as part of their training as core staff. This includes a variety of roles across our organisation.

[3] NES is one of four Lead Employers across NHS Scotland that employ Doctors and Dentists (DDiT) in training. We only include data on those trainees where NES is the employer.

Figure 2: Working pattern by grade and sex for Males (all staff)

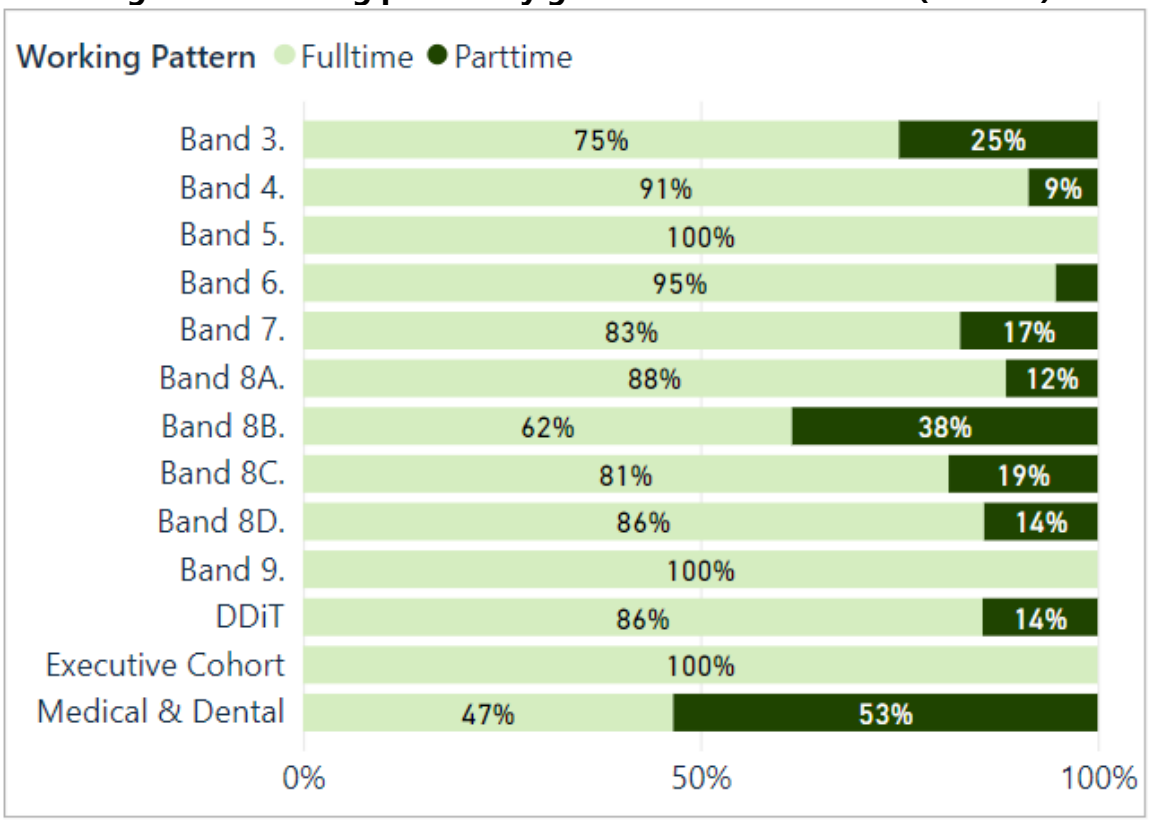
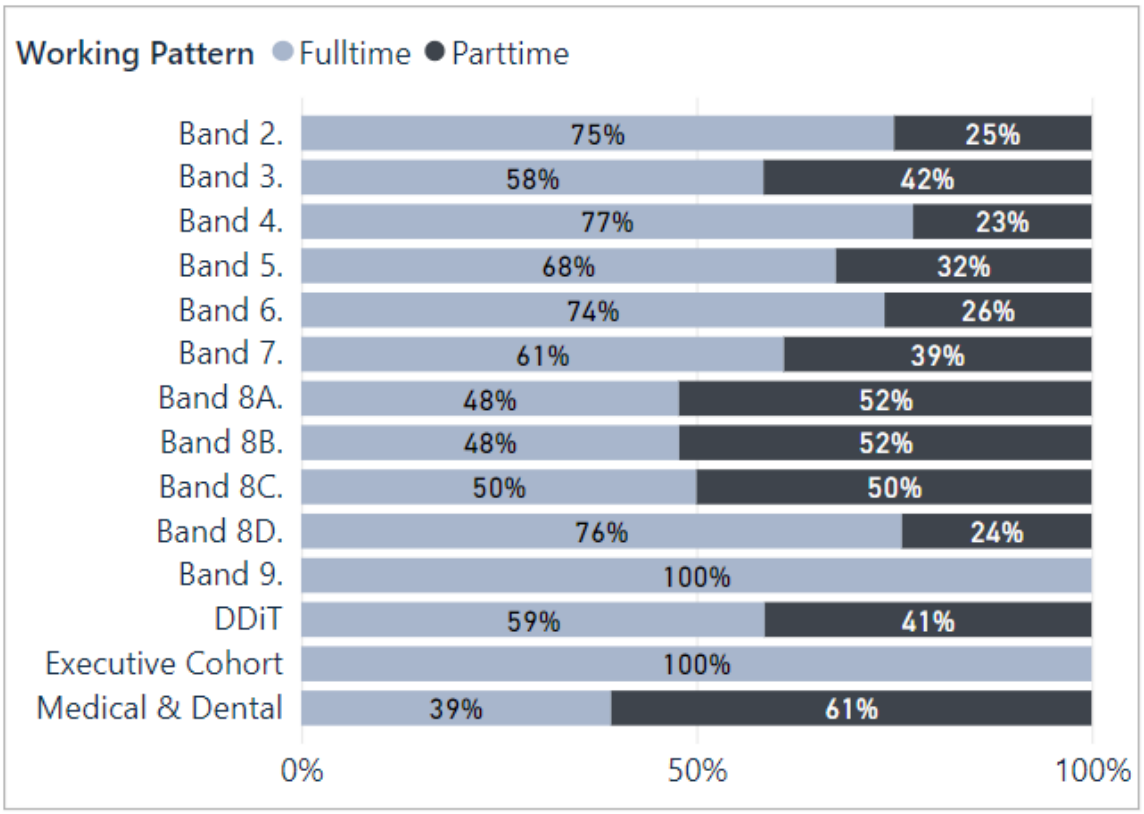


Figure 3: Working pattern by grade and sex for Females (all staff)



- For core staff, 36% (447) of the workforce work part-time, and a higher proportion of women (81%, 363 members of staff) work part-time compared to men (19%, 84 members of staff).
- Part-time workers are represented across most grades.
- The highest ratios of part-time working are on Medical and Dental terms and conditions, followed by bands 8B, 8A and 8C. . These include sessional staff who work part-time for NES in an educational capacity but often have clinical roles in NHS Scotland.
- Full-time work is more common at bands 4, 6, 8D and 9.
- The Executive Cohort of staff are all full-time.
- At less than 20% the Workforce, Finance and NES Technology Directorates have the fewest part-time workers.

2.2 Ethnic Origin

Our core staff are primarily white (92.84%), with 5.39% of staff identifying as being from a Black, Asian, Other ethnic backgrounds, or mixed ethnic background. This is an increase from 4.8% in 2022. Of the 92.84% who identified as White, 71.64% are White Scottish and 13.87% are Other British.

The ethnic origin of 1.77% of NES core staff is unknown which is a reduction from 7% unknown in 2022. This is due to better completion rates of data upon joining NES. Unknown data is where individuals have not disclosed this information or data is unavailable. For certain types of workers we do not have a full data e.g. those on secondment agreements where we only have gender and age for payroll purposes, and staff on agency contracts.

- 44.25% of Minority Ethnic staff are represented in bands 5 to 7
- 26.23% of Minority Ethnic staff are represented in bands 2 to 4.
- 16.39% of Minority Ethnic staff are on Medical and Dental contract
- In Bands 8A-D, 1.92% report to be from a minority ethnic background.
- 100% of the Executive cohort are White

Figure 4: Ethnicity (core staff)

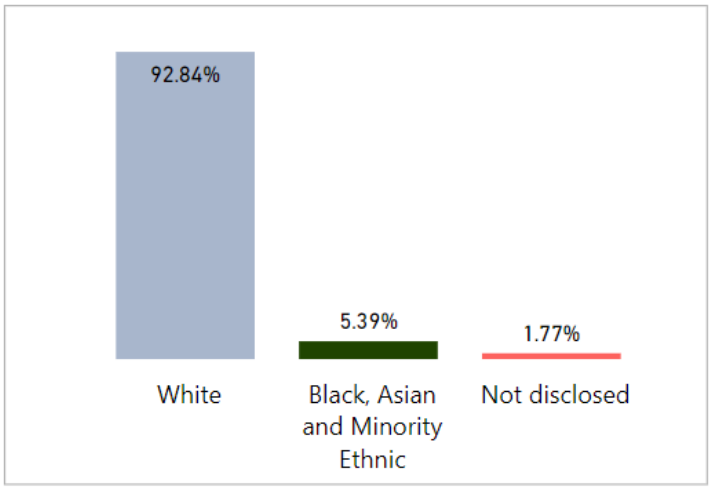
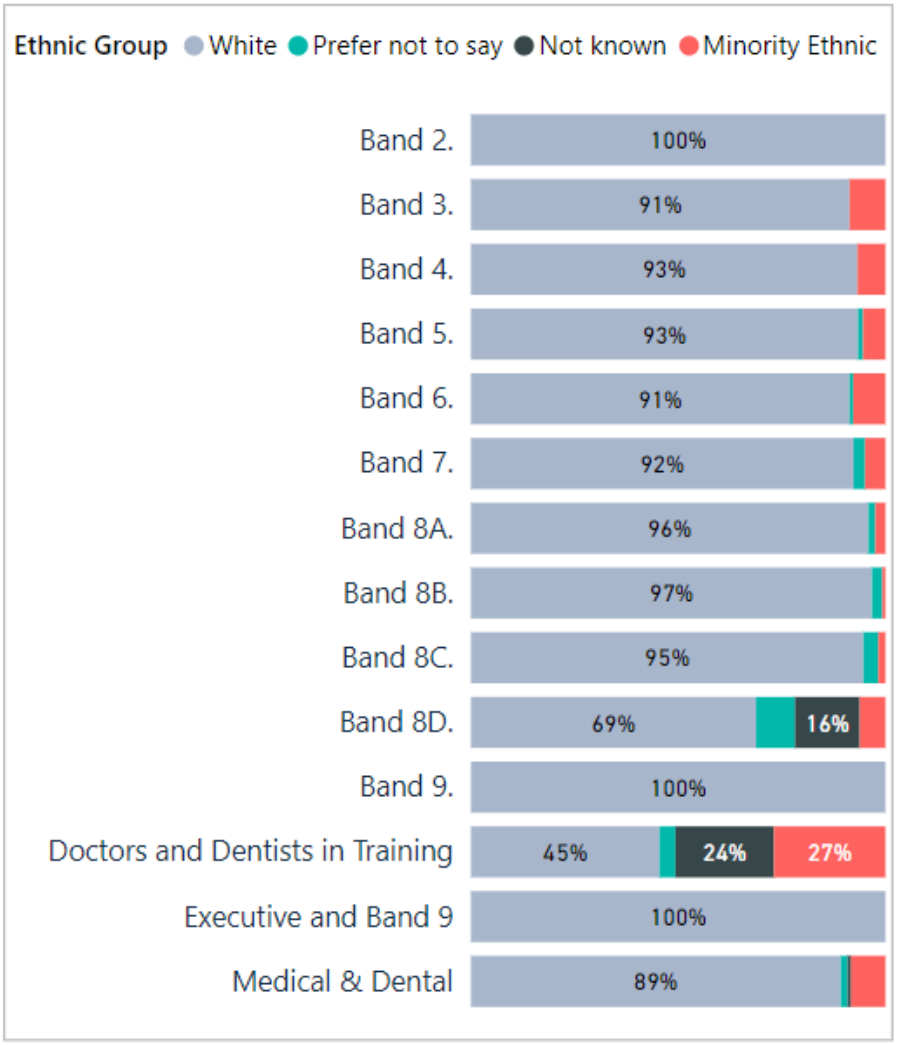


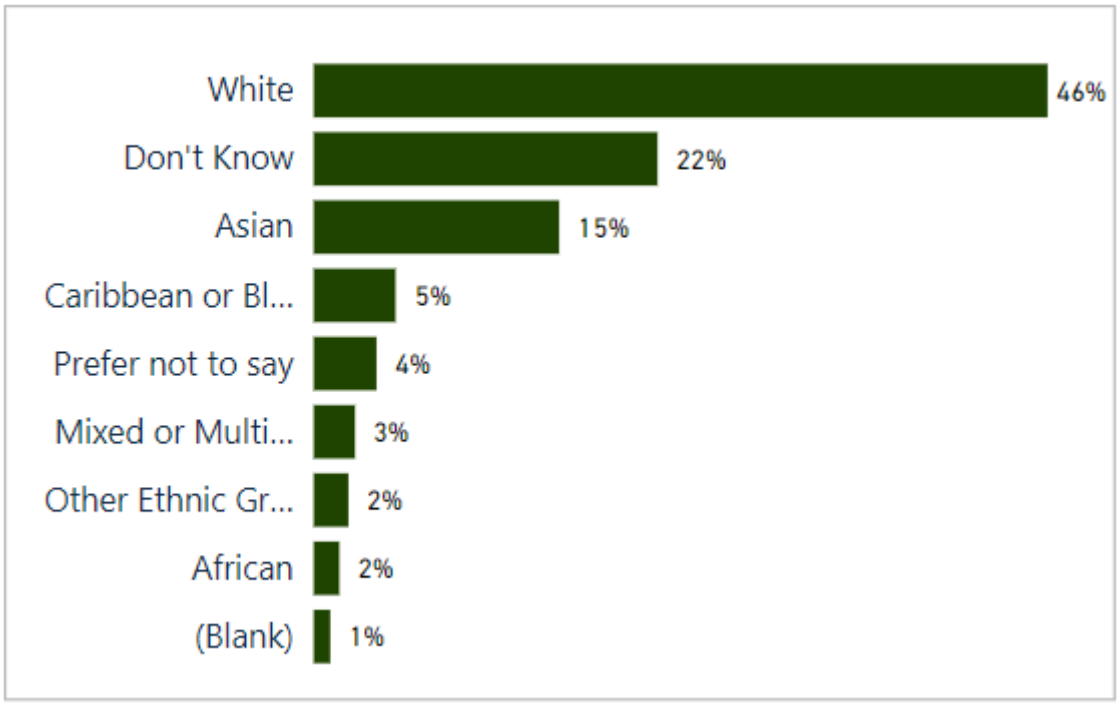
Figure 5: Ethnicity by Grade (all staff)



27% (22% in 2022) of DDiT have disclosed to be from Black and Minority Ethnic, mixed or other ethnic backgrounds. 26% have not provided data on ethnicity ('Prefer not to say' and 'Not known') and this is a pattern that is seen across the protected characteristics in this cohort of staff. This information is provided to us from the national recruitment system for DDiT.

A lack of equality and diversity data for DDiT (and the wider workforce) is an issue for other Health Boards and parts of the system. For example, the Scotland Deanery in NES, which works with Health Boards and GPs to provide training for all DDiT has undertaken a campaign to encourage all trainees to provide up to date equality and diversity information through the Turas platform. This led to an increase in completion of data and will be repeated in 2023. This data is in relation to NES's training role and covers all trainees, rather than NES in its employment function as a Lead Employer.

Figure 6: Ethnic origin (DDiT)



To put our workforce ethnicity data in context we set out below the most recent census data for the Scottish population and the wider NHS Scotland ethnicity profile.

According to the 2011 census[4]:

- Scotland's population was 96.02% white, 2.66% of Scotland's population identified as Asian, Asian Scottish or Asian British.
- African Caribbean or Black groups comprised just over 1% of Scotland's population.
- Under 1% of Scotland's population identified as having a Mixed, Multiple or Other ethnicity.

As of 31 March 2023, NHS Scotland ethnic diversity:

- 71.20% identified as White
- 2.87% identified as Asian, Asian Scottish or Asian British
- 0.79% identified as African, Caribbean or Black
- 0.50% identified as having Mixed, Multiple or Other ethnicity

However, these figures vary across job roles and Health Board areas with varying levels of completion rates across NHS Boards.

[4] Data from the 2022 Census on ethnicity and other characteristics will be reported in 2024

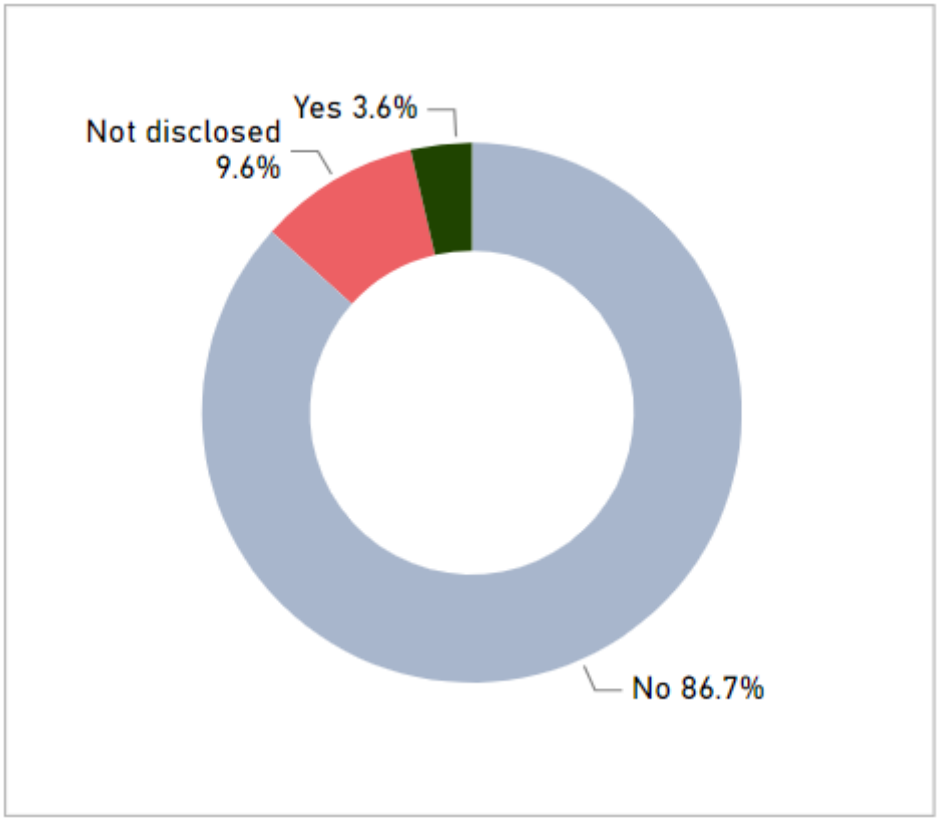
2.3 Disability

Figure 7 shows that

- 3.7% of core staff identified themselves as disabled
- 86.7% as advised they did not have a disability
- 9.6% preferred not to answer or data was unavailable.

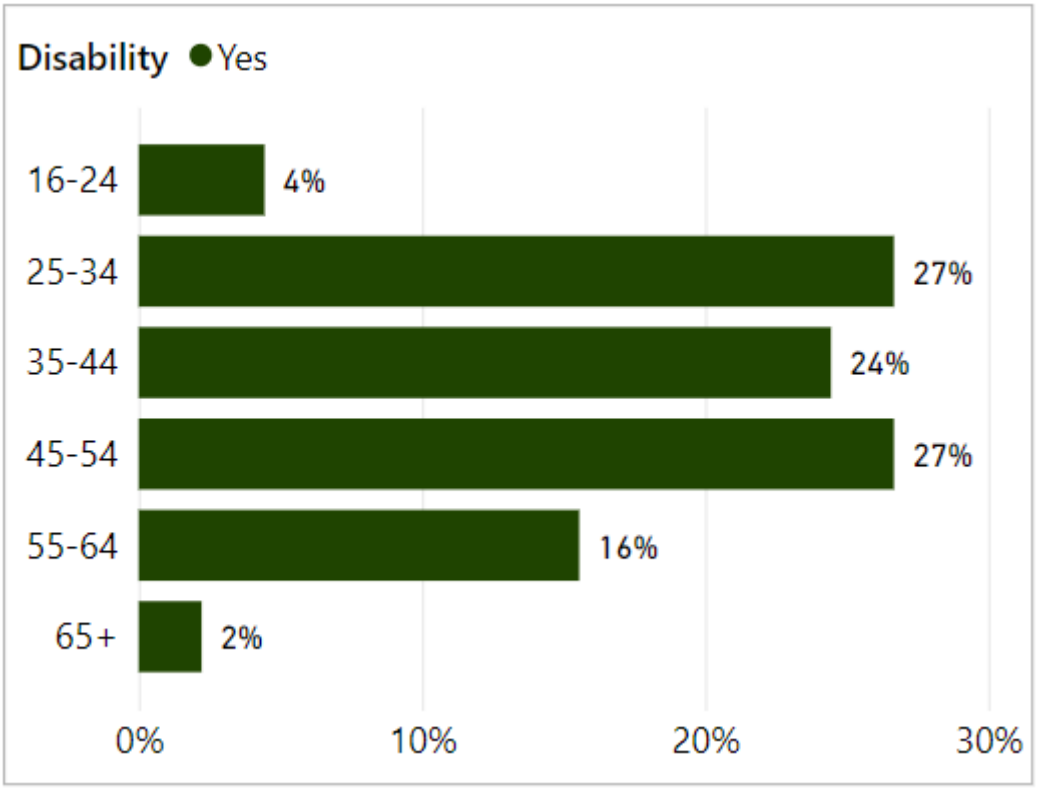
Figure 8 shows the percentage of disabled staff in each age cohort showing higher disability in age cohorts 25-54. We have reason to believe that our disability data reflects under-reporting. Over 24% of the working-age population as of 2021 are disabled.[5] We will encourage staff to update their equality and diversity employment information as this may have changed since taking up employment in the organisation. This was an action identified in our 2021/2022 report and an update is included in this report.

Figure 7: Disability (core staff)



[5] Guest blog – Disability Employment in Scotland: Initial Findings – SPICe Spotlight | Solas air SPICe (spice-spotlight.scot)

Figure 8: Disability by Age Group (core staff)



For NES employed DDiT, 1.2% identify themselves as disabled. The actual figure is likely to be higher given that 49.8% of DDiT have not provided information about disability status. This is higher than non-disclosure about ethnicity.

Our specialist lead for Disability has a specific role to support our staff, including DDiT where we are the Lead Employer, with reasonable adjustments in the workplace. As identified above, work by NES is required to encourage DDiT to complete equality and diversity monitoring to improve data and importantly the actions that we can take to progress equality for disabled people in the workplace.

2.4 Age

- 78% of core staff are aged between 35 and 64
- The highest % of core staff are aged 45-54 at 30.79%
- The lowest % of core staff are aged 65 or over at 1.13%
- Just under 70% of DDiT are aged 25-34

NES has a high number of posts requiring specialist skills or knowledge across various professional fields which may be a factor in low numbers under age 35.

Figure 9a: Age (core staff) insert

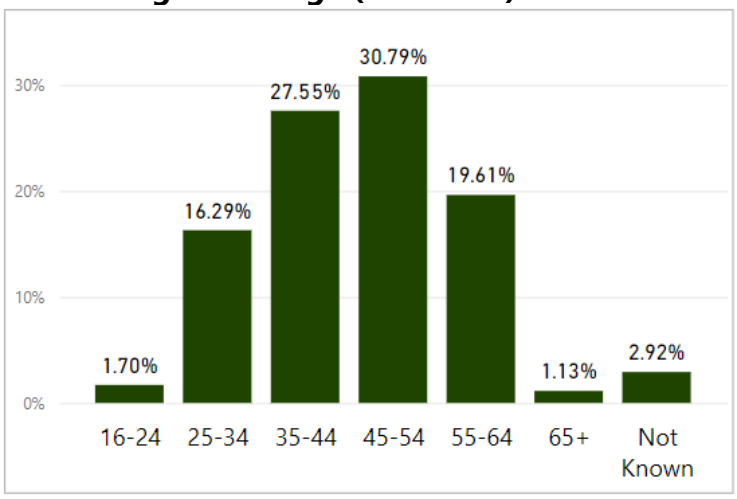
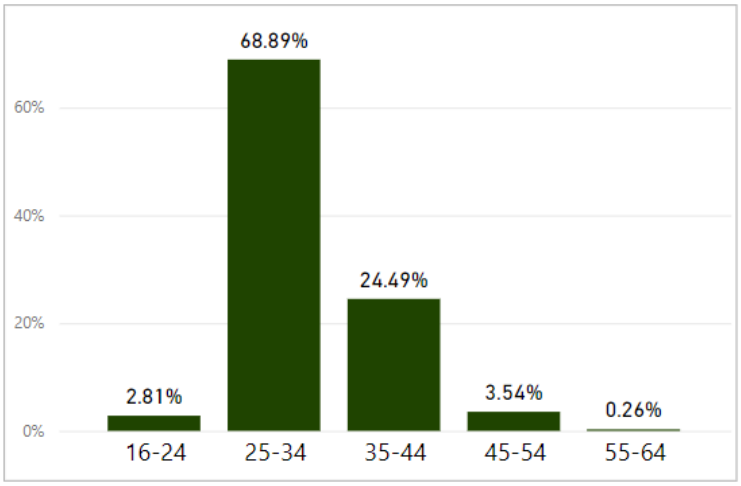


Figure 9b: Age (DDiT)



2.5 Religion or Belief

Figure 10a (core staff) and 10b (DDiT) sets out our employee data on religion and belief . NES's core staff reflects a range of religious affiliations, although 'No religion' is the most common identification at 46%.

Figure 10a: Religion (core staff)

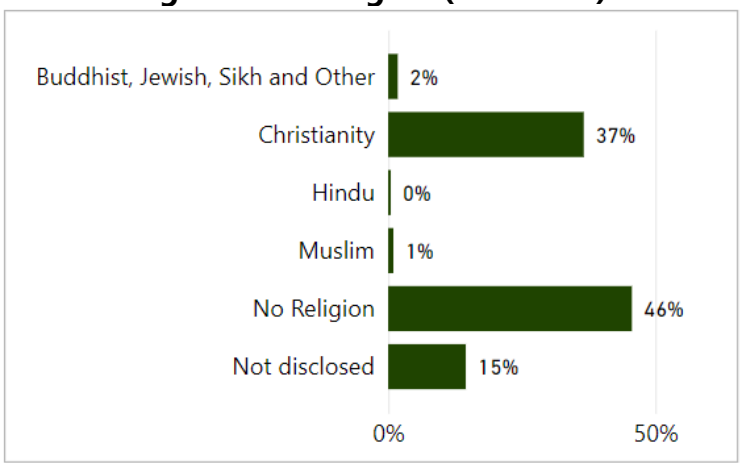
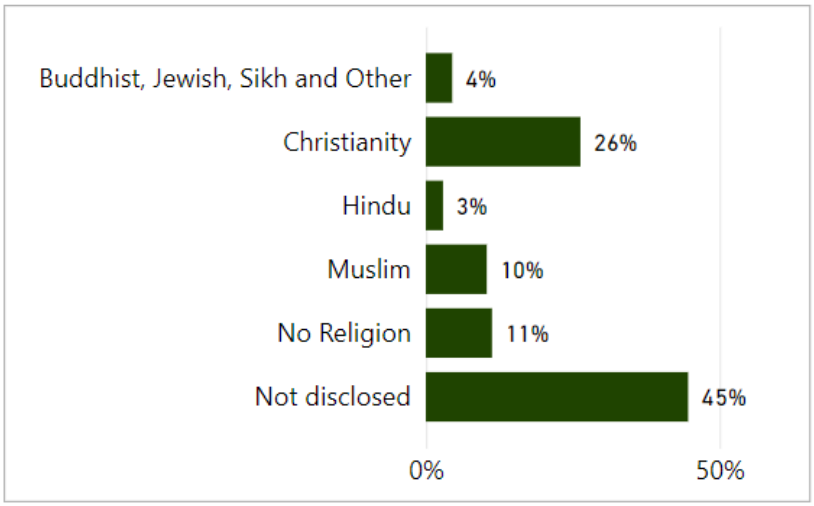


Figure 10a: Religion (DDiT)

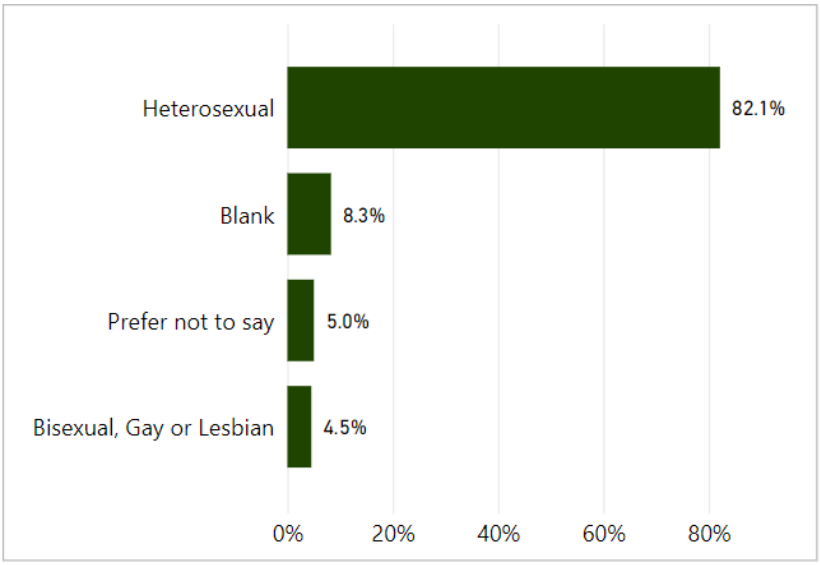


2.6 Sexual orientation

- 4.6% of core staff identify as Lesbian, Gay or Bisexual, an increase from 3.9% in 2022.
- 3.7% of DDiT identify as Lesbian, Gay or Bisexual, also a slight increase from 2022.
- The non-disclosure (Preferred not to answer or Not known) rate for core staff is 13.3% and for DDiT is 30.5.

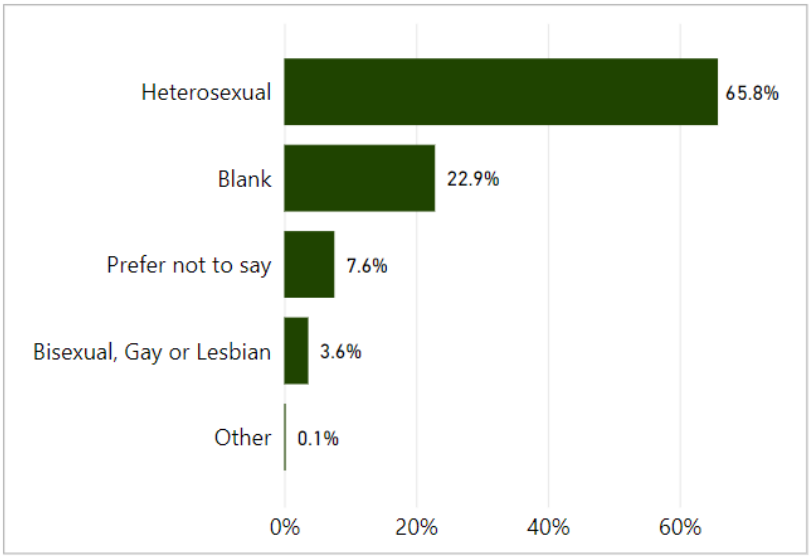
A UK-wide Annual Population Survey[6] in 2020 found that 3.1% of Scottish participants identified as gay, lesbian or bisexual. Scotland's 2022 census survey will report information on sexual orientation in 2024.

Figure 11a: Sexual orientation (core staff)



[6] ScotPHO Sexual Minorities

Figure 11b: Sexual orientation (DDiT)



3. RETENTION

We monitor employment policy related casework, disaggregated by protected characteristics, and the profile of staff who leave the organisation during the year, in case of any patterns emerging. We also carry out a thematic analysis of exit interviews.

Employment related casework is classified as formal management of a range of employee relations activities, including attendance management, disciplinary, grievance, bullying and harassment, capability and dismissal. We collect and analyse data on a range of activities.

There were 6 formal employee relations casework events were recorded for core NES staff: 2 for conduct/disciplinary, 2 for capability and 2 for attendance. The same figures for DDiT were 6 for conduct/disciplinary, 2 for bullying and harassment, 1 for grievance. The number of formal cases is too small to permit disaggregated reporting by protected characteristics.

Our approach is to support early and informal resolution of issues where possible. We record informal employee relations support, which may involve advice to staff or managers around specific issues or policies. Informal support is not recorded against individuals and thus is not analysed by protected characteristics.

Between 1 April 2022 and 31 March 2023, 141 employees left NES and 73 completed the exit questionnaire. Of the leavers, 70.21%, N=99 were on permanent contracts, and 29.79%, N=42 were on fixed-term contracts. See appendix 1 for a breakdown of our leavers profile.

We collect and analyse data on NES core staff who leave the organisation. In the exit questionnaire, leavers are asked a range of questions concerning their experience working for NES. This includes the reasons for leaving (see Figure 11). As part of exit interviews, we also ask how fairly the respondents felt they were treated, how

respected they were, what the attitude to diversity was like in NES and their satisfaction with the organisation when leaving.

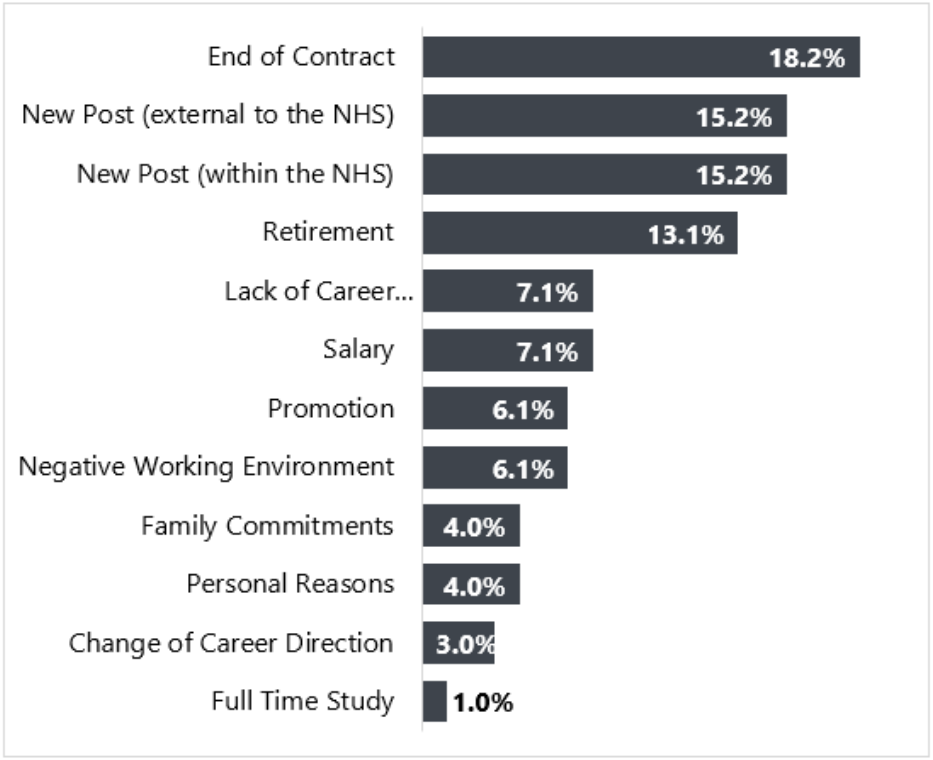
- 83.5% of respondents did not feel that they had been disadvantaged on account of a protected characteristic.
- Further work is required to understand those who did not respond positively to this question as part of the exit interview to enable issues to be addressed through workforce policies and procedures and the personal development and review process.

The attitudes of people leaving NES remain largely positive towards the organisation. 64.33% of staff said they were either very satisfied (34.2%),) or fairly satisfied (30.1%), towards the end of their employment with NES. 24.7% said they were fairly or very dissatisfied. Of those who said they were fairly or very dissatisfied:

- 89% were female (N=15)
- 5.6% (N= under 5) were disabled
- 11.1% (N= under 5) were from a minority ethnic background
- 33.3% (N=6) were 55-64 and 27.8% were 25-34 (N=under 5),
- 55.6% (N=10) were Band 5-7,
- 33.4%(N=6) were on fixed term contracts and 66.7%(N=12) were on permanent contracts

We have looked at leavers who reported dissatisfaction upon leaving the organisation by protected characteristic to ensure there are not patterns that highlight wider issues.

Figure 11: Leaving reasons (core staff)N=73



Those leaving the organisation represent just under 10% of the core workforce. See Appendix 1.

- Males as a proportion of the workforce are more likely to leave the organisation than females (31.7%, N=45)
- There is a higher proportion of staff in age groups 25-34 leaving the organisation. This may reflect the stage in career in these age brackets.
- 10.6% (N=15) of leavers are from a minority ethnic background. This is higher than the 5% figure in 2022 and a higher proportion than the percentage of staff in the workforce from a minority ethnic background. Half of leavers were on a fixed term contract. The numbers are however small.
- 3.5% (N=under 5) of LGBT staff left the organisation, which is a lower proportion than in the workforce (4.5%) and lower than the figure in 2022.
- 39% (N=55) of staff who left the organisation advised they are Christian with the largest proportion of leavers advising they have no religion at 47.5% (N=67)

As we seek to increase the diversity of our workforce and progress equality for under-represented population groups, analysis of the proportion of staff who leave the organisation by protected characteristic to investigate possible reasons for this is important.

4. STAFF DEVELOPMENT

This section relates to our core staff only. Education for DDiT is governed through their foundation, core or higher specialty training programmes and follows the curricula written by the Medical Royal Colleges and the Faculty of Dental Surgery and is approved and published by the General Medical Council and General Dental Council.

We analyse access to development for core staff by reviewing data on promotions, secondment or internal attachment, 'acting up' or temporary promotion and data on training. Although our systems enable us to disaggregate all of the data by protected characteristics, some datasets (promotions, secondment/internal attachment, acting up) are quite small and permit only limited analysis.

4.1 Promotions

A promotion within NES is defined as a staff member moving to a higher grade/band on a permanent contract. This report also includes temporary arrangements which provide a development opportunity for staff. By looking at promotions by protected characteristic we can identify if any groups are not experiencing equity in opportunity for career progression. This section does not include DDiT.

From April 2022 to March 2023, there were 75 promotions. Promotions were distributed across the organisation, with at least one in each directorate. A breakdown of promotion by protected characteristics is illustrated in Appendix 2.

- Almost 80% (60 members of staff) of promoted staff were female. This reflects the higher proportion of females in the organisation (72% of NES Core staff are female)
- While males progressed more quickly than females overall with an average of 8.1 years service (8.2 years service for women) this was reduced from last year where the gap was 6.4 years for men compared to 8.2 years for women.
- Staff aged between 25-54 accounted for 86.3% of promotions. Employees aged 55-64 account for 14.7% of the promotions. There were no promotions for employees aged 16-24.
- 2.7% of staff promoted were from a minority ethnic background. This is lower than the proportion of staff in the workforce who have advised they are from a minority ethnic background (5.39%)
- Just under half identified as 'no religion'
- 4% of the employees promoted identified as being disabled. This is higher than the proportion of staff currently declaring a disability in the workforce (3.6%).
- 5.3% of employees promoted identified as LGBT, which is higher than the proportion of LGBT staff in the workforce (4.5%)

4.2 Training

See Appendix 3. We provide a range of staff development opportunities including work-based learning, e-Learning, attendance at conferences, staff panels and specialist learning events alongside a range of development courses and mandatory (essential) learning via our digital learning platform, Turas Learn. All courses housed on this system provide attendance/completion data. We also provide a range of self-directed learning as well as webinars and other digital learning offered directly to staff members via Microsoft Teams. These sessions are currently not logged against the individual learning record in Turas and we do not monitor rate of participation by protected characteristics.

We also have a Workforce Development Fund to support staff with funding for learning and development. The fund is promoted to all staff across the organisation and priority is given to staff in Bands 2-6. We currently do not undertake equality monitoring of applications to the fund and will look to introduce this should it continue next year to ensure there is equity in opportunity.

5. RECRUITMENT AND SELECTION

The outcomes for recruitment and selection of core staff are analysed in this section. DDiT are recruited through a national recruitment process for appointment to training posts across NHS Scotland (excludes Locum Appointments for Training). The standards and criteria for this process are set at UK level. Outcomes from this process are analysed separately at a national level. This is available at Equality and diversity 2021 recruitment data | Medical Hub (hee.nhs.uk)

Appendix 4 summarises the overall number of applications and number of individuals shortlisted, interviewed and appointed to our core staff and applications by protected characteristic during the period 2022/23

5.1 Attraction

We have revised and refined our approach to advertising posts, adopting a model which offers clearer and more precise information about the post and the skills and knowledge required in the person specification. A new style advert and job pack has been successfully piloted in 2022 and will now be rolled out across NES vacancies by end of March 2023.

Our vacancies will continue to be considered for internal advert in the first instance (i.e. to existing NES workers, including agency and secondments) before consideration is given to advertise externally. All vacancies pass through a robust corporate establishment control approval process prior to advertising, with data monitored at each stage of the recruitment cycle.

Data for 2022/23 indicates that 24.1% of applications were made by candidates from Black, Asian and Minority ethnic candidates, which is an increase from 21% in 2021/22. The diversity of applicants for posts varies across the organisation, with the greatest diversity of applicants for posts in the Medical, Workforce and Technology Services Directorates.

Applicant ethnic diversity was lower for posts in the fields of Finance and Planning & Corporate Resources. It was slightly below average in the Psychology and Dental Directorates, although there were a small number of applicants in comparison to other directorates.

We received 1880 (from a total of 7787) applications from applicants from Black, Asian and minority ethnic backgrounds. Applicants from Black, Asian and minority ethnic backgrounds have the most significant differential likelihood relative to those of white ethnicity of progressing from interview to appointment (16% vs. 27%). In 2022/23, it was 18% vs. 26.6%. From application to appointment, the % of applicants from a Black, Asian and Minority ethnic background was 1.87% compared to 5.36% for White applicants. Of the 1880 applicants, 1238 (66%) advised that they required a work permit which may mean that many of the applicants were not eligible to take up a post. We will continue to monitor this.

8% of applicants (627) for all posts identified themselves as disabled. As over 24% of the working-age population in Scotland have a disability we would expect this to be higher. We have renewed our Disability Confident Employer Status and will promote this on our website and as part of our recruitment materials.

6.7% of applicants identified as LGBQT+ and 0.74% identified as 'other' which compares with Stonewall Scotland's estimate of LGB people in the working age population. There is no significant difference between appointment rates of people who identify as LGB and those who identify as heterosexual.

Our applications represent a range of religious backgrounds and those identifying with no religion are most prevalent. We attract a similar percentage of applications from those identifying as Roman Catholic or Church of Scotland in the overall total number of applications. There is no significant difference in appointment rates between those identifying as Roman Catholic or Church of Scotland. The number of individual applications in most of the minority religions is too small for statistical analysis (less than 10%). 6% of applicants chose 'Prefer not to say' and 48% chose 'No religion'.

70% of our appointments in 2022/23 were women, which is similar to the rate reported last year. Women formed most appointments across the organisations and at most grades. Appendix 4 illustrates the age distribution of applications for core NES posts. 23.6% of applicants did not complete information on age.

6. PAY GAP

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012[7] specify that public authorities must report the gender pay gap in the form of 'information on the percentage difference among its employees between men's average hourly pay (excluding overtime) and women's average hourly pay (excluding overtime)'. The specific formula used for this calculation is the formula for the average pay gap set out in the guidance published by Close the Gap[8]. The specific formula is (A – B)/A X 100, where A = average hourly rate of pay of men and B = average hourly rate of pay of women.

Using this method of analysis, as of 31 March 2023 NES's overall gender pay gap is 2.75%. The average hourly pay for women in the public sector in Scotland is £19.09 and for men is £21.31. Our current gender pay gap is below the Scottish public sector average of 10.4%[9]

[7] The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 (legislation.gov.uk)
[8] https://www.closethegap.org.uk/content/resources/Gender-pay-gap-statistics-paper-2022.pdf
[9] Gender-pay-gap-statistics-paper-2023.pdf (closethegap.org.uk)

TABLE 1: Gender pay gap

This table provides a summary of the hourly pay rate and the gender pay gap for each contract group. The figures reported in this table show a comparison between women's and men's average hourly pay within the specific contract group.

Pay scale	As of March 2018	As of March 2019	As of March 2020	As of March 2021	As of March 2022	As of March 2023
Agenda for Change	1.25%	6.58%	9.62%	8.43%	6.02% (893)	5.60% (1069)
Executive Managers Cohort	-30.07%	-3.29%	-1.39%	-2.19%	-6.99% (7)	-2.34% (7)
GP/GDP Eds, CRUMP and Consultants	13.52%	8.12%	0.72%	5.67%	1.85% (121)	2.72% (130)
DDiT	-2.00%	-1.54%	4.73%	-1.26%	-1.30% (1727)	-2.63% (1926)
Pay Gap	**27.6%**	**13.3%**	**7.9%**	**7.0%**	**5.4%**	**2.7%**

Hourly Rate is calculated as ('Contracted Hours' x 52.179) / (Annual Salary * WTE)

In presenting the gender pay gap information, the nature of the calculations (based on average pay figures) means that the data is very susceptible to being skewed by large numbers of outlying pay levels. This is very relevant for the profile of the NES workforce. Over the course of the last two years NES has employed at large number of DDiT, which has contributed to reducing the gender pay gap.

If we extract DDiT from the pay gap calculations (given recruitment is undertaken at a UK level rather than by NES), NES's gender pay gap is 15.5%. When looking at the data this is due to a difference in average hourly pay of £52.14 for men and £50.72 for women in the 130 staff employed on Medical and Dental Pay Grades.

We have used the same method to calculate our Disability and Ethnicity Pay Gaps. These are set out below in Table 2 and Table 3. This is the first time we have published these pay gaps. We now also report to the Board on our Gender, Disability and Ethnicity Pay Gap as part of the Board's Key Performance Indicators.

TABLE 2: Disability pay gap as of 31 March 2023

Payscale	Average hourly rate for Disabled staff	Average hourly rate for all other staff	Pay gap	% Difference
Agenda for Change	£19.49	£23.40	£3.91	16.7%
Executive Managers Cohort	-	£61.25	-	-
GP/GDP Ed's,CRUMP and Consultants	£50.16	£51.42	£1.26	2.5%
Doctors and Dentists in Training	£21.24	£21.44	£0.20	0.9%
Disability pay gap	**£21.44**	**£23.61**	**£2.17**	**9.2%**

If we extract DDiT from the pay gap calculations NES's disability pay gap is 19.4%. This could be due to an increase in staff joining the organisation who disclose a disability and potential under-reporting of disability in the workforce e.g. staff who may have developed a disability since joining NES and data has not been updated to reflect this. There are also no staff declaring a disability in the Executive Managers cohort.

TABLE 3: Ethnic Origin pay gap as of 31 March 2023

Payscale	Average hourly rate for Minority Ethnic staff	Average hourly rate for all other staff	Pay gap	% Difference
Agenda for Change	£19.39	£23.43	£4.04	17.2%
Executive Managers Cohort		£61.25	£61.25	-
GP/GDP Ed's,CRUMP and Consultants	£52.12	£51.32	-£0.80	-1.5%
Doctors and Dentists in Training	£20.93	£21.85	£0.92	4.2%
Ethnic Origin pay gap	**£21.39**	**£24.05**	**£2.66**	**11.1%**

If we extract DDiT, the pay gap for NES Core Staff is 6.6%. The higher pay gap at Agenda for Change pay grades may be due to an increase in staff joining NES on entry-level pay banding.

The latest estimate show that Scotland's ethnicity pay gap was estimated to be 10.3% in 2019.[10] The Disability pay gap is has been calculated to be 16.2% in Scotland in 2019.[11]

7. Progress on recommendations

We identified the following recommendations from our workforce data equality analysis, published in April 2023. An update on the actions is provided below.

Action	Progress
Deliver a campaign to improve our annual workforce equality and diversity data following approval of a revised Equality and Diversity Form for all applicants through Jobtrain. This data will follow through if appointed for new recruits, but we recognise that data may change for staff in post e.g., disabilities may develop over time in the organisation.	The revised questions (development led by Scottish Government) were approved for use across NHS Scotland in August 2023 and arrangements are being made to make the relevant changes to IT systems. This will continue into 2023/24.
Deliver a specific campaign to encourage DDiT to update equality and diversity monitoring on Turas to improve our data collection and analysis for this cohort of staff. This will be undertaken following approval of the revised national Equality and Diversity Monitoring set of questions for NHS Scotland. It is dependent upon changes being made on Turas to reflect the new set of questions.	The new questions have been updated on Turas and information was sent to all trainees in August 2023. This action is reported via the Addressing Inequalities in Medical Education Group.
Roll out and evaluate the impact of newly developed eLearning modules for staff involved in recruitment and selection. This incorporates guidance on bias, values-based recruitment, and our role to create an inclusive and diverse workforce.	The modules have been finalised and are being promoted to staff in Quarter 3.
Analyse NES staff TURAS data by equality characteristic to improve our understanding of equity in opportunities for training and development in NES.	Complete. This data is included in this report in appendix 3.

[10] Analysis of Labour Market Outcomes of Scotland's Minority Ethnic Population (www.gov.scot)
[11] Disability Pay Gap - Labour Market Statistics for Scotland by Disability: January to December 2022 - gov.scot (www.gov.scot)

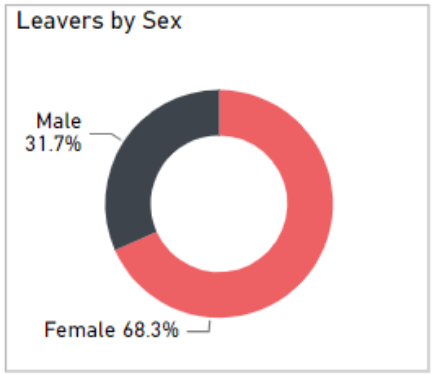
8. Recommendations

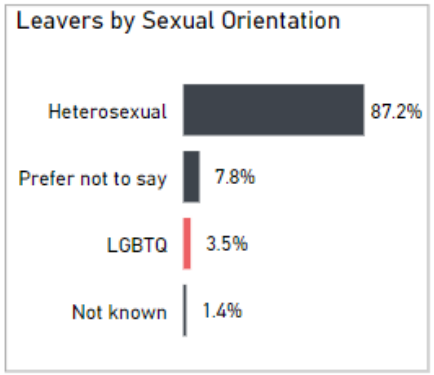
Employee monitoring is part of wider work at NES to progress equality, tackle discrimination and create an inclusive workplace for our staff. We have a specific Equality Outcome to improve recruitment outcomes for younger candidates, minority ethnic candidates and disabled candidates. We will continue to provide progress reports through our Staff Governance Committee and to our Board on our Equality Outcomes.

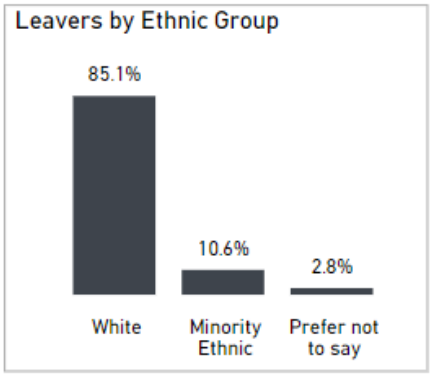
We are taking forward a number of actions which will contribute to NES as an inclusive, equitable and diverse workplace. Specific actions as a result of analysis of our workforce data and trends this year are:

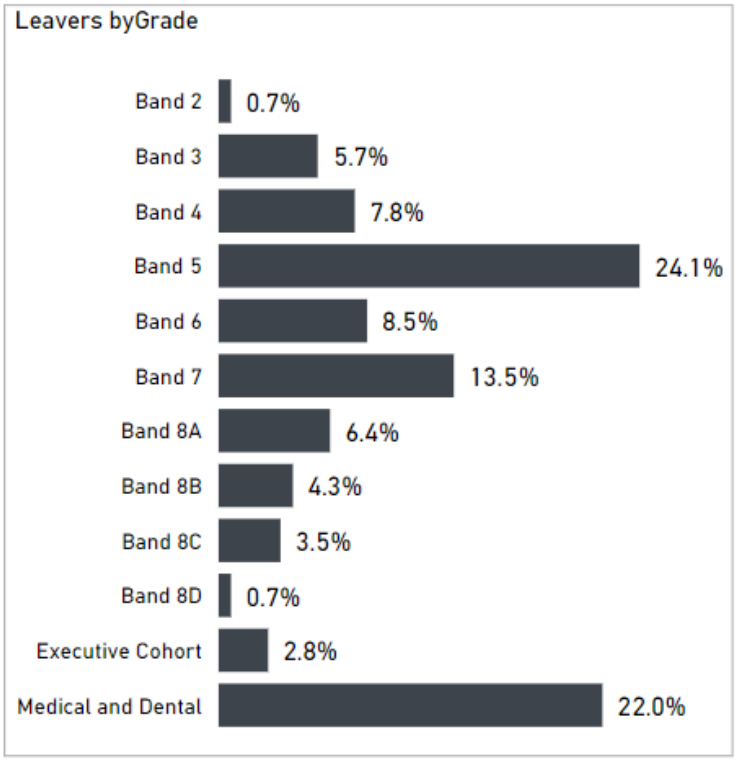
- Deliver a campaign to improve our workforce equality and diversity data following relevant system changes being done nationally following approval of new monitoring questions. This data will follow through if appointed for new recruits, but we recognise that data may change for staff in post e.g., disabilities may develop over time in the organisation.
- Evaluate the new recruitment e-learning modules, ensuring panel members undertake training.
- Revise NES website on equality, diversity and inclusion to promote our work as inclusive employer and our Disability and Carer Positive Awards.
- Annual reporting and trend analysis on pay gaps as part of Board Strategic Key Performance Indicators.
- Explore how to introduce equality monitoring of applications to the Workforce Development Fund.

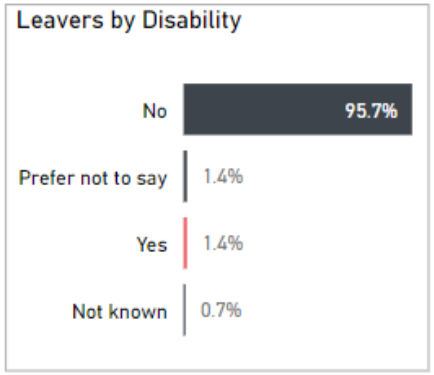
APPENDIX 1: Leavers profile (core staff)

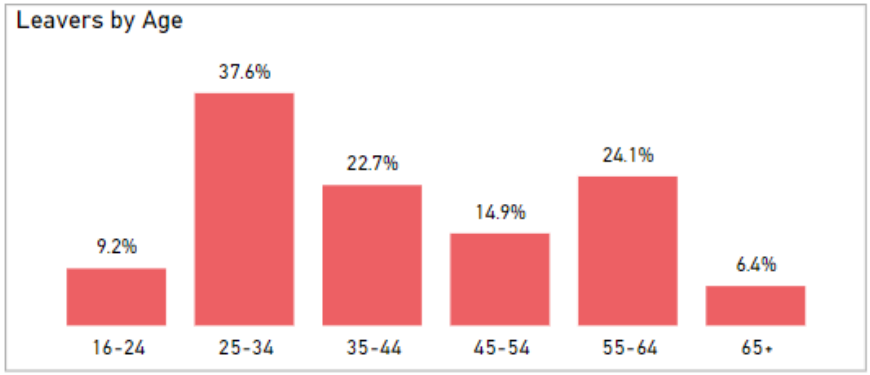


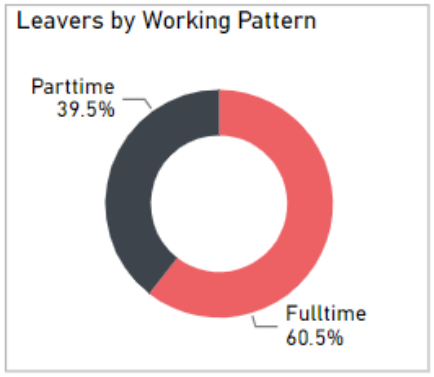


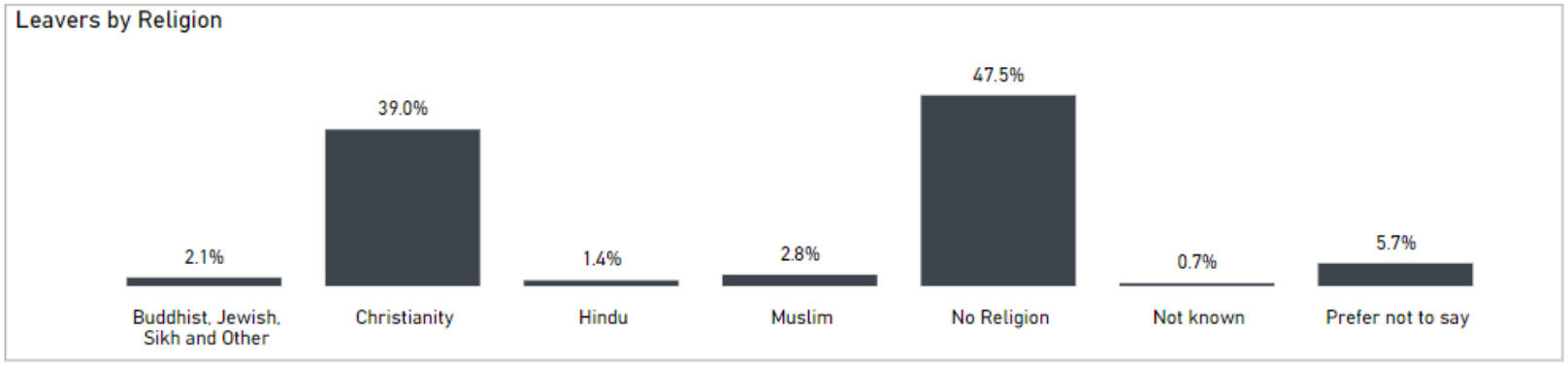






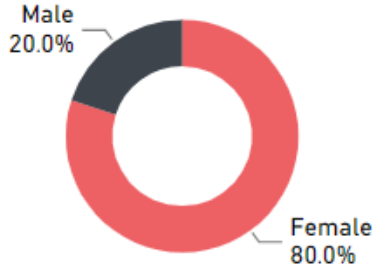




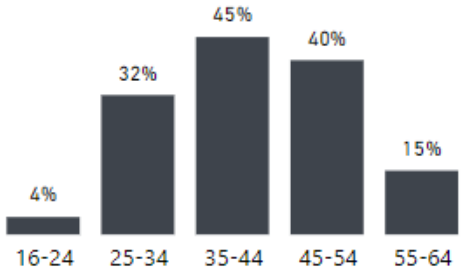


APPENDIX 2: Promotions profile (core staff)

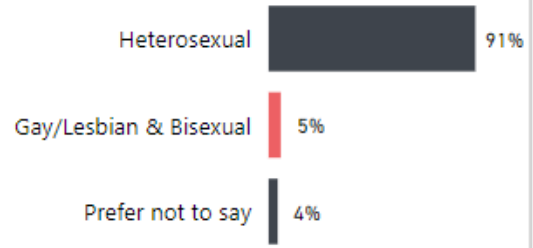
Promotions by Sex



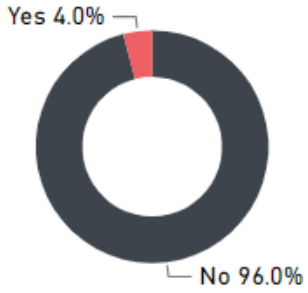
Promotions by Age



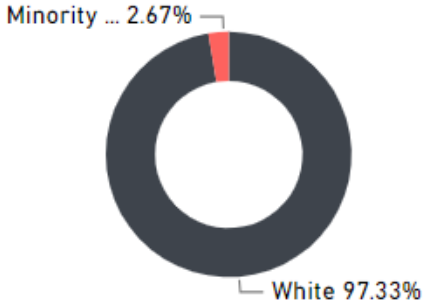
Promotions by Sexual Orientation



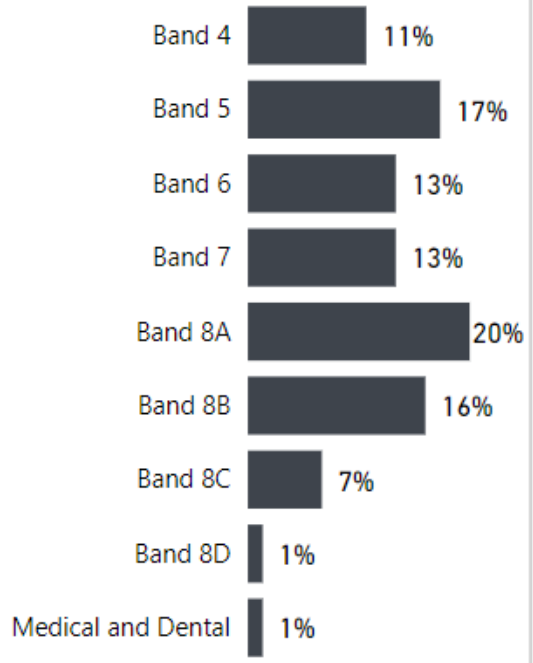
Promotions by Disability



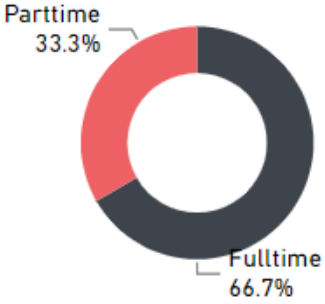
Promotions by Ethnic Group



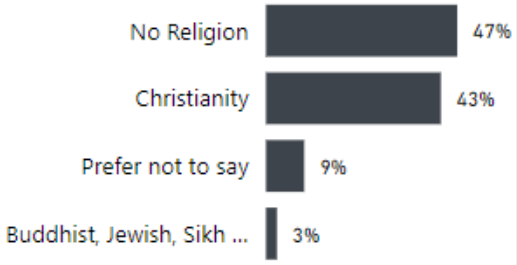
Promotions by Grade



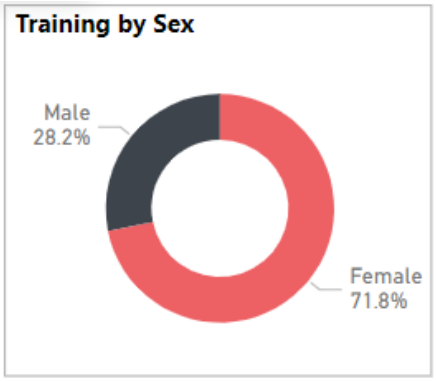
Promotions by Working Pattern

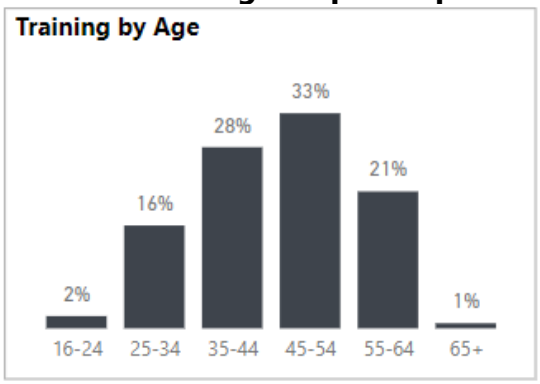


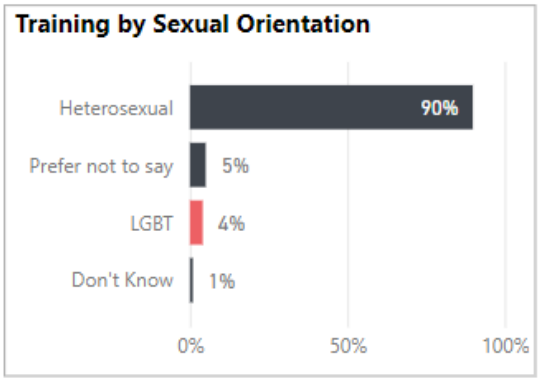
Promotions by Religion

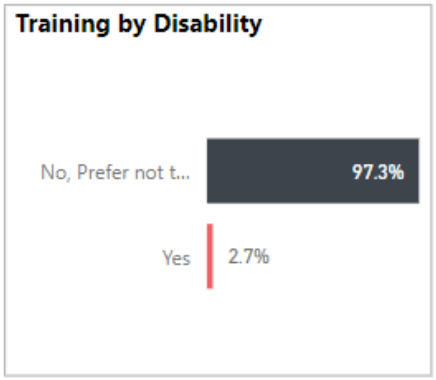


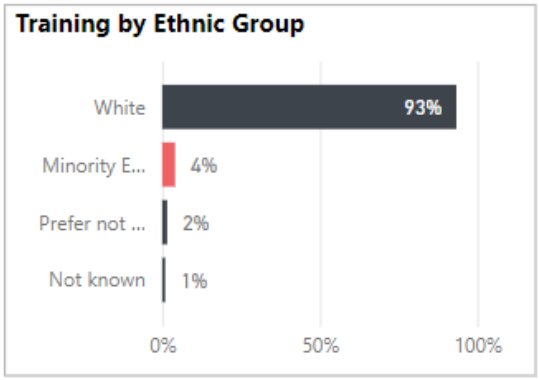
APPENDIX 3: Training completed profile (core staff)

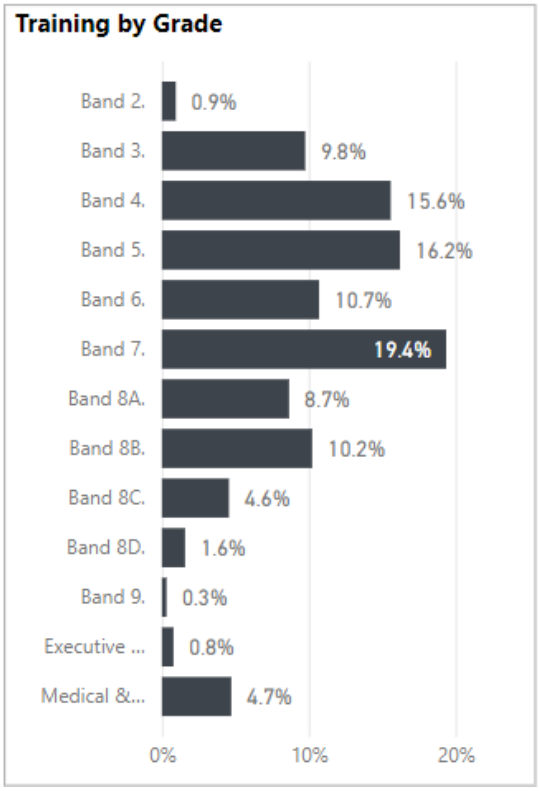


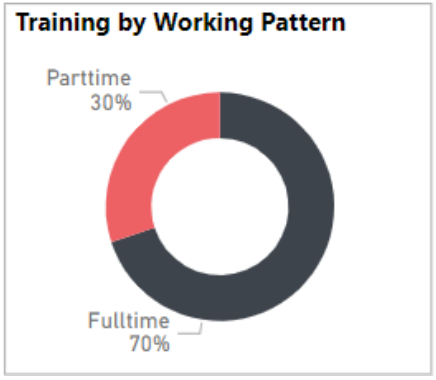


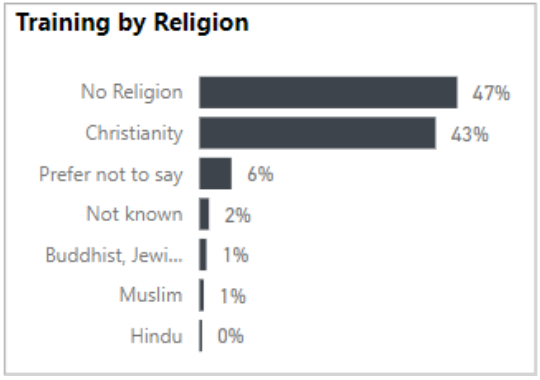




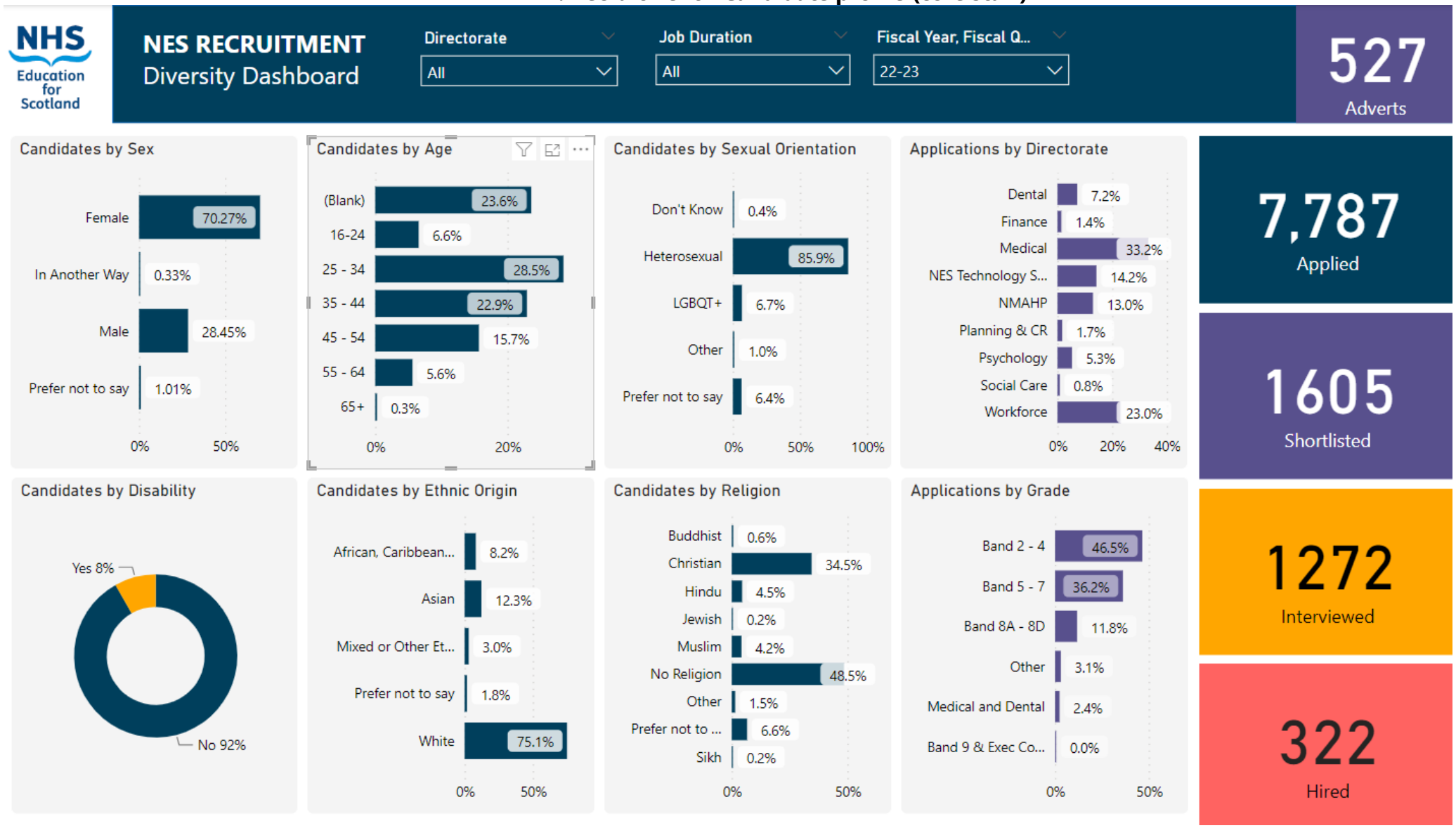








APPENDIX 4: Recruitment - Candidate profile (core staff)



This resource may be made available, in alternative formats and community languages. Please contact us on **0131 656 3200** or email **altformats@nes.scot.nhs.uk** to discuss how we can best meet your requirements.

NHS Education for Scotland

Westport 102

West Port

Edinburgh

EH3 9DN

© NHS Education for www.nes.scot.nhs.uk Scotland [2023]. You can copy or reproduce the information in this resource for use within NHSScotland and for non-commercial educational purposes. Use of this document for commercial purposes is permitted only with the written permission of NES

NHS Education for Scotland **NES/23/75**
Item 10a
Date of meeting: 23 November 2023

NES BOARD

1. Title of Paper

2023/24 Quarter 2 Finance Report

2. Author(s) of Paper

Jim Boyle, Director of Finance

Laura Howard, Deputy Director of Finance

Alan Young, Acting Head of Finance Business Partnering

3. Lead Director(s)

Jim Boyle, Director of Finance

4. Situation/Purpose of paper

The purpose of this paper is to:

4.1 Inform the Board of the financial position at the end of Quarter 2 (Q2) of financial year 2023/24, including the year-end forecast of the financial position, based on actual performance to the end of Q2 as well as anticipated activity for the remainder of the financial year.

4.2 Highlight the ongoing work with Scottish Government (SG) finance and policy teams on funding which continues to create financial planning uncertainty for NES.

5. Background and Route to Meeting

5.1 The financial plan which supports the Annual Delivery Plan was approved by the NES Board on 23 March 2023. This consisted of a baseline budget of £524.4m for NES to carry out its core activities with non-recurring funding of around £150m indicated at that time for additional commissioned work by the SG policy teams.

5.2 Throughout the year Scottish Government policy teams ask NES to carry out additional commissions aligned to the NES strategy and are supported by further funding. Work with Scottish Government is ongoing to ensure funding

requirements are based on the most up to date information available and can be fully utilised in the financial year.

5.3 As also detailed in the funding letter from the Director of Health Finance and Governance of 15 December 2022, all Boards are required to engage with the Scottish Government led Sustainability & Value review which has asked Boards to identify savings of 3% in this financial year.

6. Assessment/Key Issues

6.1 At the end of Q2 (September), NES remains on track to meet its financial targets. The year-to-date reported position is an underspend of £2.8m, mainly due to phasing of budgets against actual spend, with a **full year forecast of break even**.

Performance Indicator	**Year-End Forecast**	**Q2 Position (YTD)**	**Q1 Position (YTD)**
Revenue Outturn	£0m	£2.8m	£0.7m
Cash Releasing Efficiency Savings Total	£3.7m	£2.4m	£1.5m
Non-Recurrent Savings Target	£6.9m	£6.2m	n/a

6.2 At Q2 NES had received £549.4m of funding from Scottish Government. This includes £527.7m (100%) of baseline funding and £21.6m (12%) of additional allocations. In the month of October, we received a further £70m, taking the expected 2023/24 allocations up to a confirmation level of 50%. We continue to work closely with colleagues in Scottish Government to ensure the remaining 50% of additional allocations are received in the next quarter. This relatively low level of funding confirmation represents a financial risk to NES at this stage, although it is expected that the vast majority of this funding will be received as expected. Appendix 2 to the attached detailed financial report provides a risk assessment of the outstanding allocations, and indicates that £82.5m of outstanding funding has been agreed in principle and is rated as **AMBER**, with only a small balance of outstanding allocations being graded as **RED** at this stage.

6.3 The 2023/24 financial plan assumed £1.65m of carry forward from 2023/24 to 2024/25. NES has not received confirmation from Scottish Government on this, and in light of the extreme pressures across NHS Scotland, NES are looking at all options to fully utilise this funding in year.

6.4 Savings plans are ahead of target at Q2 with 71% of full year savings target achieved to date. We expect to exceed our savings target in this financial year.

6.5 In August 2023, all National Boards were asked by Scottish Government to consider options for stopping, reducing or rescheduling commissions funded through anticipated non-recurring allocations, to support the wider NHS Scotland financial challenge. Savings levels of 5% and 10% of in-year Scottish Government allocations were required to be presented. At the meeting with Scottish Government Health Finance and the Director General for Health and Social care in August a savings target of £6.9m was set, equivalent to the 5% target level, and deducted from NES allocations. At that stage NES had identified deliverable savings of £4.7m (Category A), from work not yet commenced at that stage, with further options to the value of £1.6m that could potentially be postponed or rescheduled. Scottish Government accepted the £4.7m Category A savings, but requested NES to consider further additional options to achieve the £6.9m (5%) savings target. Those options could include savings from baseline work that could be paused or rescheduled. NES then presented further options to meet the £6.9m savings target.

6.6 The additional savings included a saving of £0.75m from reducing work on the Vaccinations Technology Programme. However, Scottish Government have confirmed that they wish that work to continue as planned, even though the funding to NES has been reduced, and this has now created a funding gap that requires to be bridged through other means. The Executive Team is working to identify further savings to close the gap.

6.7 The Executive Team is committed to identifying options across the entire NES budget to meet this funding gap, to ensure that NES delivers a breakeven financial position by the end of the financial year 2023/24.

6.8 The finance team will work with the directorates to carry out a deep dive of forecasting assumptions and funding expectations during October, to ensure that any potential savings are highlighted to the ET, Board and Scottish Government as early as possible. Any significant movements in the forecast year-end position will be reported to the Board as part of the Q3 Financial Report.

7. Recommendations

7.1 To review and approve the financial results and forecasts set out in this report.

Author to complete **checklist.**

Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☐Yes
☒No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☐1. People Objectives and Outcomes
☐2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☐Yes
☒No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒Yes
☐No

g) Have you considered a staff and external stakeholder engagement plan?

☐Yes
☒No

Author name:
Alan Young, Acting Head of Finance Business Partnering
Laura Howard, Deputy Director of Finance
Jim Boyle, Director of Finance
Date: 30/10/23
NES

FINANCIAL SUMMARY REPORT

PERIOD 6 (SEPTEMBER) 2023/24

Contents

1. **Executive Summary** **Page 2**
2. **Operational Performance** **Page 4**
3. **Scottish Government Additional In-Year Allocations** **Page 7**
4. **Cash Releasing Efficiency Savings (CRES)** **Page 10**
5. **Additional Savings Target Summary** **Page 11**

Appendix 1 - Q2 Monitoring Position by Directorate **Page 12**

Appendix 2 - Anticipated Funding – Received and outstanding **Page 13**

1. Executive Summary

At the end of Q2, NES is on track to meet all its statutory financial targets, provided that Scottish Government funding is received in line with expectations.

Table 1 – Summary Position	Year-end Forecast	Q2 (YTD)	Q1 (YTD)
Revenue Budget	**£0m**	**£2.8m**	**£0.7m**
Savings	**£3.7m**	**£2.4m**	**£1.5m**

A. Revenue Budget

- The year-to-date position for the whole of NES is an underspend of £2.8m with a **break-even position** being forecast for the year-end. The year-to-date position is mainly due to differences in phasing of expenditure compared to original spending plans.
- There are various overspends and underspends reported across directorates, and these are discussed further in the Operational Performance section on Page 4.
- The revenue forecast position includes expenditure of £0.9m for the TURAS refresh programme and spending of £0.75m is forecast for the Glasgow property move as part of the Ways of Working and Property project.

B. Capital

- Each financial year a revenue to capital allocation is agreed with Scottish Government as part of the financial plan. For 2023/24 that amount is £690k to support capital programmes. NES are on track to spend within this allocation and therefore there is no impact on the overall financial position.

C. Savings

- At the end of Q2 NES has delivered 71% of its Cash-Releasing Efficiency Savings (CRES) savings plans, and the Board is on track to exceed the £3.4m target by the end of the financial year.

D. Key Risks and Issues

- **Funding** – at the end of Q2 NES had only received 12% of expected in-year additional allocations, £21.6m of an expected £179.1m at that time, and work has been ongoing with Scottish Government Finance and policy leads to ensure funding is allocated as quickly as possible. More recently, the October allocation letter confirmed a further £69.5m of funding, taking the confirmed funding to 50% of expectation. Delays to the receipt of allocations may impact our ability to fully utilise the funding in the current financial year, and the Board will be required to assess its risk position regarding spending before funding confirmations.

- **Major Programmes** - Work is underway on both the TURAS refresh project and Ways of Working & Property project. Due to the timing and nature of these programmes we will monitor progress and the financial position closely, and identify any slippage as quickly as possible. Investment in the Glasgow property move has already been rephased, due to delays in receiving approvals from Scottish Government.

- **Additional Savings request** - There is a shortfall of £0.75m in the identified savings to support the Scottish Government's request that National Boards achieve a reduction in spending equivalent to 5% additional ask of £6.9m . Work is ongoing with the directorates and policy teams to identify further savings programmes.

2. Operational Performance

Revenue Position

- We have undertaken an in-depth review of the financial position with directorates to date and will continue to do so throughout the remainder of the year. The summary of the Q2 position included by Directorate in table 1 below. A more detailed breakdown by Directorate can be found at Appendix 1.

- The most significant variance is a £0.7m underspend within Dental, Healthcare Science and Optometry Directorate. Within this total underspend forecast, £0.65m relates to Dental activity.

- The Dental underspend of £651k is comprised of 4 elements:

    1. £546k from unfilled posts in current recruitment to both vocational training and core & specialty training
    2. £77k on pay from staff leaving the pension scheme and new appointments below budget
    3. There are also £47k lower cost from the closure of the Carronshore (NHS Forth Valley) Outreach Centre causing timing savings as the temporary cover arrangements, at NHS Dumfries & Galloway and University of Glasgow, began in September after the closure of Carronshore
    4. £19k pressure from lower income due to fewer number of trainees on the modern apprenticeship for dental nurse training, partly offset by higher income from research grants and portal CPD courses

- There is currently a £0.5m overspend in Properties due to increased rates bills of £0.2m following the recent rates review and a higher than anticipated service charge of £0.1m for Westport which is being disputed. Annual rent for Westport has also increased by £0.2m following the recent contracted rent review which is index linked.

- Overspend of £260k in NMHAP and Psychology. The £174k overspend in NMAHP is largely due to pressure in Post Registration, absorbing costs of a new Paramedic post and SG Policy teams not providing full anticipated funding. The overspend in

Psychology is from extensions to training for four trainees, partly offset by some trainees deferring start date to another cohort starting later in year.

- Provisions is the budget line where corporate savings, costs and funding are held, this includes savings targets, depreciation, the investment fund etc. The forecast position includes funding of £0.9m for the TURAS refresh programme, which will be allocated to NHS Scotland Academy, Learning & Innovation in Month 7, and £0.75m for the Glasgow property move as part of the Ways of Working corporate programme.

Table 2 – Revenue Budget Position by Directorate	Full Year Budget £000	Full Year Forecast £000	Under/(over) spend £000
Medical and Pharmacy	178,606	178,587	19
Dental, Healthcare Science and Optometry	58,691	58,021	670
NMAHP and Psychology	58,380	58,640	(260)
NHS Scotland Academy, Learning and Innovation	2,977	2,873	104
Social Care	402	409	(7)
NES Technology	22,284	22,322	(38)
Workforce and Planning	15,049	15,161	(112)
Finance, Procurement and Properties	8,491	9,021	(530)
Provisions	1,409	1,255	154
Total (excluding medical training grades)	**346,280**	**346,289**	**0**
Medical Training Grades	360,553	360,579	(25)
Total NES	**706,842**	**706,867**	**(25)**

Scottish Government Additional In-Year Allocations

- At the end of Q2 (September) NES expected to receive a total of £179.1m in additional allocations this year. This equates to a quarter of the total NES revenue budget.

- At the end of Q2 we had received £21.6m, only 12% of the total anticipated additional allocations.

- We are expecting the receipt of circa £60m for the Medical and Dental pay award and the medical training grade expansions in the November allocations letter.

- The baseline and bundling exercise undertaken by Scottish Government, and supported by NES was expected see the transfer of additional allocations to the recurring baseline. This transfer of funding will reduce uncertainty and allow NES to plan services on a longer term/permanent basis. We had expected this exercise to be completed in the summer, however latest update from Scottish Government is that the work is still ongoing, and may not be concluded for some time, due to the uncertainty of funding in the system across NHS Scotland.

- Directorates and Finance continue to work closely with SG finance and policy leads to ensure the prompt receipt of all outstanding allocations.

- Table 3 below shows the anticipated, received and outstanding allocations for 2023/24 by Directorate as at the end of Q2, and a more detailed breakdown appears in Appendix 2.

- Table 4 shows an updated position after receipt of the October allocation letter. The further £69.5m confirmed in that letter includes allocations for Medical Training Grade Expansions, Mental Health and Vaccinations programme, and takes the confirmed funding up to a level of 50% of expected funding for 2023/24.

- Table 5 provides a risk status across all remaining outstanding allocations.

- The three high risk allocations requiring further discussions with Scottish Government include Dental Overseas Levy, Dental Vocational Trainers Grants (£541k) and Social Care £399k. Once Overseas Dental Levy numbers received from universities, discussions will take place with policy team in November to review overall position and value to be returned to SG.

- Medium risk allocations include £41m for Medical and Dental Pay award which SG are committed to funding in full. Work is ongoing at a national level to agree the final allocation requests from territorial boards, with allocation expected this calendar year. University returns for medical overseas students have started to be received, once all returns are in we can confirm Medical ACT allocation request, which currently stands at £32.2m.

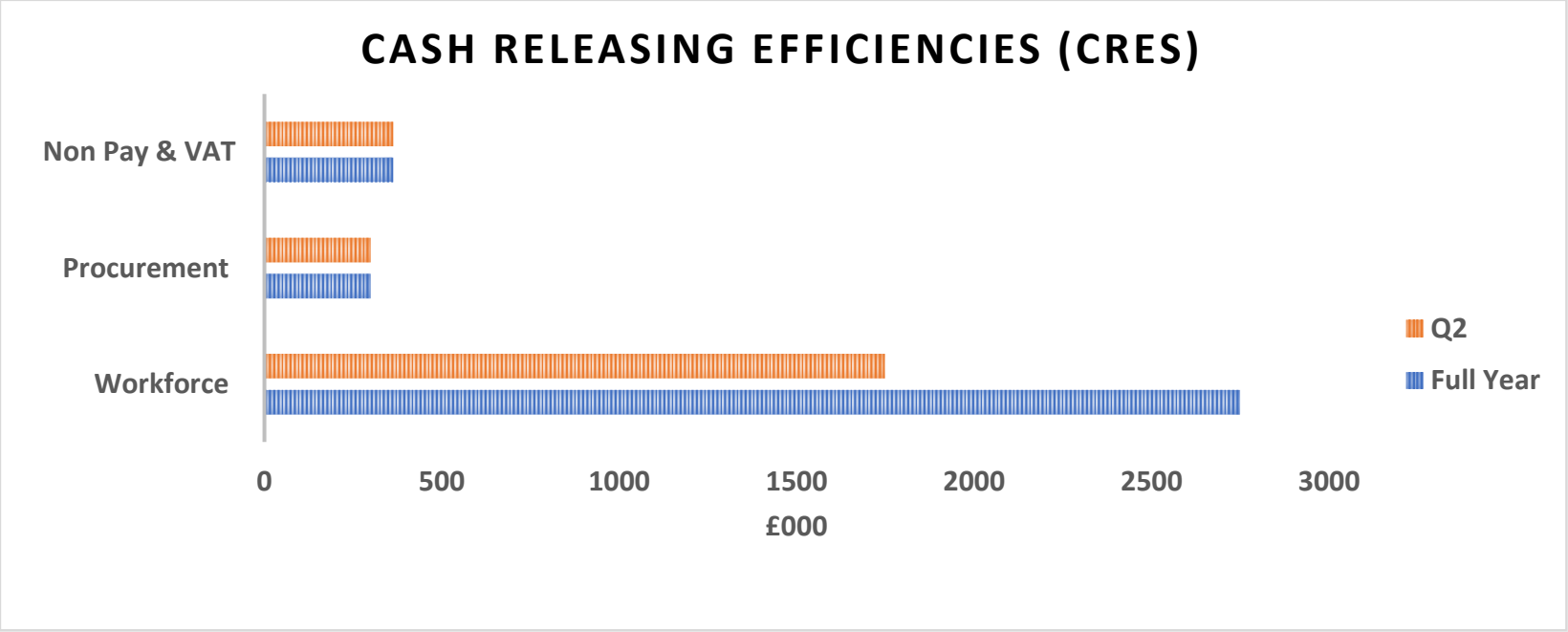
Table 3 – Allocations Status by Directorate at Q2	Anticipated £000	Received £000	Outstanding £000
Medical	57,586	9,031	48,555
Dental, Healthcare Science and Optometry	5,260	4,130	1,131
NMAHP, Psychology, NHSScotland Academy	34,380	2,572	31,808
Social Care	399	0	399
NES Technology	11,565	9,564	2,001
Workforce, Planning	3,969	2,333	1,635
Finance, Properties	76	76	0
Provisions	421	6,054	6,475
Total (excluding MTG)	**113,656**	**21,652**	**92,003**
Medical Training Grades (MTG)	65,441	0	65,441
Total NES	**179,096**	**21,652**	**157,444**

Table 4 – Allocations Status by Period	Anticipated £'000	Received £'000	Outstanding £'000
Total NES at Period 6 (Q2)	179,096	21,652	157,444
New Anticipated Allocations	1,912	0	1,912
October Allocation Letter (Period 7)	0	69,528	0
Total NES	**181,008**	**91,180**	**89,828**

Table 5 – Allocations Risk Status at Period 7	Outstanding £'000
1 - Allocation confirmed will be received in November allocation letter	5,574
2 - Formal confirmation in writing received	1,865
3 - Funding approved in principle	82,532
4 - Funding under discussion - final commitment to be confirmed	399
5 - No communication with Scottish Government	(541)
Total NES	**89,828**

3. Cash Releasing Efficiency Savings (CRES)

- The 2023/24 approved Financial Plan identified a non-recurring savings plan of £3.4m, 1% of the total NES baseline.
- We have achieved 71% of the CRES savings target at the end of Q2 and are on track to achieve and possibly exceed the full year target by March 2024.
- The graph below shows the savings achieved at Q2 and the full year forecast by category. The workforce savings are as a result of the time required to recruit to vacant posts.



4. Additional Savings Target Summary

Table 4		£M
1. Overall Savings Target	5% SG savings target confirmed by SG	6.900
	Creation of Turas refresh headroom funding	1.000
		7.900
2. Cat. A Savings Accepted	Category A SG commissions savings offered (18 Aug)	(4.573)
	Category A SG commission savings not implemented	0.311
		(4.262)
3. Cat. B Savings Accepted	Category B savings offered (2 Oct)	(0.750)
	Category B savings not implemented	0.750
		0.000
4. NES Baseline Savings	Further Medical Training Grade Salaries savings	(0.798)
	Property investment costs rephasing	(0.750)
	Other NES baseline savings	(1.340)
		(2.888)
Savings still to be identified		**0.750**

Risks

- There is a disconnect in SG between finance and the policy teams on the approach and understanding of the additional savings ask for National Boards.
- As we progress through the year, priorities may change. This could create a further funding gap.

Action taken by NES

- Concerns raised with SG sponsors regarding the communication issues with both SG Finance and SG policy teams
- Directorates and NES Finance continue to have informed discussions with policy teams on the savings requirements

Appendix 1 – Q2 Monitoring Position by Directorate

	Year to Date (Period 6)			Full Year Forecast		
Directorate	**Current Budget**	**Outturn**	**Variance**	**Current Budget**	**Outturn**	**Under/ (Over) Spend**
	£000s	**£000s**	**£000s**	**£000s**	**£000s**	**£000s**
Quality Management	895	886	**9**	1,864	1,827	**37**
Medical ACT and Academic	52,656	52,580	**76**	119,368	119,362	**6**
Medical Directorate Support	3,631	3,597	**34**	7,751	7,753	**(2)**
Training Programme Management excl. Training Grades	12,405	12,413	**(8)**	25,223	25,221	**2**
Professional Development	3,598	3,477	**121**	8,027	8,045	**(18)**
Pharmacy	6,083	6,111	**(28)**	16,373	16,379	**(6)**
Medical Total	**79,268**	**79,064**	**204**	**178,606**	**178,587**	**19**
Dental	23,996	23,335	**661**	52,243	51,592	**651**
NMAHP	7,104	6,874	**230**	15,242	15,416	**(174)**
Psychology	20,818	20,201	**617**	43,138	43,224	**(86)**
Healthcare Sciences	2,473	2,429	**44**	4,583	4,582	**1**
Optometry	950	798	**152**	1,865	1,847	**18**
NHS Scotland Academy, Learning & Innovation	1,434	1,199	**235**	2,977	2,873	**104**
Social Care	200	205	**(5)**	402	409	**(7)**
NTS	10,732	10,345	**387**	22,284	22,322	**(38)**
Workforce	5,458	5,519	**(61)**	12,551	12,556	**(5)**
Finance	1,596	1,588	**8**	3,405	3,413	**(8)**
Properties & Facilities Mgmt	2,558	2,789	**(231)**	5,086	5,608	**(522)**
Planning	1,151	1,246	**(94)**	2,498	2,605	**(107)**
Net Provisions	1,433	785	**648**	1,409	1,255	**154**
NES Total (excl. MTG)	**159,171**	**156,377**	**2,795**	**346,289**	**346,289**	**0**
Training Programme Management - MTG Salaries	161,989	161,991	**(2)**	360,553	360,578	**(25)**
NES Total including MTG	**321,160**	**318,368**	**2,793**	**706,842**	**706,867**	**(25)**

Appendix 2 – Anticipated Funding – Received & Outstanding as at 30 September 2023

Funding	Recurrent £000s	Earmarked £000s	Non Recurrent £000s	Total £000s	Total split by: Received £000s	Total split by: Outstanding £000s	Risk Rating
Baseline budget	524,385	0	0	524,385	524,385	0	Green
Pay Inflation Adjustments	3,359	0	0	3,359	3,359	0	Green
Original budget	**527,744**	**0**	**0**	**527,744**	**527,744**	**0**	
Psychology Mental Health	134	0	28,464	28,598	0	28,598	
Medical Training Grade Expansions	4,728	0	32,299	37,027	0	37,027	Green
Medical ACT additional funding	0	0	19,906	19,906	0	19,906	Amber
MEP funding gap	0	0	12,331	12,331	0	12,331	Amber
Primary Care Fund National Boards	0	0	7,325	7,325	2,484	4,840	Amber
NTS Digital Front Door	0	0	2,500	2,500	2,500	0	Green
Vaccinations	0	0	1,818	1,818	0	1,818	Green
NTS Digital funding (inc NDS)	0	0	5,939	5,939	5,939	0	Green
Dental Aberdeen Dental School	0	0	3,074	3,074	3,074	0	Green
Pharmacy Workforce Priorities inc Independent prescribing and ACTp	0	0	4,827	4,827	4,727	101	Green
Pharmacy Trainees	0	6,709	2,777	9,486	1,118	8,368	Green
Centre for Workforce Supply	0	0	889	889	0	889	Green
NHS Scotland Academy	1,810	0	688	2,498	0	2,498	Amber
HCS Cardiac Science training	0	0	728	728	0	728	Amber
National Leadership Development Programme	761	0	432	1,193	1,193	0	Green
Dental Overseas levy	0	0	(865)	(865)	0	(865)	Red
Anticipated pay award	38,224	0	676	38,900	676	38,224	Amber
Social Care	0	0	424	424	25	399	Red
Chief Nursing officer	1,109	0	1,190	2,299	2,001	298	Green
R&R National Centre	0	0	462	462	328	134	Green
SG In Year Savings	0	0	(6,900)	(6,900)	(6,900)	0	Green
Other allocations (under £600k)	1,152	81	5,404	6,637	4,486	2,151	
Total in-Year allocations	**47,919**	**6,790**	**124,388**	**179,096**	**21,652**	**157,444**	
					12%	**88%**	
Total Revenue Allocation	**575,663**	**6,790**	**124,388**	**706,840**	**549,396**	**157,444**	

Allocations received in October are also rated green.

NHS Education for Scotland **NES/23/76**
Item 10b
23 November 2023

NES Board

1. Title of Paper
Q2 Strategic Risk Update

2. Author(s) of Paper
Rob Coward, Principal Educator, Planning & Corporate Resources
Debbie Lewsley, Risk Manager, Planning & Corporate Resources
Jim Boyle, Director of Finance

3. Lead Director(s)
Jim Boyle, Director of Finance

4. Situation/Purpose of paper

4.1 The purpose of this report is to present to the Board the second quarterly strategic risk update for 23/24 for review and approval. The Board is also invited to note the progress in the development of NES's processes and practice in Risk Management, following consultation with the cross-directorate Risk Management Group, the Executive Team, the Audit and Risk Committee and the Board.

4.2 In addition the Board is asked to consider the issues emerging in relation to the Board's risk appetite and the recommendation from the Audit and Risk Committee to initiate a review of NES's definitions and matrix for risk scoring. This review will precede consideration of the Board's risk appetite in each risk category.

5. Background and Route to Meeting

5.1 NES has well established risk management processes which are subject to frequent review by the Executive Team, Audit and Risk Committee, NES Board and monthly meetings of the Risk Management Group. Our risk management infrastructure is largely in place, including a revised risk log format, an established group of directorate risk leads, a revised Risk Management Strategy (subject to final approval by the Audit & Risk Committee), and the co-ordinating Risk Management Group which has completed a rolling review of each directorate risk log. We have recently been joined by a new Risk

Manager, who is supporting the Executive Lead in developing processes, supporting practice, and providing advice and guidance.

.

6. Assessment/Key Issues

6.1 Risk Measurement Plan and Reporting

The Risk Management Group is currently developing new reports to share risk information more effectively with directorates, Executive Team, Board standing committees and the NES Board. The risk reporting format previously endorsed by the Audit and Risk Committee will facilitate automated reporting to meet different assurance requirements. The format will align risk reports with strategic themes, KPIs and individual measures. They will enable reporting by individual directorates, risks allocated to standing committees, and strategic risks. It is anticipated that the planned reports will provide a higher level of transparency, analysis, and assurance than current arrangements.

6.2 Strategic Risk Register

6.2.1 The Strategic Risk Register (summary Appendix 1, detail Appendix 2) has been subject to a recent review with movement to one risk rating. The likelihood of Strategic Risk 9 (relating to increasing costs and funding pressures) materialising has been decreased due to current measures in place. Additional actions have also been identified to further control this risk. This assessment has resulted in the overall net risk rating being reduced from 12 to 9, this however is still significantly out with the Board appetite for financial risks.

6.2.2 Some additional actions have also been identified and added to Strategic Risks 1, 2, 7, 8, 10 and 13, and there have been no new or escalated risks added to the Strategic Risk Register within the last reporting period.

6.2.3 Table 1 (as shown in Appendix 3) provides a summary of the current Net risk exposure across each of the categories within the Strategic Risk Register, with Table 2 providing the last reported position for reference. As can be seen there has been a slight decrease in risk exposure relating to Finance as a result of the reduction in the Net risk rating to Strategic Risk 9. Currently 43.9% of the risk exposure sits out with the Board's risk appetite, this is attributed to the risks within the Financial and Governance categories.

6.3 Board Risk Appetite

6.3.1 A review of the directorate and strategic risks indicates a high proportion (29% of directorate risks and 43% of strategic risks) are currently out with the agreed Board appetite after mitigating controls have been applied. It is noticeable that

almost all the risks that are assessed as exposing NES to an unacceptable degree of risk relate to the Governance or Financial categories. This reflects the Board's highly risk-averse appetite in these categories.

6.3.2 Several risks have been out with the Board's appetite for a considerable period without materialising or having a significant impact of the organisation or services. This indicates the need to review the Board's appetite in the Financial and Governance categories to ensure they reflect the Board's tolerance. It was agreed at the NES Board on 10 August 2023 that a review of the Board's risk appetite would be carried out to determine if the appetite for risk categories was still appropriate.

6.3.3 At the October 2023 Audit and Risk Committee members were invited to comment on the appropriateness of the current risk appetite for individual categories and following discussion and debate it was recommended that prior to considering the appropriateness and proportionality of the Board's appetite scorings, a review of the NES Scoring Definitions and Matrix (as shown in Appendix 4) should be undertaken. A proposal is currently being developed which will be presented to the Executive Team and the Audit and Risk Committee for consideration and approval. The proposal will include consideration for adding additional categories to NES's risk profile including Health & Safety, Sustainability and Workforce. This will provide a better understanding of the organisations overall risk profile, enhance NES's reporting of risks, and will strengthen assurance that NES is effectively managing individual categories of risk.

6.4 Staff Communication and Engagement

6.4.1 The Risk Management Group has discussed the need for staff engagement to promote awareness of the purpose and importance of risk management for NES. Communications, including an introductory video on risk management at NES, are being developed and will be deployed following finalisation of the Risk Management Strategy. The Group is also considering options for staff development in this area with a focus on identifying and managing risks at a project or programme level.

6.4.2 Engagement with individual Directorates has been initiated to support their risk management processes. These meetings have been used to identify the Strategic Theme and KPIs pertaining to each of their Directorate and Strategic risks and help to align their Directorate Risk Registers and their Strategic risks with the NES Strategy to enhance levels of assurance.

7. Recommendations

The NES Board is invited to:

7.1 To review and approve NES Strategic Risk Q2 update and provide any feedback as appropriate.

7.2 Note the progress made in NES's processes and practice in Risk Management.

7.3 Consider the recommendation from the Audit and Risk Committee to initiate a review of NES's Scoring Definitions and Matrix prior to considering the appropriateness and proportionality of the Board's appetite scorings.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?
☒Yes
☐No

b) Is there a budget allocated for this work?
☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance
☒1. People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?
☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**
☐Yes
☒No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?
☐Yes
☒No

g) Have you considered a staff and external stakeholder engagement plan?

☒Yes

☐No

Author name: RC / DL / JB
Date: November 2023
NES

APPENDIX 1

Summary of Risk Log

Risk No.	Risk Title	Risk Date	Date due for next review	Gross Total	Net Total	Risk Category	Risk Appetite	Risk appetite vs net score
SR1	NES Strategic Plan does not align with the needs and expectations of stakeholders	19/04/2023	25/12/2023	15	12	Strategic	10-12	
SR2	Disproportionate amount of non-recurrent funding, without conversion to recurrent funding	19/04/2023	25/12/2023	16	12	Finance	1-3	**Gap 9**
SR3	Failure to recruit and retain sufficiently experienced and knowledgeable people to the Board, Executive Team and senior management establishment	19/04/2023	25/12/2023	16	8	Operational	10-12	
SR4	NES does not adequately engage with its employees	19/04/2023	25/12/2023	16	9	Operational	10-12	
SR5	NES does not put in place an adequate corporate support establishment	19/04/2023	25/12/2023	16	12	Operational	10-12	
SR6	Failure to develop and maintain adequate Business Continuity arrangements to deal with the risk of adverse events and threats	19/04/2023	25/12/2023	16	9	Governance	1-3	**Gap 6**
SR7	Failure to put in place measures to adequately protect against breaches of cyber security	19/04/2023	25/12/2023	20	15	Governance	1-3	**Gap 12**
SR8	Failure to put sufficient employee training and other operational controls in place to minimise the risk of breaches of Information Governance	19/04/2023	25/12/2023	20	12	Governance	1-3	**Gap 9**
SR9	NES does not put sufficient measures in place to address ongoing cost and funding pressures	19/04/2023	25/12/2023	25	9	Finance	1-3	**Gap 6**
SR10	Failure to adequately anticipate and mitigate the impacts of policy, legislative, economic and societal change	19/04/2023	25/12/2023	12	8	Strategic	10-12	
SR11	Poor learning outcomes and learning experience for our stakeholders	19/04/2023	25/12/2023	16	9	Operational	10-12	
SR12	Insufficient investment in TURAS Learn and other NES learning platforms.	19/04/2023	25/12/2023	12	12	Operational	10-12	
SR13	Failure to recruit and retain sufficient number of appropriately skilled and experienced staff within the NES Technology Service	19/04/2023	25/12/2023	12	8	Operational	10-12	
SR14	Inadequate Board governance, systems, processes and scrutiny of them	19/04/2023	25/12/2023	25	4	Governance	1-3	**Gap 1**

STRATEGIC RISK 1

Risk no:	**SR1**		
Risk Short Title:	NES Strategic Plan does not align with the needs and expectations of stakeholders		
Risk Owner:	Karen Reid	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**NES Board**
Risk Category(s)	Strategic	Reputational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**12**	**Primary 2**		**Open**	**10-12**	
26/09/2023	**12**	**Primary 2**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
5	**3**
Gross Total:	**15**

Net Impact (1-5)	Net Likelihood (1-5)
4	**3**
Net Total:	**12**

Board Risk Appetite v Net Total	
Open	**10-12**
Primary 2	**12**

Existing control rating: **Partially controlled**

Cause:	**Effect:**
NES Strategic Plan does not align with the needs and expectations of stakeholders	This could lead to a failure of the NHS and social care workforce's ability to respond to the existing and changing health and social care needs of Scotland's population
	Result:
	This could result in high levels of dissatisfaction with the role of NES and loss of credibility as the statutory education, training, workforce development, data and technology provider in health and social care in Scotland. It could also mean that the health and social care workforce do not have the necessary skills and knowledge to meet the needs of the population.

	Control:		**Actions:**
1	Revised NES Strategic Plan clearly articulates the importance of education and training to a sustainable workforce and has been widely consulted upon	**1**	Executive engagement sessions with Territorial Health Boards to develop relationships and understanding of needs.
2	Annual Operating Plan, incorporating desired outcomes, forms the baseline for organisational activities	**2**	ADP submitted to SG
3	Development of focused communications to support management of stakeholder expectation in relation to NES capacity to deliver and support new systems development.	**3**	SG signed off new NES Strategy July 2023
4	Work has been undertaken with NHS Boards, statutory education bodies in the four nations, and professional regulators, to mitigate disruption and allow trainees/learners to progress where possible.	**4**	Ongoing SG engagement and commissions to NES for social care workforce education and training
5	The implications for NES from the Adult Social Care Review and the establishment of the National Care Service are discussed with our Sponsor Directorate and Mental Health & Social Care Directorate to allow for forward Planning	**5**	

NHS Education for Scotland

STRATEGIC RISK 2

Risk no:	**SR2**		
Risk Short Title:	Disproportionate amount of non-recurrent funding, without conversion to recurrent funding		
Risk Owner:	Jim Boyle	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**NES Board**
Risk Category(s)	Finance		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	12	Primary 2		Averse	1-3	
26/09/2023	12	Primary 2	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	4
Gross Total:	16

Net Impact (1-5)	Net Likelihood (1-5)
3	4
Net Total:	12

Board Risk Appetite v Net Total	
Averse	1-3
Primary 2	12

Existing control rating: **Partially controlled**

Cause:	**Effect:**
NES continues to experience a disproportionate amount of non-recurrent funding, without conversion to recurrent funding	We will have to rely on a high number of short-term and fixed-term contracts of employment in NES
	Result:
	This will result in continued workforce instability and could also result in failure to adequately deliver the NES Strategic Plan and respond to the commission requirements of Scottish Government. This situation seriously compromises our ability to maintain a workforce that has the right capacity and capability

	Control:		**Actions:**
1	NES Exec Team maintain strong engagement with relevant leads at Scottish Government.	1	Baselining and bundling impact will be assessed when proposals are made available by the Scottish Government, and will be reported to the Board at the earliest opportunity
2	Maintain clarity in relation to NES's role and influence - through regular engagement with SG sponsor team, and relevant executive director groups, including SAMD, SEND, DoFs and HRDs.	2	Any requests by Scottish Government to decommission any work streams will be fully considered by the Executive Team, considering education and training impacts, as well as staffing and financial implications
3	Executive Team has approved an approach to career development and succession planning. This includes mapping of key roles; a process to identify potential successors; work with potential successors on individual development plans.	3	Further response to SG has been sent, highlighting the policy risks of reducing in-year funding by 5% in 2023/24
4	Chief Executive and NES Directors to maintain links with other UK organisations	4	
5	Executive Team actively and regularly consider risk in extending posts and in converting posts to permanent. Funding is carefully considered as part of these decisions	5	

NHS Education for Scotland

STRATEGIC RISK 3

Risk no:	**SR3**		
Risk Short Title:	Failure to recruit and retain sufficiently experienced and knowledgeable people to the Board, Executive Team and senior management establishment		
Risk Owner:	Tracey Ashworth Davies	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Staff Governance Committee**
Risk Category(s)	Operational		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**8**	**Contingency**		**Open**	**10-12**	
26/09/2023	**8**	**Contingency**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	**4**
Gross Total:	**16**

Net Impact (1-5)	Net Likelihood (1-5)
4	**2**
Net Total:	**8**

Board Risk Appetite v Net Total	
Open	**10-12**
Contingency	**8**

Existing control rating:	**Controlled**

Cause:	**Effect:**
NES fails to recruit and retain sufficiently experienced and knowledgeable people to the Board, Executive Team and senior management establishment due to insufficient recruitment and succession planning	This would impact the continuity of effective leadership, management and governance of NES
	Result:
	This would result in a deterioration of NES performance and credibility at all levels and would increase the risk of serious failures in governance

	Control:		**Actions:**
1	NES has access to a wide pool of nationwide talent in terms of non-executive recruitment, and has a robust process and a good track record for attracting high quality candidates when Board vacancies occur	**1**	
2	NES recruits executives an senior managers from across the public and private sectors to ensure a wide spread of skills and experience in its senior leadership	**2**	
3	A programme of executive and senior manager development is in place to make sure that those in post are given the opportunity to develop in the role, and to acquire new professional skills and experience	**3**	
4	Senior leaders are encouraged to participate in a wide range of national professional networking groups to make sure they have access to best practice across the sector.	**4**	
5		**5**	

STRATEGIC RISK 4

Risk no:	**SR4**		
Risk Short Title:	NES does not adequately engage with its employees		
Risk Owner:	Tracey Ashworth Davies	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Staff Governance Committee**
Risk Category(s)	Operational		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	9	Contingency		Open	10-12	
26/09/2023	9	Contingency	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	4
Gross Total:	16

Net Impact (1-5)	Net Likelihood (1-5)
3	3
Net Total:	9

Board Risk Appetite v Net Total	
Open	**10-12**
Contingency	**9**

Existing control rating:	**Controlled**

Cause:	**Effect:**
NES does not adequately engage with its employees	There could be a breakdown in understanding of the roles that employees play and the contributions that are expected of them in the delivery of the Strategic Plan and the individual Directorate Operational Plans
	Result:
	That could result in a significant deterioration in NES' ability to deliver on those plans

	Control:		**Actions:**
1	Strong partnership working arrangements in place and maintained through regular contact with the Employee Director and via the Change Management Programme Board.	1	
2	Communication plan to be a key focus on all organisational change projects.	2	
3	Strong focus on communication and visibility, both at a corporate and directorate level through, for example, weekly executive led corporate videos.	3	
4	Use of employee voice tools, for example Trickle to monitor the pulse on organisational sentiment. Further focus needed on the implementation of Trickle if license is to be extended.	4	
5	Participation in annual iMatter NHS Scotland employee survey exercise	5	

STRATEGIC RISK 5

Risk no:	**SR5**		
Risk Short Title:	NES does not put in place an adequate corporate support establishment		
Risk Owner:	Tracey Ashworth Davies	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Staff Governance Committee**
Risk Category(s)	Operational	Reputational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	12	Primary 2		Open	10-12	
26/09/023	12	Primary 2	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	4
Gross Total:	16

Net Impact (1-5)	Net Likelihood (1-5)
3	4
Net Total:	12

Board Risk Appetite v Net Total	
Open	10-12
Primary 2	12

Existing control rating: **Partially controlled**

Cause:	Effect:
NES does not put in place a corporate support establishment of which has the right number of people, suitably skilled, as well as having the right systems and other resources to drive improvements in transformation and best value	The Board might not adequately deliver the aims of its own Strategic Plan or the external commissions agreed with the Scottish Government
	Result:

	Control:		Actions:
1	Assessment of resource required to support pipeline commissions is being made, informed by information provided by SG sponsorship team.	1	Development of Business Process Transformation Project as part of Corporate Improvement Programme to drive efficiency and effectiveness in business operations.
2	Some additional HR resource has already been provided in the 2022/23 budget.	2	
3	Further assessment of any additional resource in all support areas will be made based on emerging commissions, as well as NES baseline activity.	3	
4	Recruitment authorisation and other recruitment processes are being reviewed with the aim of achieving a more efficient, risk-based approach reducing time across NES and, all things being equal, reducing the time to recruit new staff. This could include how to bundle recruitment into	4	
5	Discussions on the implications of continued non-recurrent funding have been and will continue to be held with the Scottish Government, although no significant movement in the Scottish Government's position has been achieved at this point. Corporate process to ensure centralised	5	

NHS Education for Scotland

STRATEGIC RISK 6

Risk no:	**SR6**		
Risk Short Title:	Failure to develop and maintain adequate Business Continuity arrangements to deal with the risk of adverse events and threats		
Risk Owner:	Christopher Wroath	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Technology & Information Committee**
Risk Category(s)	Governance	Operational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	9	Contingency		Averse	1-3	
26/09/2023	9	Contingency	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	4
Gross Total:	16

Net Impact (1-5)	Net Likelihood (1-5)
3	3
Net Total:	9

Board Risk Appetite v Net Total	
Averse	1-3
Contingency	9

Existing control rating: **Partially controlled**

Cause:	Effect:
NES does not put in place and maintain adequate Business Continuity arrangements to deal with the risk of adverse events and threats, both internal and external threats, e.g. national or global pandemics, power supply outages, and other events	There may be an inability to deliver normal levels of service, or even an inability to deliver services at all in extreme circumstances.
	Result:

	Control:		Actions:
1	Disaster Recovery Plan and Business Continuity Plans have been approved by the Executive Team.	1	
2	The plans were robustly tested in a desktop exercise and recommendations were considered by the ET and incorporated into the current version of the plans.	2	
3		3	
4		4	
5		5	

STRATEGIC RISK 7

Risk no:	**SR7**		
Risk Short Title:	Failure to put in place measures to adequately protect against breaches of cyber security		
Risk Owner:	Christopher Wroath	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Technology & Information Committee**
Risk Category(s)	Governance	Operational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**15**	**Primary 1**		**Averse**	**1-3**	
26/09/2023	**15**	**Primary 1**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
5	**4**
Gross Total:	**20**

Net Impact (1-5)	Net Likelihood (1-5)
5	**3**
Net Total:	**15**

Board Risk Appetite v Net Total	
Averse	**1-3**
Primary 1	**15**

Existing control rating: **Partially controlled**

Cause:	**Effect:**
NES does not put in place measures to adequately protect itself against breaches of cyber security	This could lead to unauthorised access to NES digital systems and data
	Result:
	This could significantly affect our ability to continue normal business operations and would risk reputational damage and the imposition of punitive financial fines by regulatory authorities

	Control:		**Actions:**
1	Digital team ensures firewall logs, including changes to the firewall rule base, are added to the (Security Information and Event Management) SIEM tool in use and continue to be monitored frequently	**1**	Continue to use the NIS Audit framework to manage and build on NES' cyber security posture.
2	Senior Management and Executive level involvement and oversight of Cyber security related risk through updates in the Digital and Information Committee and Audit Committee meetings.	**2**	Continue to act as an early adoptor for the NHSS Security Operations Centre (Dundee)
3	Staff awareness of Cyber security matters is raised through information security webinars provided by the Information Security Manager, which includes phishing emails and security regarding the use of public Wi-fi, reporting security breaches and determining key NES contacts, password	**3**	
4		**4**	
5		**5**	

STRATEGIC RISK 8

Risk no:	**SR8**		
Risk Short Title:	Failure to put sufficient employee training and other operational controls in place to minimise the risk of breaches of Information Governance		
Risk Owner:	Christopher Wroath	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Technology & Information Committee**
Risk Category(s)	Governance	Reputational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	12	Primary 2		Averse	1-3	
26/09/2023	12	Primary 2	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	5
Gross Total:	**20**

Net Impact (1-5)	Net Likelihood (1-5)
4	3
Net Total:	**12**

Board Risk Appetite v Net Total	
Averse	**1-3**
Primary 2	**12**

Existing control rating: **Partially controlled**

Cause:	Effect:
NES does not put sufficient employee training and other operational controls in place to minimise the risk of breaches of Information Governance	There could be instances of significant loss of data
	Result:
	This could result in serious reputational damage and the imposition of punitive financial fines by regulatory authorities.

	Control:		Actions:
1	Statutory and relevant data security processes in place, with specific reference to the new General Data Protection Regulations.	1	NES' Executive Team to increase all IG/IT security training to mandatory.
2	Specific additional policies, procedures and practices (based on ISO27001) have been put in place to ensure robust security applies to the TURAS platform and the being developed National Digital Platform.	2	
3	Whistleblowing arrangements are in place with information and resources available to staff via the Intranet including Whistleblowing standards, policy and process. These resources include reference to whistleblowing in relation to loss or misuse of data and are part of the	3	
4	Safe Information Handling features as an element of the NES essential learning programme, and the Executive Team regularly review compliance	4	
5		5	

NHS Education for Scotland

STRATEGIC RISK 9

Risk no:	**SR9**		
Risk Short Title:	NES does not put sufficient measures in place to address ongoing cost and funding pressures		
Risk Owner:	Jim Boyle	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**NES Board**
Risk Category(s)	Finance		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**12**	**Primary 2**		**Averse**	**1-3**	
26/09/2023	**9**	**Contingency**	⇩			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
5	**5**
Gross Total:	**25**

Net Impact (1-5)	Net Likelihood (1-5)
3	**3**
Net Total:	**9**

Board Risk Appetite v Net Total	
Averse	**1-3**
Contingency	**9**

Existing control rating:	**Partially controlled**

Cause:	**Effect:**
NES does not put sufficient measures in place to address ongoing cost and funding pressures as well as a high level of non-recurrent funding from SG	The Board will experience financial constraints and will risk the inability to set sustainable financial plans and to take remedial actions necessary to remain in financial balance
	Result:
	This could then result in failure to meet the aspirations set out in the Strategic Plan as well as having an increased risk of not being able to control the finances of NES

Control:		**Actions:**	
1	The Annual Operational Planning process within NES gives Directorates indicative budgets to plan their own activities and expenditure and identifies cost pressures and potential savings across NES.	**1**	The financial implications of any requests to decommission specific activities, or to reduce funding generally will be fully explored, with the financial, staffing and service impacts fully set out
2	The Senior Operational Leadership Group, chaired by the Director of Planning reviews budget submissions from across NES to ensure congruence, no duplication and identify opportunities for collaboration and efficiency savings.	**2**	The Operational Planning process for 2024/25 will have a significantly sharpened focus on the achievement of savings, as required by the SG's Sustainability & Value programme, and with the increasing liklihood of reductions to baseline funding
3	This process enables decisions to be taken by the ET on prioritisation measures needed to deliver a balanced budget to the Board to be based on the impact of the planned activities.	**3**	
4	NES Board considers measures and makes approvals to balance the annual budget, including the measures suggested by the ET to reach a balanced position.	**4**	
5	Close working with SG to address the underlying deficit resulting from the expansion of TGs and uplifts that have been less than cost pressures in this area. SG have agreed to underwrite the in-year deficit position on MTG's.	**5**	

STRATEGIC RISK 10

Risk no:	**SR10**		
Risk Short Title:	Failure to adequately anticipate and mitigate the impacts of policy, legislative, economic and societal change		
Risk Owner:	Karen Reid	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**NES Board**
Risk Category(s)	Strategic		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	8	Contingency		Open	10-12	
26/09/2023	8	Contingency	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	3
Gross Total:	12

Net Impact (1-5)	Net Likelihood (1-5)
4	2
Net Total:	8

Board Risk Appetite v Net Total	
Open	10-12
Contingency	8

Existing control rating:	**Controlled**

Cause:	**Effect:**
NES is not able to adequately anticipate and mitigate the impacts of policy, legislative, economic and societal change	We may be unable to attract, educate and train sufficient workforce supply, across the health and social care workforce, and in particular trainees and employees in specialist professional disciplines
	Result:
	This could result in a compromise in our ability to deliver on our Strategic Plan or significant parts of it, or to deliver Directorate Operational Plans

	Control:		**Actions:**
1	There are many regular engagements with a wide range of stakeholders - governmental, professional, peer Boards - to ensure that NES is aware of changes to policy, demographic trends, technological change, which will feed into the NES Strategic Plan	1	
2	Scottish Government Priorities are fully discussed with the NES/SG Sponsorship Team and are then incorporated into the Annual Delivery Plans that drive the core activity of the Board	2	Ongoing SG discussions on fiscal impact on NES ADP
3		3	
4		4	
5		5	

NHS Education for Scotland

STRATEGIC RISK 11

Risk no:	**SR11**		
Risk Short Title:	Poor learning outcomes and learning experience for our stakeholders		
Risk Owner:	Karen Wilson	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Education & Quality Committee**
Risk Category(s)	Operational	Reputational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**9**	**Contingency**		**Open**	**10-12**	
26/09/2023	**9**	**Contingency**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	**4**
Gross Total:	**16**

Net Impact (1-5)	Net Likelihood (1-5)
3	**3**
Net Total:	**9**

Board Risk Appetite v Net Total	
Open	**10-12**
Contingency	**9**

Existing control rating:	**Controlled**

Cause:	**Effect:**
NES delivers poor learning outcomes or a poor quality learning experience to our stakeholders, or if we are inflexible in evolving the methods of delivery of training and education	This could lead to the Health and Social Care workforce not having the necessary knowledge and skills to deliver good quality care
	Result:
	This could result in NES becoming disconnected from the needs of the wider workforce and failing to meet the needs of staff, trainees, learners and stakeholders, leading to serious reputational damage and reassessment of the Board's role in delivering education and training

	Control:		**Actions:**
1	Chief Executive and/or NES Directors maintain open and collaborative relationships/arrangements with counterparts in partner organisations	**1**	Development of a Learning & Education Strategy.
2	Ensure Chair is well briefed to manage relationships with other Board/organisational Chairs	**2**	Development of a strategy and resources for coproduction & engagement.
3	Parliamentary monitoring service provides daily briefing to NES Executives and senior managers. Board papers and minutes made available on NES corporate website. Discussions about pressures and national developments at ET are communicated to staff through regular	**3**	
4		**4**	
5		**5**	

NHS Education for Scotland

STRATEGIC RISK 12

Risk no:	**SR12**		
Risk Short Title:	Insufficient investment in TURAS Learn and other NES learning platforms.		
Risk Owner:	Christopher Wroath	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Technology & Information / Education & Quality Committee**
Risk Category(s)	Operational	Reputational	
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**12**	**Primary 2**		**Open**	**10-12**	
26/09/2023	**12**	**Primary 2**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	**3**
Gross Total:	**12**

Net Impact (1-5)	Net Likelihood (1-5)
4	**3**
Net Total:	**12**

Board Risk Appetite v Net Total	
Open	**10-12**
Primary 2	**12**

Existing control rating: **Uncontrolled**

Cause:	**Effect:**
NES do not sufficiently invest in the TURAS learning platform as well as other learning platforms provided by NES	This would lead to the Board being unable to meet the learning needs and expectations of all stakeholders
	Result:
	This could result in NES becoming disconnected from the needs of the wider workforce and failing to meet the needs of staff, trainees, learners and stakeholders, leading to serious reputational damage and reassessment of the Board's role in delivering education and training

	Control:		**Actions:**
1	A significant amount of time and resource is invested to establish the learning needs of a very wide stakeholder group	**1**	
2	Strategic case for investment has been prepared for discussion with the Scottish Government	**2**	
3	Initial discussions held with SG about funding for the TURAS platform refresh	**3**	
4		**4**	
5		**5**	

STRATEGIC RISK 13

Risk no:	**SR13**		
Risk Short Title:	Failure to recruit and retain sufficient number of appropriately skilled and experienced staff within the NES Technology Service		
Risk Owner:	Christopher Wroath	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**Technology & Information Committee**
Risk Category(s)	Operational		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	**8**	**Contingency**		**Open**	**10-12**	
26/09/2023	**8**	**Contingency**	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
4	**3**
Gross Total:	**12**

Net Impact (1-5)	Net Likelihood (1-5)
4	**2**
Net Total:	**8**

Board Risk Appetite v Net Total	
Open	**10-12**
Contingency	**8**

Existing control rating:	**Controlled**

Cause:	**Effect:**
NES does not recruit and retain sufficient number of appropriately skilled and experienced staff within the NES Technology Service	This might lead to an inability to meet the delivery requirements of the Digital Health and Care Strategy and regulatory and professional needs
	Result:
	This could result in significant risk to NES's position as a key delivery partner of the Scottish Government in the area of IT and digital development and service provision

	Control:		**Actions:**
1	Decisions already taken to stabilise the NES Technology workforce by augmenting the senior management and professional leadership cohort.	**1**	Work with Higher/Further Education establishments in Scotland, in addition to targeted Third Sector and related bodies to support greater apprentiship opportunities and related early career routes into NES Technology.
2	Decisions taken to convert some temporary posts to permanent contracts of employment, to reduce the likelihood of loss of skills and experience	**2**	
3	Continued staus of NES as the preferred delivey partner for the SG for IT and digital provides an attractive experience for prospective employees, as well as those already employed within the Board	**3**	
4		**4**	
5		**5**	

NHS Education for Scotland

STRATEGIC RISK 14

Risk no:	**SR14**		
Risk Short Title:	Inadequate Board governance, systems, processes and scrutiny of them		
Risk Owner:	Karen Reid	**Date Added to Register:**	**19/04/2023**
		Review Date:	**25/12/2023**
		Frequency of Review:	**Quarterly**
		Committee/Group overseeing	**NES Board**
Risk Category(s)	Governance		
Risk impacts on NES Strategy Key Area of Focus :			

Date of Score	Net Score	Current Net Risk Rating: (Priority 1, 2, 3 or 4)	Risk Movement: (↑,↔,↓)	Board Appetite		Within Board Appetite
19/04/2023	4	Housekeeping		Averse	1-3	
26/09/2023	4	Housekeeping	⇔			
	-					
	-					
	-					

Gross Impact (1-5)	Gross Likelihood (1-5)
5	5
Gross Total:	25

Net Impact (1-5)	Net Likelihood (1-5)
2	2
Net Total:	4

Board Risk Appetite v Net Total	
Averse	1-3
Housekeeping	4

Existing control rating: **Partially controlled**

Cause:	Effect:
NES does not put sufficient arrangements in place in relation to Board governance, systems, processes and scrutiny of them	This could lead to corporate non-compliance and failure to comply with statutory, legislative and climate emergency/sustainability requirements
	Result:
	This could result in a loss of credibility towards the Board, from the Scottish Government as well as a range of audit and scrutiny bodies, which could pose a threat to the general credibility and future of NES

	Control:		Actions:
1	Standing committees responsible for each governance domain supported by Executive Groups.	1	New refreshed Board and committee Assurance Framework has been developed and discussed with the Board at a development session. This will be further developed before final implementation
2	Each committee provides an annual report to Audit Committee detailing how it has discharged its remit.	2	
3	Comprehensive programme of internal audit	3	
4	An Assurance framework has been developed in line with the 'Blue Print for Governance' and the Assurance and Audit Committee Handbook	4	
5	Ensure corporate awareness of relevant statutory regulatory oversight, and maintain close working with relevant professional and other regulatory bodies	5	

APPENDIX 3

Summary of Strategic Risks Exposure

Table 1 - Current Position - November 2023

Current Risk Exposure (Total Score)	Primary 1	Primary 2	Contingency	Housekeeping	Low	Total	% of Total
Strategic	0	12	8	0	0	20	14.4%
Operational	0	24	34	0	0	58	41.7%
Finance	0	12	9	0	0	21	15.1%
Reputational	0	0	0	0	0	0	0.0%
Governance	15	12	9	4	0	40	28.8%
Technology	0	0	0	0	0	0	0.0%
TOTAL EXPOSURE	15	60	60	4	0	139	100.0%
% of Total	10.8%	43.2%	43.2%	2.9%	0.0%		

Table 2 - Last Reported Position - August 2023

Current Risk Exposure (Total Score)	Primary 1	Primary 2	Contingency	Housekeeping	Low	Total	% of Total
Strategic	0	12	8	0	0	20	14.1%
Operational	0	24	34	0	0	58	40.8%
Finance	0	24	0	0	0	24	16.9%
Reputational	0	0	0	0	0	0	0.0%
Governance	15	12	9	4	0	40	28.2%
Technology	0	0	0	0	0	0	0.0%
TOTAL EXPOSURE	15	72	51	4	0	142	100.0%
% of Total	10.6%	50.7%	35.9%	2.8%	0.0%		

APPENDIX 4

NES Scoring Definitions

Likelihood of Risk materialising –

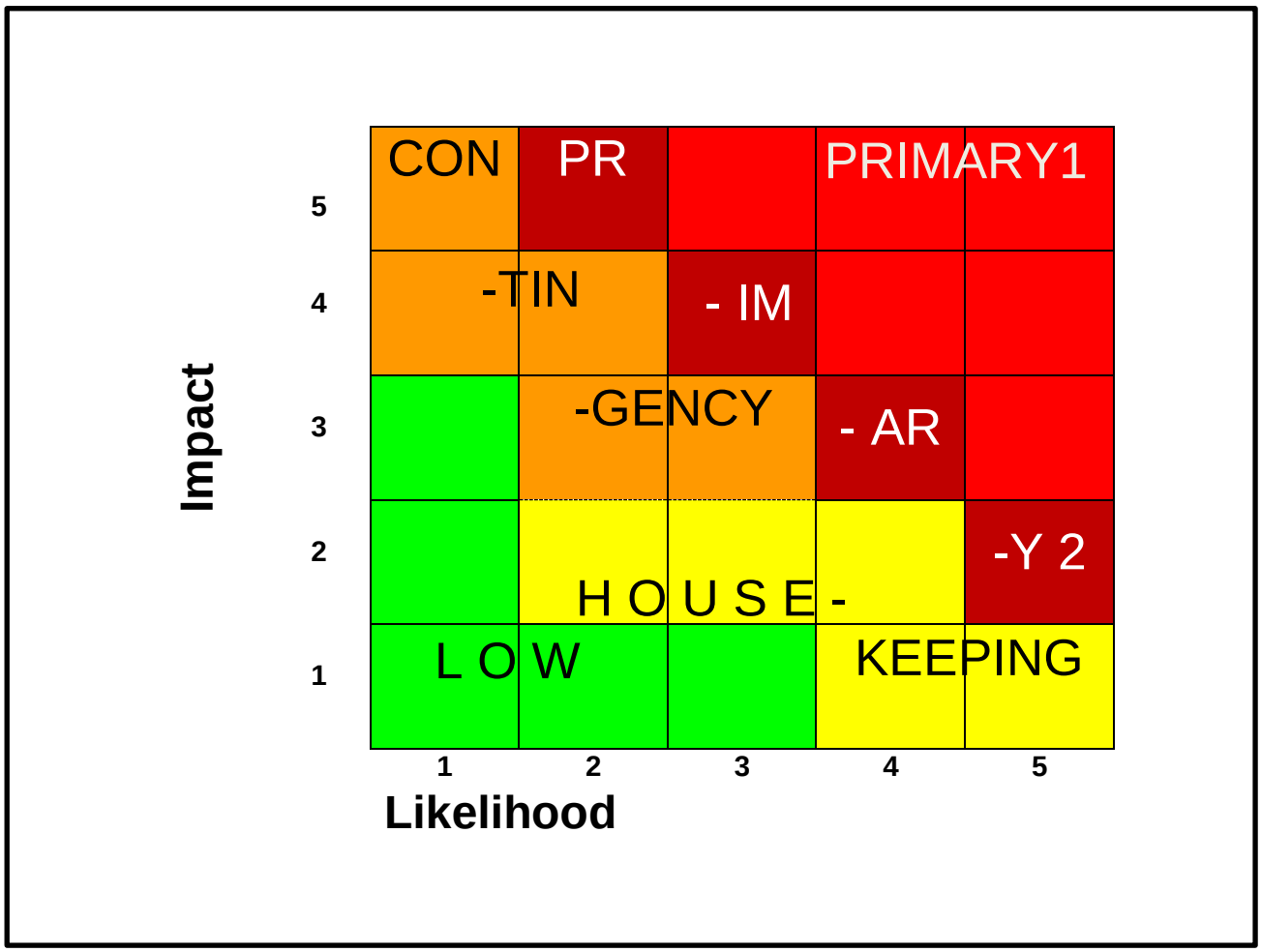
	Score	Aids to assessment
Almost Certain	5	This is expected to occur frequently/in most circumstances - more likely to occur than not. Risk will materialise on average once every 6 months
Likely	4	Strong possibility that this could occur - likely to occur. Risk will materialise on average once within each year
Possible	3	May occur occasionally, has happened before on occasions - reasonable chance of occurring. Risk will materialise on average once every 3 - 5 years
Unlikely	2	Not expected to happen, but definite potential exists - unlikely to occur. Risk will materialise on average once every 5 - 10 years
Rare	1	Very unlikely to occur – context and risk controls indicate this will only happen in exceptional circumstances. Risk will not materialise more regularly than every 10 years

NES Scoring Definitions

Impact of Risk –

	Score	Aids to assessment
Extreme	5	Severe service disruption Gross failure to meet professional/ national standards Major financial loss (>£1m) and/or severe damage to reputation Serious adverse publicity in the national press. Major public/political concern Major long term consequences Very limited time in which to mitigate impact before terminal
Major	4	Substantial disruption of service Failure to meet professional/ national standards Unfavourable national media coverage or adverse local coverage (less than 3 days) Significant public/political concern Substantial financial loss Significant long term consequences
Moderate	3	Noticeable effect on the operation May cause a degree of disruption Significant financial loss (£10k - £100k) Repeated failures to meet internal standards or follow protocols Unfavourable local/long-term media coverage Minimal long term consequences
Minor	2	Minimal interruption of service Isolated failure to meet internal standards or protocols Local press interest Limited financial impact No long term consequences
Negligible	1	Negligible effect on service delivery Minor non-compliance Consequences are not severe and any associated losses and financial implications are very low (<£1k) No long term consequences

NES Scoring Matrix



NHS Education for Scotland **NES/23/77**
Item 10c
23 November 2023

Board Meeting

1. Title of Paper
Strategic Key Performance Indicators: Board Performance Report 2023-24, Q2

2. Author(s) of Paper
Joe Hands, Principal Lead – Quality Improvement
Simon Williams, Principal Educator – Planning & Corporate Resources

3. Lead Director(s)
Christina Bichan, Director of Planning & Performance

4. Situation/Purpose of paper

4.1 This second quarterly performance report to the Board for 23/24 presents the data available in phase 2 of implementation of the Board's new balanced scorecard approach.

The Board is asked to review and approve this report.

5. Background and Route to Meeting

5.1 This paper represents the second time the Board has received a report on performance against the strategic KPIs approved alongside the NES Corporate Strategy in May 2023. Performance Reports will continue to be presented to the Board on a quarterly basis.

5.2 Extension of reporting to governance committees has commenced in quarter 2. Both the Technology and Information Committee and the Staff Governance Committee received their first performance reports at recent meetings.

6. Assessment/Key Issues

6.1 Rollout of the KPI approach has continued since the last update. In line with the roll-out plan, additional measures, such as dental fill and completion rates, are reported for the first time in Quarter 2.

6.2 Looking ahead to Quarter 3, our focus is centred on reporting the measures identified within the roll-out plan. As there is variation in how frequently

measures are reported, the reporting template will also be revised to include reference to when each measure was last updated.

6.3 Communication and engagement activity will also continue with an all-staff update on what the Quarter 2 KPIs are telling us planned for the December Townhall slidedeck.

7. Recommendations

7.1 The Board is asked to review and approve this report.

---

a) Have Educational implications been considered?

☒Yes
☐No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒1. People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒Yes
☐No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒Yes
☐No

g) Have you considered a staff and external stakeholder engagement plan?

☒Yes
☐No

Author name: Christina Bichan
Date: November 2023
NES

NHS Education for Scotland **NES/23/78**
Item 10d
23 November 2023

Board Paper

1. Title of Paper

2023/24 Quarter 2 Delivery Report

2. Author(s) of Paper

Alison Shiell, Planning & Corporate Governance Manager

3. Lead Director(s)

Christina Bichan, Director of Planning & Performance

4. Situation/Purpose of paper

4.1 This report provides the Board with a Quarter 2 update on NES's delivery performance against the deliverables and milestones set out in the 2023/24 NES Annual Delivery Plan (ADP). The report uses (B)RAG exception reporting to evidence progress and completion status.

4.2 The report comprises an overall 2023/24 Quarter 2 summary position (Appendix 1) and a full 2023/24 Quarter 1 and Quarter 2 update (Appendix 2).

4.3 The Board are asked to review and approve this report.

5. Background and Route to Meeting

5.1 This report has been prepared for the Board's review and approval and has been considered by the NES Executive Team in advance of the 23 November 2023 Board meeting.

5.2 The final version 2023/24 NES ADP was approved by the NES Board at its meeting on 28 September 2023 and then submitted to Scottish Government (SG) for formal approval. NES received approval from our SG Sponsorship Team on 25 October 2023. The approval letter is attached for the Board's information at Appendix 3.

5.3 Following receipt of the SG approval letter, the 2023/24 NES ADP has been published on the Corporate Publications page of the NES website.

6. Assessment/Key Issues

2023/24 Quarter 2 – Delivery Performance Overview

6.1 The NES 2023/24 ADP comprises 141 deliverables. At the end of **Quarter 2**, delivery performance is as follows:

Deliverable Status	Number	Percentage
Blue – complete	2	1%
Red – significant delay	1	1%
Amber – minor delay	22	16%
Green – on track	116	82%
Total	141	

6.2 One deliverable (5887) has been reported as Red (experiencing significant delay) in Quarter 2. This deliverable was rated Amber at Quarter 1 and raised to Red during Quarter 2 due to ongoing delays in the completion of a Service Level Agreement that will enable faculty to develop and deliver education and training within the National Bronchoscopy Training Programme as part of the NHS Scotland (NHSS) Academy. The issue has been escalated within the relevant NHSS health board and mitigating actions are in place with the aim of bringing this deliverable back on track during the next quarter.

6.3 22 deliverables have been reported as amber (minor delay) in Quarter 2. The majority of amber deliverables are linked to short-term delays, including staff / faculty capacity (sickness or absence), lower than expected numbers participating in educational programmes and delays to original project plans and timelines. A small number of deliverables continue to be in transition as strategic decisions are agreed in relation to the delivery of the 2023-26 NES Strategy.

6.4 The key delivery impacts reported from the amber ratings are as follows:

Deliverable	Deliverables raised from **Green** (Quarter 1) to **Amber** (Quarter 2)
5581	Dental Core Trainee recruitment fill rates are currently at 87% which may impact service provision within Boards.
5543	As a result of NES awaiting further clarity from Scottish Government and internal staffing capacity issues there may be a delay in moving to the final development stages of the Scottish Government Workforce Planning Tool which could impact the overall delivery timeline.
5884	Lower than expected number of learners participating in a Healthcare Pathway pilot qualification as part of the NHSS Youth Academy. The recruitment window will remain open to enable schools to offer the qualification in a more immersive way with the aim of increasing participation.
5441 5457 5497	Delays in the delivery and completion of Psychology education programmes / learning modules as a result of either external trainer availability, workforce availability to attend training, NES staffing capacity and non-recurrent funding issues.

Deliverable	Deliverables raised from Green (Quarter 1) to Amber (Quarter 2)
5885	Delays in securing the agreement from NHSS Territorial Health Boards (THBs) for the release of faculty may impact the future delivery of the National Endoscopy Training Programme as part of the NHSS Academy.
5585	Lower than expected numbers of General Dental Practitioners signing up to Adults with Incapacity and Enhanced Skills Practitioner courses may lead to cancellations and planned course delivery targets not being met. NES is working with THB Directors of Dentistry / Clinical Leads to scope and understand Health Board requirements in this area and whether the need for these courses has already been met.
5892	Development of NES's Learning and Education Strategy is progressing however there may be a delay to the original delivery timeline stated within the ADP. Approval of the Strategy will be sought at the November 2023 Public Board meeting bringing this deliverable to a 'complete' status ahead of the end of Quarter 3.

Deliverable	Deliverables rated Amber at both Quarter 1 and Quarter 2
5407	Ongoing external workforce pressures have meant that maximising external stakeholder engagement in the evidence-based psychological therapies and interventions programme of work continues to be challenging and may impact overall delivery timelines.
5424	Possible delays to the delivery of education and training that enhances health and social care workforce preparedness in relation to death, dying and bereavement care as a result of internal staffing / workload issues.
5510	Delays to the delivery of Compassionate Communication training due to internal staff absence.
5532	Under-recruitment to a non-medical cystoscopy training course may affect workforce pipelines in this area and the ability to respond to national acute service workforce needs.
5890	Delays to the development of the NHSS Academy learning environment due to external supply chain issues in relation to the building of a new skills and simulation centre. Timelines for Endoscopy training rooms are also to be confirmed by NHS Golden Jubilee.
5539	Delays to the delivery of the NES HR proposition model whilst internal delivery timelines and process reviews are confirmed and completed.
5552	Delays to commissioned external Chief Executive Officer (CEO) succession planning activity due to late commencement of system-wide working groups.
5658	Delays to the Knowledge Network redesign as a result of internal staffing and funding changes.
5868 5839 5870 5863 5862	Delays to digital work including the Individual Care Summary information and vaccination programmes, TURAS Family Nurse Partnership and TURAS Care Management tool. This is either as a result of awaiting further clarity from Scottish Government regarding future direction and funding or needing to review the current skillset position in NES to enable individual digital projects to continue to progress.

6.5 All deliverables are subject to ongoing mitigating actions and further progress is expected in the second half of 2023/24 to bring the majority of deliverables back on track.

2023/24 ADP Amendments during Quarter 2

6.4 The Board will recognise that whilst the 2023/24 ADP has now been approved by Scottish Government, ongoing changes within our operating environment and the fluid nature of certain aspects of our work mean that further refinements to our ADP may be required in-year. The following amendments have been made to the 2023/24 ADP during Quarter 2 and have been reviewed and approved by the NES Executive Team:

2023/24 ADP Deliverable	Amendment Detail
5481	Deliverable removed as it was a duplicate of 5476.
5548	Increase attraction to the NHSS workforce through raising awareness of the opportunities and benefits - Quarter 2 milestone added following approval of workplan by Scottish Government.
5493	Development of national education and training programme to staff working with Adults with Learning Disabilities across Health and Social Care settings – Deliverable strengthened and quarterly milestones added.
5472	Delivery of education and training programme to improve awareness and detection of Perinatal and Infant Mental Health problems in Scotland - Deliverable strengthened and quarterly milestones clarified.
5457	Improve health, care and partner organisation staff knowledge, skills and confidence in supporting the adults they care for – Quarterly milestones clarified.
5866	Rollout of OpenEyes electronic patient record to NHS Golden Jubilee to support NHSS Cataract Pathway – Quarter 3 milestone added following delivery outcomes during Quarter 1 and Quarter 2.
5905	Development of online education and learning prospectus – Quarterly milestones now added to reflect project plan within NES Transformation Routemap.
5906	Development of new approach to educational quality assurance and quality management - Quarterly milestones now added to reflect project plan within NES Transformation Routemap.

Risk Management

6.4 The one red deliverable reported at 2023/24 Quarter 2 has been reviewed against the NES Corporate Risk Register and does not demonstrate a significant corporate risk at this time. Satisfactory mitigating actions are in place to address the current issue with the position to be reviewed again at Quarter 3. Future delivery reports to the Board will highlight any red deliverables that are directly linked to a corporate risk.

7. Recommendations

7.1 The Board is asked to note the amendments made to the 2023/24 NES ADP and approve the Quarter 2 Delivery Report.

---

a) Have Educational implications been considered?
☒Yes
☐No

b) Is there a budget allocated for this work?
☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance
☐1. People Objectives and Outcomes
☐2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?
☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**
☒Yes
☐No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?
☒Yes
☐No

g) Have you considered a staff and external stakeholder engagement plan?
☒Yes
☐No

Alison Shiell
November 2023
NES

Annual Delivery Plan (ADP) Summary Progress Report (Quarter 2, 2023/24)

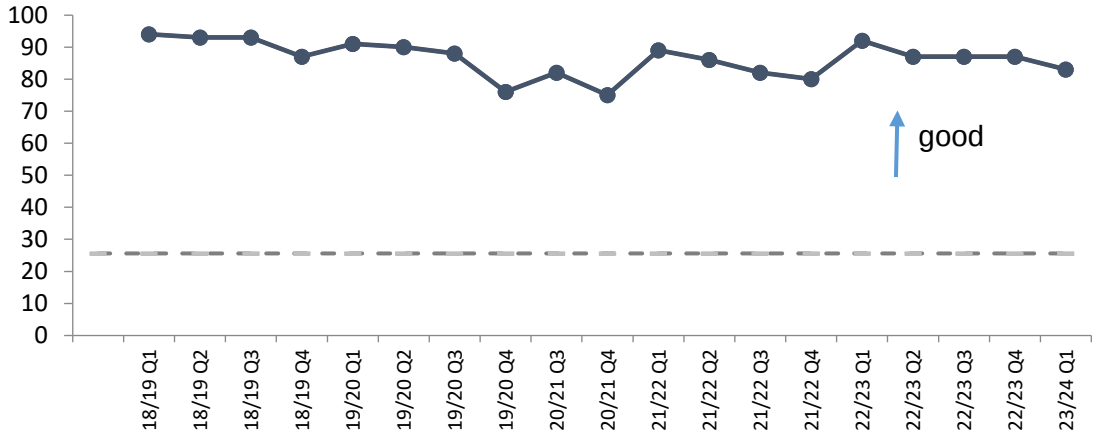
Aim: To provide an overview of progress and highlight key achievements, delays and risks in relation to delivery of the 2023/24 NES ADP.

Delivery Status at 30 September 2023 (Quarter 2)

- **82% of deliverables** are completed or on target to be completed in line with ADP milestones at the end of Quarter 2 and a further **16%** progressing with minor delays.
- **1% of deliverables** are experiencing significant delay. Mitigating actions are in place to bring this deliverable back on track.
- Performance is comparable with the position in previous years.

Status:	Q1 23/24	Q2 23/24	Q3 23/24	Q4 23/24
Complete	**2**	**2**	-	-
On Track	**114**	**116**	-	-
Minor Delay	**25**	**22**	-	-
Significant Delay	**0**	**1**	-	-
Closed - no further action	**0**	**0**	-	-
Total Deliverables	**141**	**141**	-	-

Percentage of on target deliverables, by Quarter, 2018/19 – 2023/24



Key Achievements (Individual ADP milestone references shown in brackets)

- Over 400 Newly Qualified Pharmacists undertaking training across all three Pharmacy sectors (Hospital, Primary Care and Community) (Ref **5365**)
- Over 5,000 registrations for NES / Mental Welfare Commission masterclass series supporting workforce understanding of the Adults with Incapacity (Scotland) Act (2000) (Ref **5743**)
- Enhanced Trauma Training delivered to almost 300 practitioners (Ref **5461**)
- Accelerated National Innovation Adoption (ANIA) workshop event hosted (Ref **5859**)
- International Recruitment Leads now in place within the Centre for Workforce Supply to support accelerated international recruitment into Adult Social Care roles (Ref **5880**)
- Supporting enhanced optometry service delivery via development of undergraduate training programme - Memorandum of Understanding now signed with HEIs to take this work forward. (Ref **5699**).
- National Centre for Remote & Rural Health and Social Care funded and operational (Ref **5432**).
- NES Widening Access Framework approved (Ref **5554**)

Delays and associated impact

Of the 1 red and 22 amber deliverables, all have mitigating actions in place.
Progress in later quarters is expected to bring the majority of deliverables back on track.
The red deliverable is due to delays in finalising faculty capacity. The majority of amber deliverables are linked to short-term delays, including staff/faculty capacity (sickness or absence), lower than expected numbers participating in educational programmes and delays to original project plans / timelines. A small number are impacted by short delays in strategic decision making.
The associated impact is a small reduction in the scale of our educational offering in some instances and a lengthening in the timeline for delivery in others.

Corporate Risks Affecting Delivery

At the end of Q2 there is 1 deliverable reporting significant delay.
There are no impacts highlighted at present which align to the NES Corporate Risk Register.

Health Workforce Directorate
Gillian Russell, Director

Scottish Government
Riaghaltas na h-Alba

E:Directorofhealthworkforce@gov.scot

Karen Reid
Chief Executive
NHS Education Scotland

Via email: CEO.NES@nes.scot.nhs.uk

25 October 2023

Dear Karen,

NHS EDUCATION SCOTLAND: ANNUAL DELIVERY PLAN 2023/24

Thank you for sharing your Annual Delivery Plan (ADP), setting out your operational priorities and key actions for 2023/24. May I take this opportunity to thank you and your team for all the hard work that has gone into the preparation, and subsequent review, of the ADP over the last few months.

As set out in the Delivery Plan Guidance issued earlier in the year, the 2023-24 ADP process is intended to move us forward from the volatility of the last three years and make further progress along the path towards recovery and renewal as set out in *Re-mobilise, Recover, Re-design: the framework for NHS Scotland*.

In support of this, the guidance was framed around 10 ‘drivers of recovery’, which were then modified for each of the National Boards, and we welcome the considered way in which you have responded to these when developing your 2023/24 Plan.

Following discussions between our teams, I am now satisfied that your 23/24 Annual Delivery Plan broadly meets our requirements and provides a clearly shared understanding between the Scottish Government and NHS Education Scotland regarding what is to be delivered in 2023/24.

As a result of the Scottish Governments in-year savings request (currently £6.7m), we anticipate some deliverables will be subject to change. These will be discussed with your team and will be reflected in updates to the ADP where necessary.

Annex 1 sets out a summary of our agreed joint position key milestones and deliverables for 2023/24.

1	Improved access to primary and community care to enable earlier intervention and more care to be delivered in the community
2	Urgent & Unscheduled Care - Provide the Right Care, in the Right Place, at the right time through early consultation, advice and access to alternative pathways, protecting inpatient capacity for those in greatest need
3	Improve the delivery of mental health support and services
4	Recovering and improving the delivery of planned care
5	Delivering the National Cancer Action Plan (Spring 2023-2026)
6	Enhance planning and delivery of the approach to health inequalities
7	Fast track the national adoption of proven innovations which could have a transformative impact on efficiency and patient outcomes
8	Implementation of the Workforce Strategy
9	Optimise use of digital & data technologies in the design and delivery of health and care services for improved patient access
10	Climate Emergency and Environment

1	Continue to provide leadership for and delivery of high quality education, training workforce development, including: • Advising on the education and training capacity for health and social care disciplines across Scotland to ensure it meets future workforce requirements. • Managing recruitment and progression for many health and social care professions including medical, dental, pharmacy, optometry and health care science. • Refocusing elements of medical education to improve trainee experience in partnership with SG, 4 nations, Boards, GMC, Royal Colleges and other relevant partners. • Delivering education, training and workforce development activity to support continuous professional development, role development and transformation across the range of health and social care disciplines. • Providing a modern, engaging, attractive, digital learning platform/learning management system. • Developing and delivering accelerated training programmes through NHS Scotland Academy
2	**Improve the range, quality and granularity of workforce data**, through understanding and ensuring we meet user needs with initial focus on official published NHS workforce statistics then extending to all other workforce data including in respect of the unregistered workforce. In addition to understanding and responding to user needs this will also be done through the development, promotion and adoption of coherent systems across partners. Undertake a continuous review of priority areas across health and social care in respect of **data gathering and analysis**. Linked to this, improve the analysis and reporting of data, providing a holistic understanding of the characteristics of the health and social care workforce including entry routes, career paths, skills mix and attrition.

INVESTORS IN PEOPLE™ We invest in people Silver
disability confident LEADER

3	In service of the Digital Health & Care Strategy, **continue to lead on development of the National Digital Platform** in support of major programmes of work as prioritised by the Enabling Technology Board, including, but not limited to, alleviating winter pressures, major system replacement, vaccinations, digital prescribing and dispensing, diabetes support, workforce data and identity management and supporting innovation via the ANIA programme. In addition to this, lead on the technical delivery of the Digital Front Door programme and continue to deliver on the Digitally-Enabled Workforce Programme.
4	Phase 1 of the redesign of the Turas platform to provide an accessible, dynamic learning and education platform for Health and Social Care alongside development of a NES prospectus.
5	Work with the Chief Scientist's Office, Scottish Health and Industry Partnership Group, Accelerated National Innovation Adoption (ANIA) Pathway, Innovation Design Authority and HEIs to **scope the skills and training required to deliver and implement health care research, development and innovation** to inform the learning needs of the health and social care workforce.
6	Working with partners across the system and **Centre for Sustainable Delivery** in particular, lead on the identification, assessment and implementation of new workforce models which involve role re-design and transformation to optimise care pathways, complementing wider service reform and transformation activity being driven forward through the Care and Wellbeing Portfolio.
7	Build the capability of the **Centre for Workforce Supply** to develop resourcing strategies which address workforce supply shortages and assist NES and local boards in articulating the case to overcome said shortages. The Centre will provide centralised co-ordination and recruitment expertise, supporting local Board and Health and Social Care Partnership infrastructure with the implementation of these strategies and acting on evidence to increase response rates to recruitment efforts. The Centre should play a key role in promoting the NHS Scotland Brand identity.
8	Working in conjunction with partners across the social care sector including SSSC, scope, design and deliver a programme of **workforce development activity to increase the capacity and capability of the social care workforce.** Ahead of any future decision on the training, education and workforce development needs associated with the National Care Service, with appropriate funding, this work should focus on repurposing NES resources for adult social care, reviewing and developing the national induction and CPD frameworks, including the introduction of GIRFE Pathfinders. In addition, scope the options for enhanced international recruitment for social care.
9	In partnership with NHS Golden Jubilee, position the **NHS Scotland Academy** as the key developer and deliverer of accelerated training underpinned by NES academic governance,in areas of need, including supporting the readiness of a skilled workforce for the National Treatment Centres and begin to explore the commercial opportunities available.
10	As commissioned by the Scottish Government, take forward the **scoping and development of a National Centre for Remote and Rural Health and Social Care** to raise the profile of remote and rural practice as a career choice. In doing so, ensure the needs and circumstances of those communities are considered, support a multi-agency collaborative approach and ensure the priorities remain agile to respond to need.
11	Working in conjunction with senior leaders and partners across the system, build on existing activity, to **scope and deliver a range of national leadership and quality improvement programmes and resources** for the health, social care

INVESTORS IN PEOPLE™ We invest in people Silver
disability confident LEADER

	and social work workforce, supported by relevant digital infrastructure. Furthermore, provide a range of products that will support the talent management and succession planning process across the system, building networks to share learning and facilitate collaboration.
12	Actively contribute to the national effort around **workforce wellbeing** through increasing capacity and capability to deliver psychological interventions and therapies to support staff mental health and wellbeing across the Health and Social Care workforce.
13	NES and SG to actively engage with NHS Boards, education providers and wider partners to develop the education, training and tools required to support health and care professionals to practise **Realistic Medicine** and deliver value based health and care.
14	Identify and adopt actions designed to **maximise the efficiency of the organisation**, clearly demonstrating best value in its work and ensuring coherence with activity being delivered by partners in order to deliver a more sustainable and affordable Health and Social Care system. In supporting the development and delivery of key priorities, both existing and new, ensure appropriate financial controls and governance is in place, including exploring the financially sustainable delivery of all priorities and embedding continuous quality improvement in all corporate activities.

Moving to focus on delivery of the Plan, we will engage with you on progress against the Plan, and any issues and risks which are impacting, or could impact, on delivery through the normal cycle of sponsorship meetings, bringing in colleagues from SG Health Planning for quarterly ADP reviews.

We will also be in touch shortly to discuss your submitted Medium Term Plans (MTP). Informal feedback has already been provided on these plans as part of the ADP review process. The next step, working with Directors of Planning, is to further consider the MTPs as a collective to ensure coherence of planning and delivery across NHS Scotland.

For 2024-25, we will continue to build on the annual planning process and we will consider the very helpful feedback received from National Board Directors of Planning. One key aim is to ensure the ADP planning and reporting cycle is better integrated with financial and workforce planning, as well as enhanced regional and national planning. Our intention is also to bring forward the planning timetable for 2024-25, with the aim of finalising ADPs earlier in the year. To achieve this we will work with your Planning team to ensure we can meet this aim without placing undue pressure on Boards during busy periods.

Once again, I would like to take this opportunity to thank you and all your colleagues for your input into the plans for 2023-24.

If you have any questions about this letter, please contact Laura Tait in the first instance (NESSponsorship@gov.scot)

Yours Sincerely,

Gillian Russell
Director of Health Workforce

INVESTORS IN PEOPLE™ We invest in people Silver
disability confident LEADER

NHS Education for Scotland **NES/23/79**
Item 11a
Date 23 November 2023

Board Meeting

1. Title of Paper

Board Assurance Framework and Proposed Committee Assurance Frameworks: Update

2. Author(s) of Paper

Della Thomas, Board Secretary and Corporate Governance Principal Lead

3. Lead Director(s)

Jim Boyle, Executive Director of Finance
Christina Bichan, Director of Planning and Performance

4. Situation/Purpose of paper

4.1 This paper brings an update on the proposed work to revise the Board Assurance Framework and to create new Committee Assurance Frameworks for noting.

4.2 It also includes proposed revisions to the current Board Assurance Framework for approval.

5. Background and Route to Meeting

5.1 The Board Assurance Framework was reviewed by the Audit and Risk Committee (ARC) at the 27 April 2023 meeting and again at the 5 October 2023 meeting.

5.2 The Board Assurance Framework is reviewed annually by the Board and was last considered at the 24 November 2022 Board meeting.

5.3 The Board discussed a report from an external consultancy (Azets) at the 29 June 2023 Board Development meeting. This report highlighted governance improvements that might be progressed to develop the Board Assurance Framework and to create new Committee Assurance Frameworks. It was anticipated that the new Committee Assurance Frameworks would be prepared to align with the Board delegated remits of

the Committees; the Board delegated Committee Strategic Key Performance Indicators (SKPIs) and the Board delegated strategic risks.

5.4 Strategic risk and risk appetite, aligned to the new NES Strategy, were approved by the Board at the 23 March 2023 meeting.

5.5 A set of SKPIs aligned to the new NES Strategy were approved at the 25 May 2023 Board meeting.

6. Assessment/Key Issues

(Include narrative relating to a-g checklist by exception)

Committee Assurance Frameworks and Committee SKPI and Strategic Risk Reports

6.1 The Board received the first full set of SKPIs and Strategic Risk Reports at the 10 August 2023 Board Meeting (Quarter 1 reports). A further full set of reports are brought to the 23 November 2023 Board meeting (Quarter 2 reports).

6.2 A new Committee Assurance Framework was prepared and populated as an illustrative example.

6.3 This was considered by the Technology and Information Committee (TIC) at their 29 August 2023 meeting. Accompanying TIC delegated SKPI and delegated strategic risk reports were also considered by this meeting.

6.4 Following the TIC meeting, the Chair and CEO met and advised that the work on the development of the Committee Assurance Frameworks should be paused. This was so some wider consideration could first be given to the overall NES Committee structures to ensure they are well aligned to govern the delivery of the NES Strategy. The ARC meeting of 5 October 2023 approved this decision.

6.5 The initial illustrative work on the creation of the TIC Committee Assurance Framework to date, will capture lessons learnt to inform future activity.

6.6 Other Committee work is continuing as usual, with the newly delegated SKPIs and delegated strategic risk reports (in the same format as the quarterly Board reports), coming through Committees on a quarterly basis.

6.7 Committees are taking forward the annual review of their existing Terms of Reference (ToRs) currently and will develop their Schedules of Business, as per the usual governance pattern and sequencing.

Board Assurance Framework

6.8 The current Board Assurance Framework has been amended to include a section in the introduction detailing a summary of the *current* Board delegated remits for the Committees. This is in line with an improvement recommended by the Azets Consultancy report.

6.9 The ARC suggested that the table in the document should include a reference to the delegated Committee roles in relation to the SKPIs. The ARC asked that Board Development meetings, when relevant, should be referenced within the table. Additions have been made to include these aspects in the table as detailed in the "Amendment History" section of the document.

6.10 Other small amendments have been made and these are noted in the "Amendment History" section of the document.

6.11 A new Board Assurance Framework will be developed once the work on any new Committee structure and amended Committee remits has concluded.

6.12 Sections e) and f) of the cover paper checklist have been checked to indicate that these aspects have been considered and reflected in the Board Assurance Framework. Section g) of the cover paper checklist has not been checked as an internal or external consultation or communication plan, is not required for this work at this stage. However, if the Committee structures in NES changes, then this will require internal and external communications in due course.

7 Recommendations

7.1 The Board is invited to:

- Note the decision to pause the work on the progression of new Committee Assurance Frameworks and await the wider consideration that will first be given to the overall NES Committee structures (to ensure Committee alignment to govern delivery of the NES Strategy).
- Note the intention for the Audit and Risk Committee, Staff Governance Committee, Education and Quality Committee and the Technology and Information Committee to receive delegated SKPI and delegated strategic risk reports to each Committee meeting.
- Approve the amendments to the current Board Assurance Framework.
- Note a new Board Assurance Framework will be developed in due course.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☒ Yes
☐ No

b) Is there a budget allocated for this work?

☒ Yes
☐ No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒ 1. People Objectives and Outcomes
☒ 2. Partnership Objectives and Outcomes
☒ 3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒ Yes
☐ No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒ Yes
☐ No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒ Yes
☐ No

g) Have you considered a staff and external stakeholder engagement plan?

☐ Yes
☒ No

Della Thomas
November 2023
NES

NHS Education for Scotland

Assurance Framework

November 2023

Document information

Consultation		**Executive Team** **NES Board** **Audit and Risk Committee**
Scope of Document		The sources of assurance used by the NES Board to obtain assurance on the delivery of the organisation's strategic, operational and financial plans
Objective		To enable the NES Executive Team and Board to assess the level of assurance provided in all corporate functions.
Linked Documentation		**-**
Document Sponsor	**Name**	**Jim Boyle**
	Job Title	**Executive Director of Finance**
	Division	**Finance and Procurement**
Approved by/ & Date		
Authors	**Name**	**Della Thomas**
	Job Title	**Board Secretary & Corporate Governance Principal Lead**

Amendment History (2023/24)

Date	Page	Details of Change
18/04/23	**3**	Introduction updated to refer to second edition of the Blueprint.
24/09/23	**4**	Brief outline of Board delegated Committee Remits added.
24/09/23	**table**	Minor amendments in terminology e.g. Operational Plan to Delivery Plan and reference to Strategic Key Performance Indicators included and change from Digital and Information Committee to Technology and Information Committee
24/09/23	**22**	Reference to Covid-19 Recovery Plan removed from change management section.
25/09/23	**21**	Addition of reference to the new Transformation Group to the change management section.
31/10/23	**5 (table)**	Reference to SKPIs and delegated reporting to Committees as per Committee remits
31/10/23	**5 (table)**	Reference to Board Development involvement added in relation to the development of the NES Strategy and the Learning and Education Strategy

Introduction

The NHS Scotland Health Boards and Special Health Boards – Blueprint for Good Governance Second Edition (issued through DL (2022) 38) sets out the promotion and delivery of good governance starting with the development of an assurance framework. This brings together the organisation's purpose, aims, values, corporate objectives and risks with the strategic plans, change projects and operating plans necessary to deliver the desired outcomes.

The Blueprint reinforces the Scottish Government's requirements published in the revised Audit and Assurance Committee Handbook (April 2018) for health boards to develop an Assurance Framework. The purpose of the Framework is to enable the Audit Committee and the Board to understand the levels and sources of assurance it receives in relation to work, systems and processes. This will enable identification of areas where current levels of assurance are considered excessive or where further assurance mechanisms need to be identified and implemented.

The Audit and Assurance Handbook specifies the following corporate functions where the Board will require assurance regarding management, quality and performance:

- **Performance in delivering Strategic Plans** – setting the organisation's strategic direction and monitoring and managing performance against related objectives.
- **Quality Management** – monitoring quality, making improvements and rectifying quality deficits
- **Financial Management** –the organisation's financial resources are managed effectively
- **Human Resources Management** – NES employees are recruited, developed and managed fairly and effectively
- **Change Management** – organisational and service change is efficient and effective
- **Risk Management** – NES's processes and practices for identifying and managing operational, strategic and other risks are effective.
- **Information Management** – the policies, processes and for collecting, holding, using and sharing information safely and effectively.

Delegated Board Committee Remits

Audit and Risk Committee: Assurance relating to Internal Control, Risk Management and Corporate Governance, strategic financial planning and the integrity of the Annual Report and Accounts, Procurement, Counter Fraud, Property and Facilities and Climate Emergency and Sustainability.

Staff Governance Committee: Monitoring implementation of the Staff Governance Standard. Assurance in relation to NES staff health, well-being and welfare, as a result of any work commissioned directly by Scottish Government. Whistleblowing. Staff related equality and diversity outcomes. The Staff Governance Committee delegates the statutory requirements laid out in the Staff Governance Standard in respect of the remuneration of individual Executive Directors and Directors (and any other staff employed under Executive Managers' or Consultants' pay arrangements) to the Remuneration Sub-Committee.

Education and Quality Committee: Assurance that effective arrangements are in place to plan, commission, deliver and quality manage all of NES's education and training provision in line with the organisation's Strategic Plan; advise the NES Board, when appropriate on where, and how, its education systems and assurance framework may be strengthened and developed further and provide assurance to the NES Board that effective arrangements are in place for the educational and quality governance of the NHS Scotland Academy accelerated education and training activities. Educational equality and diversity outcomes.

Technology and Information Committee: Assurance of effective strategic management and delivery of NES's technology work in relation to strategic key performance indicators, resource allocation, strategic risk identification and mitigation and service delivery compliance with statutory and regulatory requirements including, clinical and technical assurance; cybersecurity, safety. Technology and information related equality and diversity outcomes.

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Performance in delivering Strategic Plans **(Making sure that our plans deliver against our strategy and that we deliver against our plans)**	Development of the NES Strategy in consultation with internal and external stakeholders Strategic and Delivery Planning processes – ensuring strategic alignment Strategic Key Performance Indicators (SKPIs)	Board Development workshop and sign-off of consultation draft and final NES Strategy Annual Delivery Plan, includes plans to progress delivery of key strategic outcomes. Delegation of SKPIs to Board Committees in line with the	Consultation feedback on NES Strategy and Scottish Government feedback Internal Audit Reports on Performance Management, and Staff Governance External Audit review of Performance in Annual Report and Accounts	NES Board (Director of Planning) **Quinquennial process** NES Board (Director of Planning) Audit & Risk ToR 9.1.5 (Director of Finance) **Annual** NES Board (Director of Planning) Quarterly	Managing the process to develop the Strategic Plan and Financial Plan for approval by the Board. Ensuring systems and processes at a local directorate level support high performance. Executive Team oversight of performance indicators, financial indicators and staffing indicators.	Setting the Direction (Approval of Strategic Plan and Financial Plan) Holding to Account (Receiving quarterly performance reports and challenging areas of poor performance) Assessing Risk (Achieving balance between ambition and realistic assessment of what is achievable

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Performance in delivering Strategic Plans (continued)		Committee Remits				given resources, environment etc (Board, standing committees))
	Development of NES Learning and Education Strategy	Board Development session and sign-off of draft and final NES Strategy by the Board	Consultation feedback on NES Strategy and stakeholder feedback	Director of NHSS Academy and Learning and Innovation		Engaging Stakeholders (obtaining assurance that stakeholders have been involved in the setting of Strategy and in understanding annual operational plans).
	Corporate Performance Management Dashboard and quality control process	Quarterly Performance Reports detailing progress against Strategic Key Performance Indicators.	Quarterly Delivery Reports to Scottish Government	Committees (Director of Planning) Quarterly NES Board (Director of Planning) **Quarterly** NES Board (Director of Planning)		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Performance in delivering Strategic Plans (continued)	Financial Plan aligns with Delivery plan All staff have objectives that relate to delivery of key targets Performance against targets considered at Directorate meetings – measures taken to remedy areas of poor performance Staff management – ensuring staff	 Reports to Staff Governance Committee on personal objectives and Staff Governance Standard Performance reports -	 Scottish Governance monitoring of Staff Governance Standard - -	**Annual** Staff Governance ToR 9.1 & 9.1.1 & 9.1.4 (Director of Workforce) **Annual** (All NES Directors) Quarterly	Executive Team has oversight of progress against equality and diversity targets.	Influencing Culture (oversight of Staff Governance indicators)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	are managed in accordance with the Staff Governance Standard and NES policies to be high performing.			Staff Governance ToR 9.1.3 & 9.1.4 (Director of Workforce) **Biannual**		
	Equality and diversity targets developed annually in operational planning	Directorate updates on prioritised E&D targets	-	Education & Quality ToR 9.6 Staff Gov. ToR 9.2.4 (Equality Advisor) **Biannual** NES Board		
	Feedback, complaints handling and participation processes implemented by directorates and corporate	Feedback, Comments, Concerns and Complaints (FCCC) report	Scottish Government and Scottish Public Services Ombudsman reviews FCCC report and provides feedback	Education & Quality ToR 9.9 & 9.10 (Director of Planning) **Annual**		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	Complaints Handling team Engagement with stakeholders Fulfilling Emergency Climate Change and Sustainability Requirements Development of the NES Climate Emergency and sustainability Strategy	Stakeholder Map and Communication Strategy Standing Item Reports to Audit and Risk Committee	- Board and Scottish Government Reports: Annual Climate Emergency and Sustainable Development Report and Public Bodies Climate Change Duties Annual Report	NES Board (Head of Comms) **As required** Audit and Risk Committee ToR section 9.7	Executive Director of Finance appointed as Climate Emergency and Sustainability Lead	Non-Executive Director Climate Emergency and Sustainability Champion
Quality Management **(Making sure that what we deliver – in all**	Local processes in place to ensure quality and 'fitness for purpose' of educational	Education & Quality processes including Directorate Review and	Internal Audit reviews. Formal Review by the GMC (every 5 years)	Education & Quality Committee ToR 9.10	Managing local operational processes to assure, control and improve quality.	Setting the Direction (approving Education Governance arrangements)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
areas, is of a high quality, and fit for purpose)	programmes, resources. Sharing of practice through the Educational Leadership Group and Thematic Review	Thematic Review EQC review of Thematic Review reports	of Medical Education in Scotland. -	(Directors of education directorates) **Thematic and Directorate Reviews biannual** Education & Quality ToR 9.4 (Education & Quality Exec Lead)	Ensuring appropriate stakeholder engagement in development of new products/review of existing programmes. Executive Team oversight of draft Educational Governance processes	Holding to account (reviewing educational governance reports, Annual FCCC report, Equalities Outcomes progress reports)
Quality management (continued)	Feedback collected from service users and stakeholder organisations and reviewed to identify quality issues Complaints management	Feedback, Comments, Concerns and Complaints (FCCC) Report Review of local quality management	Scottish Government review of Feedback, Comments, Concerns and Complaints report -	Education & Quality ToR 9.4 (Director of Planning) **Annual** Education & Quality ToR 9.12	Executive Team approval of complaints handling processes	Assessing Risk (Identifying risks to receiving assurance related to performance and quality including compliance with statutory

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	process - including follow-up on complaints related recommendations and annual review Annual review of standing committee business to check performance against approved remits Development of standing committee annual workplans	outcomes, including those from trainee surveys. Annual review of Board committee reports confirming adherence to approved remits Standing committee annual workplans approved	- Review of Equality Outcomes and associated reports by Equality & Human Rights Commission	(Director of Planning) **Annual** Audit & Risk ToR 9.1.6 & 9.1.7 (Executive Leads) **Annual** Audit & Risk ToR 9.1.6 & 9.1.7 9.1.8 (Executive Leads) **Annual** Education & Quality ToR 9.5 Staff Governance ToR 9.2.4 (Equality Adviser)	Executive Team oversight of draft Equality Outcomes, Mainstreaming Priorities and FCCC reports	and policy duties (Board, standing committees)) Engaging Stakeholders (oversight of appropriate stakeholder/lay involvement in educational and digital developments) Influencing Culture (advocating for proper oversight of learning environment at all NHS Boards)
Quality management (continued)						

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	Compliance with equality related statutory duties Application of local quality management processes to digital developments Application of local research governance	Approval and monitoring of: Equality Outcomes and Mainstreaming Priorities Equality Impact Assessments Fairer Scotland Duties - Approval of NES Research Governance	- Internal audit of research governance	**Biannual** Education & Quality ToR 19.6 (Directors of education directorates) **As required** Education & Quality ToR 9.7 (Research Governance Lead) **As required** **Annual**		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	process aligned with NES Research Framework	Framework (aligned with UK Research Standards) and Research Governance annual report				
Financial Management **(Making sure that our resources are**	Budget setting process aligned to Delivery Planning which aligns to Strategic Plan	Full details of process of developing an annual budget	Internal Audit (e.g. Budget Management, Fraud	Audit and Risk ToR 9.2, 9.3, 9.4 NES Board	Detailed controls on expenditure at a Directorate level.	Ensures effective financial stewardship through

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
properly applied to deliver our Strategic Plans and that we do not breach our financial limits)	Operational level challenge to budget setting process Regular, accurate and clear reporting of actual against budget and forecast	Regular Financial reporting	prevention, Procurement) External Audit of Annual Accounts Scottish Government scrutiny of Financial Performance Reporting submissions	(Director of Finance) **Annual** (Director of Finance) **Annual** NES Board (Director of Finance) **Quarterly**	Adherence to delegated authorities Regular review of Finance monitoring reports	considering value for money, financial control and financial planning and strategy through the following: Setting the Direction (Approval of Strategic Plan and Financial Plan)
Financial Management (continued)	Production of Annual Accounts and sign-off by Accountable officer	Review of annual accounts	Auditor General for Scotland and the Scottish Government Health and Social Care	Audit & Risk ToR 9.3.4 – 9.3.9 (Director of Finance) **Annual**		Holding to Account (Receiving quarterly Finance Report)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Financial Management (continued)	Annual Best Value review Regular review of in-year financial performance at Directorate and Executive Team level, and amendment of financial plans if appropriate Development and adherence to Standing Financial Instructions setting out limits of financial delegation Development and implementation of procurement controls	Directors' assurance provided to the CEO to support signing of the Governance Statement. Monitoring of Procurement including performance of the compliance with	Directorate review and provide feedback on Annual Accounts Internal Audit Review as part of Controls Framework review. Internal Audit Review as part of Controls Framework review.	A&R ToR 9.4 (Director of Finance) **Ongoing** A&R ToR 9.6 (Director of Finance) **Annual**		Assessing Risk (Understanding key areas of budget risk) Engaging Stakeholders (Ensuring that stakeholders understand the budget) Influencing Culture (Setting a strong tone in relation to the proper use of public money)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	Development and implementation of financial controls and reconciliations Savings plans and measurement of delivery Management and reporting of finance risks	Procurement Duty (through Procurement Annual Report) Review of Corporate and local risk registers	Internal Audit Review as part of Controls Framework review. Internal Audit	Audit & Risk ToR Controls 9.2 9.2.2 & 9.2.4 (Director of Finance) **Ongoing** Board/ Audit & Risk ToR does not detail A&R role with financial risks (DoF) **All meetings**		
Human Resource Management	People and OD Strategy including Key Performance Indicators	Approval of People and OD Strategy (including KPIs)	Internal audit External audit	Staff Governance ToR – role re. risk 9.2.3	ET ensures alignment of human resources with strategic priorities and	Setting the Direction (Approving the People and OD Strategy

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
(Making sure that NES recruits, develops, manages and retains its staff fairly, efficiently and effectively) **Human Resource Management (continued)**	(including relevant workforce metrics) Reports on Staff Governance Standard Use of feedback on staff satisfaction and team working through iMatter to identify issues and	Review of progress against agreed KPIs (through quarterly review of metrics and dashboard with KPIs) and reports on Staff Governance Standard Review of NES and national iMatter reports	Scottish Government reviews Staff Governance Monitoring data and provides feedback Publication of iMatter comparative data by Scottish Government	(Director of Workforce) **Triennial** Staff Governance ToR does not appear to include specifics on progress reports re KPIs (Director of Workforce) **Quarterly** Staff Governance ToR does not explicitly cover staff related feedback and	operational needs ET reviews performance against People and OD Strategy KPIs ET reviews reports on Staff Governance Standard ET reviews iMatter reports and initiates change where required ET considers Establishment Control recs at each meeting	and Workforce Plan) Holding to account (Reviewing reports on Staff Governance, the Workforce Plan, iMatter, performance against KPIs) Assessing Risk (Identifying key risks relating to Human Resource Management and ensuring these are managed effectively Engaging stakeholders

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	affect improvements		and thematic review	conclusions e.g. iMatter Staff Governance Committee (Director of Workforce) **Annual**		(ensuring that People and OD policy application is developed in partnership)
Human Resource Management (continued)	Monitoring quality of staff performance objectives and personal development plans to ensure alignment with directorate and NES objectives Compliance with the specific statutory duties under Equality and Fairer Scotland legislation	Report on outcomes from quality assurance of performance objectives and PDPs Approval of Equality Outcomes and Mainstreaming Priorities and monitors	Internal audit Equality and Human Rights Commission scrutiny	Staff Governance ToR 9.2.4 (Director of Workforce) **Annual** Board Staff Governance ToR 9.1.7 (Director of Workforce)	Equalities performance data reviewed by SMLT	Influencing Culture and standards of people management across the organisation (SGC)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Human Resource Management (continued)	Ensure fair remuneration of senior staff	progress reports Monitor compliance and improvement in relation to specific equality duties through review of Equal Pay statement and workforce equality data (presented in Workforce Plan) and Fairer Scotland related reports. Remuneration Committee considers pay levels and performance of senior staff.	Scottish Government reviews Workforce Plan National Performance Evaluation Committee reviews	**Quadrennial** Staff Governance Committee (Director of Workforce) **Quadrennial** Remuneration ToR 9.1 (Director of Workforce) **Annual**	[*Assurance arrangements in development]*	

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
			performance ratings and provides feedback.			
	Ensure fair access to development opportunities and training progression for staff and employed trainees through 'Differential Attainment' actions	Considers reports on Differential Attainment initiatives and information.	-	Education & Quality ToR 9.12 (Directors of education directorates) **As required**		
	Whistleblowing Policy and processes to encourage staff and others to raise public interest concerns and ensure these are investigated and reported effectively	Quarterly updates on the whistleblowing portfolio provided to Staff Governance Committee Annual report on handling of	Independent external review of Whistleblowing concerns referred to the Independent National Whistleblowing Officer.	Staff Governance Committee ToR 9.2.1 (Director of Planning) **Quarterly**		Holding to account for whistleblowing policies and practice. Assessing risks identified in whistleblowing concerns

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	Maintenance of risk registers relating to human resources	whistleblowing concerns Non-Executive Whistleblowing Champion appointed Review of corporate and directorate risk registers relating to NES workforce	Internal audit	Staff Governance Risk ToR 9.2.3 Board (Director of Workforce) **Quarterly**		Influencing the culture to encourage staff and others to report public interest concerns
Change Management **(Making sure that NES manages significant service change and any consequential organisational change)**	Business cases and plans for service re-design and change (including explicit information on impact and efficiency and Stakeholder Engagement Plan)	Plans for service re-design and progress reports Organisational Change Policy and Procedures approved	Internal audit External audit -	Staff Governance ToR does not include a specific role for SGC in relation to organisational change (Director of Workforce)	ET reviews and authorises business cases and plans for service re-design and change Change Management Programme	Setting the direction (Approving the Organisational Change Policy) Holding to account Assessing risk

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Change Management (continued)	Organisational Change Policy and Procedures Change Management Programme Board authorises and monitors organisational change processes Organisational Perf. Imp. Programme processes	Change Programme risk register reviewed Minutes of Change Management Programme Board meetings Quarterly report from the OPIP team.	-	**Locus and frequency of reporting to be established** Staff Governance ToR does not include a specific role for SGC in relation to organisational change (Director of Workforce)	Board authorises and monitors organisational change processes Transformation Group oversees delivery of Corporate Improvement Programme.	Engaging stakeholders (Ensuring NES follows consultation and engagement processes (Board)) Influencing culture (Ensuring NES is focused on improvement in all aspects of its work

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Risk Management **(Making sure that NES identifies and manages key risks to its services, stakeholders**	ET review of NES Risk Strategy and Risk Management Framework and Risk Appetite	Review and approval of Risk Strategy and Management Framework Annual review of risk appetite	Internal audit reviews External audit Internal audit	Audit & Risk (ToR 9.2) (Director of Finance) **As required** Board (Director of Finance) **Annual**	ET reviews reports on risk registers ET advises on Risk Strategy and Risk Management Framework	Setting the Direction (Approving the Risk Strategy Risk Appetite and Management Framework, determining NES's risk appetite)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
and the organisation) **Risk Management (continued)**	Development and local review of corporate and directorate risk registers. Recording and monitoring of directorate and project risks using Risk Management System Quarterly Risk Register Review Process in directorates. Reports to Exec Team on directorate risk registers	Regular review of the Corporate Risk Register Review of the most significant (Primary rated) Directorate risks Reports on Standing Committees' review, handling and identification of risks Review of Audit Scotland reports	Internal audit Internal audit	Board (Director of Finance) **All Board meetings** All standing committees (A&R Committee ToR does not mention specific role in monitoring financial risks) (Executive Lead Officers) **Quarterly** (Director of Finance) **Quarterly**		Holding to account (Reviewing corporate and directorate risk registers to check key risks are identified and managed effectively) Assessing risk (Identifying key risks to NES business)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Information Management **(Making sure that NES only collects the data it needs, the data is kept securely and is only accessed by the correct people)**	Development and implementation of Information Management Strategy Policies, plans and processes for information governance, cyber security, records management,	Review of Caldicott Guardian annual report Annual Information Governance & Security report reviewed	Internal audit External audit The Digital Health & Care Strategic Portfolio Board reviews and provides feedback on	Board (Director of NES Technology) **Annual** Technology and Information Committee (ToR 9.4) (Director of NES Technology)	Executive Team approves organisational policies, plans and processes for information management. Executive Team monitors Information Management through reports in areas such as	Setting the direction (Approve strategy Holding to account (Review and challenge progress reports from Digital. Review Data incident reports)

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Information Management (continued)	Freedom of Information and intellectual property. Information management policies, plans and processes (including cyber security arrangements) aligned with relevant legislation, international quality standards and Scottish		regular reports from the NES Digital Service Internal Audit. A specific IT Risk Universe conducted to target internal audit resource towards the areas assessed as most high risk.	**Annual** Technology and Information Committee (ToR 9.1) (Director of NES Technology) **As required**	Freedom of Information and data protection.	Assessing risk (Understand the kind of information risks NES could be exposed to and seek assurance on how these are addressed) (Digital Sub-Committee) Engaging stakeholders (how do we communicate how we use the data we hold) Influencing culture

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Information Management (continued)	Government policy/strategies Role-based access to information systems and dashboards Development, implementation and audit of Information Security Management System Information Asset Register and Data Protection Impact Assessment Register		Internal Audit Internal audit	Technology and Information Committee (ToR 9.1) (Director of NES Technology) **As required** Technology and Information Committee (ToR 9.1) (Director of NES Technology) **As required** Technology and Information Committee (ToR 9.4)		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Information Management (continued)	Business continuity/disaster recovery systems and processes Provision of cloud-based information management systems for safe data storage, retrieval and sharing Cyber security based on agreed processes for authentication and	The Executive Team has reviewed and commented on the iterative development of NES Business Continuity plans.	External penetration testing of NES internal network	(Director of NES Technology) **As required** Technology and Information Committee (ToR 9.1) (Director of NES Technology) **As required** Technology and Information Committee (ToR 9.4) (Director of NES Technology) **As required**		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
Information Management (continued)	registration of system users and investment in firewall technologies Mandatory training of all NES staff on Information Governance. Assessment and management of risks relating to data management Development of Information Governance and Information Security documentation to	Scrutiny of training data Review of Digital Progress report	Annual Scottish Government audit of Information Governance and Information (Cyber) Security	Technology and Information Committee (ToR 9.4) (Director of NES Technology) **As required** Staff Governance (ToR 9.2.4) (Director of Workforce) **As required** Technology and Information Committee (ToR 9.1) (Director of NES Technology) **Quarterly**		

What are we seeking assurance on?	First line (from front line operational areas)	Second line (oversight, effective management information)	Third line (independent and more objective assurance	Responsible Committee/ Officer/ Frequency of reporting	Executive Assurance Role	Board Governance Assurance Role
	evidence compliance with Scottish Government Network and Information Systems (NIS) directive and regulations, 2018		policies and procedures	NES Board (Director of NES Technology) **As required**		

NHS Education for Scotland **NES/23/80**
Item 11b
23 November 2023

Board Meeting

1. Title of Paper
2024-25 Board and Committee Meeting Dates

2. Author(s) of Paper
Della Thomas, Board Secretary and Corporate Governance Lead

3. Lead Director(s)
Christina Bichan, Director of Planning and Performance

4. Situation/Purpose of paper

4.1 The 2024/25 Board and Committee Meeting dates are brought to the Board for review and approval.

5. Background and Route to Meeting

5.1 The Board approve their schedule of meetings on an annual basis and following this, calendar invitations are issued. This enables non-executives, executives and senior managers to protect time well in advance, for essential Board and Committee governance meetings. It also allows for the schedules of business to then be prepared for the Board and Committees.

5.2 As per the 2023/24 Business period, the summer recess has again been scheduled for the month of July. Further to feedback and improvement points, the August meetings have been scheduled a bit later in August to better allow for paper production.

5.3 The same meeting days as per the 2023/24 schedule of meetings has been followed:

- Board, Board Development, Audit and Risk Committee (ARC), Staff Governance Committee (SGC) meet on a Thursday morning. The exception to this is that the ARC meeting normally taking place on Thursday 25 April is scheduled for Wednesday 24 April to avoid a clash with the NES conference taking place on 25 April 2024. To accommodate the lead executives diary clash, the SGC will meet on a

Monday for their 29 April meeting, all other meetings are scheduled for a Thursday morning.

- Technology and Information Committee (TIC) meet on either a Monday morning or a Tuesday morning.
- Remuneration Committee meet on a Wednesday morning.

6. Assessment/Key Issues

(Include narrative relating to a-g checklist by exception)

6.1 Without this strategic overview, taken as part of the scheduling of the meetings, there is a risk that the correct governance sequencing of papers is not achieved, which could result in delayed decision making and/or poor corporate governance as per cover paper checklist item d).

6.2 Cover paper checklist items e) and f) have been considered in setting the dates for the Board and Committee meetings, so that the sequencing of equality and diversity and emergency climate change and sustainability items will flow through the correct governance sequencing. Governance sequencing for other items such as financial and performance reports has also been considered.

6.3 Cover paper checklist item g) has been considered and once approved, all 2024/25 Public Board dates will be posted onto the external Board website.

6.4 To provide more time for preparation of papers over the July summer recess period, the Board meeting normally scheduled for around 8 August has been moved back to the following week and will take place on 15 August 2024. The SGC meeting normally scheduled for 15 August has been moved back by a week to the 22 August 2024. This is the date that a Board Development meeting is usually scheduled. For 2024/25 it is proposed that we do not schedule a Board Development meeting in August and hold 4 meetings instead of the usual 5. If business needs emerge and a 5th meeting is required, then this will be scheduled in year.

6.5 As per our usual practice, the ARC will scrutinise the Annual Accounts in advance of full Board at the ARC meeting scheduled for 13 June 2024. To enable time for any changes to be made following this meeting, the June Private Board meeting is scheduled for 27 June 2024. The Board have previously agreed that both meetings will be extended in length to enable comprehensive scrutiny of the Annual Report and the Annual Accounts. The informal Annual Accounts Workshop will not be scheduled for 2024.

6.6 The Board and Committee schedule of meetings has been shared in advance with Chairs and Executive Leads to identify any potential diary clashes and has been amended as appropriate.

7. Recommendations

7.1 The Board is invited to approve the 2023/24 schedule of meeting dates for the NES Board and NES Committees.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☒Yes
☐No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒ 1. People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☒Yes
☐No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☒Yes
☐No

g) Have you considered a staff and external stakeholder engagement plan?

☒Yes
☐No

Author name: Della Thomas
Date: November 2023
NES

NHS Education for Scotland **NES/23/81**
Item 11c
23 November 2023

Board Meeting

1. Title of Paper

Co-opted Member Technology and Information Committee

2. Author(s) of Paper

Della Thomas, Board Secretary and Corporate Governance Principal Lead

3. Lead Director(s)

Christina Bichan, Director of Planning and Performance

4. Situation/Purpose of paper

4.1 The Board is invited to approve Angus McCann, as a co-opted member of the Technology and Information Committee for a further year (November 2023 – October 2024) and approve his additional role as Chair of the Turas Refresh Programme Board from 1 September 2023 – 31 March 2024.

5. Background and Route to Meeting

5.1 Section 9.7 of the Board Standing Orders states that the Board may authorise Committees to co-opt members for a period of up to one year, subject to the approval of both the Board and the Accountable Officer.

5.2 Angus McCann (non-executive Director, NHS Lothian) is an existing co-opted member of the Technology and Information Committee (TIC). He brings digital and technology skills, knowledge and experience to enhance the Committee's membership.

5.3 The Accountable Officer has approved the continuation of this co-opted membership and the additional remuneration for the role associated with the Charing of the Turas Refresh Programme Board. This will be in line with the remuneration of non-executive directors as set out in DL(2023)02.

5.4 The TIC took their annual review of their Terms of Reference and review of membership at the 29 October 2023 meeting. The TIC noted the continuation and expansion of Angus McCann's co-opted role.

5.5 Angus McCann has confirmed his availability and willingness to continue with his existing TIC co-opted role and to take on the additional associated remit, Charing the Turas Refresh Programme Board.

6. Assessment/Key Issues

(Include narrative relating to a-g checklist by exception)

6.1 The Turas Refresh Programme Board is a multi-agency governance group involving members from Scottish Government, Convention of Scottish Local Authorities (COSLA), NES and other agencies yet to be confirmed. The vision for the Turas Refresh Programme is a sustainable digital learning and development environment that meets the needs of the health and social care workforce. The purpose of the Programme Board is to act as the change control authority for the project to ensure absolute alignment between the Scottish Government Commission and the NES delivery.

6.2 From a NES Board governance perspective, progress made with the Turas Refresh Commission will be reported by the lead Senior Responsible Officer(s) in line with the NES Strategy; the NES Annual Delivery Plan and the relevant NES Strategic Key Performance Indicators (SKPIs) to the TIC and to the Chief Executive as Accountable Officer. Any key points from the Programme Board will be covered at the TIC as a very short verbal report from the TIC Co-opted member and Chair of the Programme Board, highlighting key strategic messages.

6.3 The TIC will receive quarterly reports from the Turas Refresh Senior Responsible Officer(s) and the approved ToRs and approved minutes from the Programme Board for assurance.

6.4 Sections e), f) and g) of the cover paper checklist have not been marked, as there are no implications for Equality and Diversity Assessments or Climate Emergency and Sustainability implications directly associated with this co-opted role. An external or internal communication plan is not required in relation to this paper or decision.

7. Recommendations

7.1 The Board is invited to approve the co-opted membership of Angus McCann to the TIC and his additional associated role as Chair of the Turas Refresh Programme Board.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?

☒Yes

☐No

b) Is there a budget allocated for this work?

☒Yes
☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance

☒1.People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?

☒Yes
☐No

e) Have Equality, Diversity, Human Rights and health inequality issues been considered as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☐Yes
☒No

f) Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?

☐Yes
☒No

g) Have you considered a staff and external stakeholder engagement plan?

☐Yes
☒No

Author name: Della Thomas
Date: November 2023
NES

NHS Education for Scotland **NES/23/82**
Item 11d
23 November 2023

Board Meeting

1. Title of Paper

Co-opted Member Education and Quality Committee

2. Author(s) of Paper

Della Thomas, Board Secretary and Corporate Governance Principal Lead

3. Lead Director(s)

Christina Bichan, Director of Planning and Performance

4. Situation/Purpose of paper

4.1 The Board is invited to approve Peter Donnelly as a co-opted member of the Education and Quality Committee (EQC) from 1 December 2023 – 30 November 2024 and an additional associated role contributing to the development of medical educational reform.

5. Background and Route to Meeting

5.1 Section 9.7 of the Board Standing Orders states that the Board may authorise Committees to co-opt members for a period of up to one year, subject to the approval of both the Board and the Accountable Officer.

5.2 Peter Donnelly is a Professor within the School of Medicine at the University of St Andrews. As such as he brings considerable knowledge and experience in relation to medical education which will serve to enhance the Committee's membership.

5.3 The Accountable Officer has approved this co-opted membership and the additional remuneration for the role associated with the contribution to medical education reform. This will be in line with the remuneration of non-executive directors as set out in DL(2023)02.

5.4 Peter Donnelly has confirmed his availability and willingness to take on the role of EQC co-opted member and the associated role linked with medical educational reform.

6. Assessment/Key Issues

(Include narrative relating to a-g checklist by exception)

6.1 Peter Donnelley will provide a scrutiny role as a co-opted member of the EQC. He will in addition, as part of this role, provide considered professional advice to senior forums and contribute to the Board Development meeting, we have scheduled on 25 January 2024 to discuss medical educational reform, informally as a whole Board.

6.2 He will receive induction materials relating to NES Board governance and the EQC, along with induction meetings as appropriate.

6.3 Sections e), f) and g) of the cover paper checklist have not been marked, as there are no implications for Equality and Diversity Assessments nor Climate Emergency and Sustainability issues directly associated with this co-opted role. An external or internal communication plan is not required in relation to this paper or decision.

7. Recommendations

7.1 The Board is invited to approve the co-opted membership of Peter Donnelly to the EQC and his additional associated role with medical educational reform.

Author to complete **checklist.**
Author to include any narrative by exception in Section 6 of the cover paper.

a) Have Educational implications been considered?
☒Yes

☐No

b) Is there a budget allocated for this work?
☒Yes

☐No

c) Alignment with Our Strategy 2023 – 26 People, Partnerships and Performance
☒1.People Objectives and Outcomes
☒2. Partnership Objectives and Outcomes
☒3. Performance Objectives and Outcomes

d) Have key strategic risks and mitigation measures been identified?
☒Yes

☐No

e) **Have Equality, Diversity, Human Rights and health inequality issues been considered** as per **Fairer Scotland Duty: Guidance for Public Bodies** and **Corporate Parenting** as per the **Children and Young People (Scotland) Act 2014?**

☐Yes

☒No

f) **Have you considered Emergency Climate Change and Sustainability implications as per DL (2021) 38?**

☐Yes

☒No

g) **Have you considered a staff and external stakeholder engagement plan?**

☐Yes

☒No

Author name: Della Thomas
Date: November 2023
NES

AUDIT AND RISK COMMITTEE **NES/AR/23/51**

Approved Minutes of the Thirteenth NES Audit and Risk Committee held on Thursday 15 June 2023 via Microsoft Teams.

Present: Jean Ford, Non-Executive Director and Committee Chair
Ally Boyle, Non-Executive Director
Olga Clayton, Non-Executive Director
Anne Currie, Non-Executive Director
Gillian Mawdsley, Non-Executive Director

In attendance: Jenn Allison, Committee Secretary
Christian Bichan, Director of Planning & Performance (item 13)
Jim Boyle, Executive Director of Finance
Carole Grant, External Audit, Audit Scotland
Monica Halcro, Senior Manager, Finance
James Lucas, Internal Audit, KPMG (until 10:50)
Christopher McClelland, External Audit, Audit Scotland
Kenny McLean, Head of Procurement (item 11)
Karen Reid, Chief Executive
Syed Shah, Internal Audit, KPMG (until 10:50)
Janice Sinclair, Deputy Director of Finance
Della Thomas, Board Secretary and Corporate Governance Principal Lead
Greg Thompson, Associate Director, NES Technology Service (NTS) (for item 8)
Lizzie Turner Principal Lead, Finance

1. Welcome and introductions

1.1 The Chair welcomed everyone to the Audit and Risk Committee (ARC). She particularly welcomed Ally Boyle and Olga Clayton who were joining their first ARC meeting as new members to the ARC as of 01 June 2023.

1.2 The Chair also welcomed Carole Grant and Christopher McClelland from External Audit, Audit Scotland who were in attendance for the annual accounts.

1.3 The Chair welcomed Monica Halcro and Lizzie Turner from Finance, who would be in attendance for the meeting, in particular for item 13 and informed the Committee that Kenny McLean and Christina Bichan will be welcomed to the meeting for Procurement item 11, and Annual Accounts item 13a, respectively.

2. Apologies for absence

2.1 Apologies were received from David Garbutt, Chair of NES and Helen Russell, External Auditor, Audit Scotland. It was noted that James Lucas and Syed Shah, Internal Auditors KPMG, would be leaving the meeting at approximately

11:00 as they are due to attend the Scottish Ambulance Services' Audit Committee meeting.

3. Declarations of interest

3.1 There were no declarations of interest in relation to the items of business on the agenda of this meeting.

3.2 Jean Ford raised a connection with NHS Ayrshire and Arran as a non-executive member of that Board in relation to the Service Audits at item 10. She did not believe this to be a declaration of interest and would therefore remain in the meeting for this item.

3.3 Gillian Mawdsley raised a connection with the Royal College of Physicians, of which she is a member, and who are noted as a key supplier in the Procurement Report (Item 11). She did not believe this to be a declaration of interest and would therefore remain in the meeting for this item.

3.4 During Item 8b, Ally Boyle declared his connection with NHS Lanarkshire as a non-executive member of the Board. He advised that NHS Lanarkshire is one of the three NHS Boards that were involved in this internal audit in terms of their use of the workforce analysis service. He did not believe this to be a declaration of interest and would therefore remain in the meeting for the remainder of this item.

4. Any Other Business

4.1 There were no other business items identified.

5. Minutes of the Audit and Risk Committee 27 April 2023 (NES/AR/23/31)

5.1 The minutes were approved as a correct record following agreement of a minor typographical error.

5.2 Discussion took place regarding matters in relation to paragraph 8.20 of the minute, which noted suggestions of Sustainability and Climate Change and the Board Assurance Framework as potential areas for additional Internal Audit Advisory Reports. A query was raised if there should be an action on the ARC Action Log regarding this. It was agreed that an additional action is not required to be added to the action log, as there was already an action taken from the April meeting for James Lucas to discuss and agree these Advisory reports with NES Management.

6. Actions of the Audit and Risk Committee (NES/AR/23/32)

6.1 The Committee noted that 6 of 10 actions have been marked as complete and that the remaining 4 open actions are in progress. The Committee agreed that the open actions should be revised to an October 2023 due date. The Committee approved the completed actions.

7. Matters arising

7.1 The Chair updated the Committee that she agreed to remove the risk report from the agenda on the basis that the risk report has only just recently been to the 25 May Board meeting. Jim Boyle has provided assurance that there is very little to update.

8. Internal Audit Reports

a) Internal Audit Plan 2023/23 update (NES/AR/23//33)

8.1 The Chair invited James Lucas to introduce the reports at item 8.

8.2 James Lucas updated the Committee that the Internal Audit Plan for 2023/24 has been updated with minor scheduling changes, as requested at the Committee at the April meeting. The Plan has also been updated following a request from the Committee to align with the new risk register and to add two separate advisory reviews - NHS Scotland Academy and Climate Change and Sustainability.

8.3 The Committee noted and approved the changes to the Internal Audit Plan 2023/34.

b) Workforce Analysis (NES/AR/23/34)

8.4 The Chair welcomed Greg Thomson, Associate Director of NTS, to the meeting.

8.5 James Lucas presented the Workforce Analysis audit report which focused on the governance arrangements regarding data analysis, the publication of workforce analysis and the extent to which the territorial Health Boards are optimising their use of the workforce data in their local workforce planning.

8.6 The Committee noted that the audit provided a rating of ‘significant assurance with minor improvements required’ and raised three medium priority recommendations to undertake a review of the workforce analysis currently being carried out, review of the current governance system and a review of user needs. The report also raised one low risk recommendation regarding developing training for Territorial Boards.

8.7 Greg Thomson informed the Committee that they welcome the report and its findings and were happy to engage with Territorial Boards to help increase use of the workforce analysis service.

8.8 The Committee discussed the issue of NES staff spending time on work that may not be fully utilised and remarked that it appears that the service is not being used by the Territorial Boards to its full potential. The Committee suggested it may be useful to liaise further with the NHS Boards Human Resource Director (HRD) community and to raise the profile of the work and discuss how this service can help with recruitment challenges.

8.9 Karen Reid commented that NES has a responsibility to provide a service for the Boards and that it is the responsibility of the Scottish Government (SG) to liaise with Boards regarding the use of the service, which is a SG commission and priority.

8.10 Karen Reid informed the Committee that NES have set up a National Data Group, looking at recruitment, retention and attraction. She advised the Committee that Karen Wilson, Director of Nursing (NES) Chairs the group. She added that NES regularly liaise with the HRD and Planning communities across NHS Scotland.

8.11 Following discussion, the Committee were content with the report and the assurance provided. It was noted that this would be submitted to the Technology and Information Committee (TIC) to monitor management actions and the Chair suggested this may also be useful to be submitted to the Education and Quality Committee (EQC) and Staff Governance Committee (SGC) for noting.

Action: Della Thomas and Jenn Allison

c) Internal Audit Annual Report 2022/23 (NES/AR/23/35)

8.12 James Lucas introduced the 2022/23 internal audit annual report, which summarised findings in relation to the planned internal audit coverage and output; implementation of recommendations; and the Internal Audit Opinion.

8.13 The Head of Internal Audit opinion is that ‘significant assurances with minor improvements’ can be given on the overall adequacy and effectiveness of NES’ framework of governance, risk management and control.

8.14 The internal audit plan included 5 reviews (plus quarterly follow up reviews). The Committee noted sufficient audit of key areas was carried out to enable an internal audit opinion to be provided for the 2022/23 financial year.

8.15 At the start of the year there were 21 outstanding recommendations, 23 management actions were raised and 34 were closed during the year and at the end of 2022/23 period there are 10 outstanding management actions, 3 of which are overdue.

8.16 The Committee noted the Internal Audit Annual Report and the assurance provided.

d) Progress Report (NES/AR/23/36)

8.17 James Lucas presented the report which updated the Committee on progress against delivery of the Internal Audit plan for 2022/23 and 2023/24.

8.18 The Committee noted that 5 of the 7 internal audit reports in the Internal Audi plan 2022/23 have been reported to the ARC. The Committee also noted that the Property Transaction Monitoring internal audit was not required in the period as no applicable transactions occurred. The Committee noted that the NHS Scotland Academy Governance Review was deferred following discussions between the Chairs of the Board and Chief Executive Officers at NES and NHS Golden Jubilee.

8.19 As progress against follow-up actions was reported to the end of March 2023 in the April ARC meeting, a further update will be provided to the October ARC.

8.20 Six internal audit reports and two advisory reports have been planned in the internal audit plan 2023/24.

8.21 The Audit and Risk Committee noted the information within the report and confirmed they were content that the report provided assurance.

8.22 Greg Thomas left the meeting.

9. Annual Reports of Governance Committees of the Board of the NES Board and the NHS Scotland Academy Joint Strategic Programme Board

9.1 The Chair invited Della Thomas to present the annual reports.

9.2 Della Thomas highlighted that the annual reports are intended to provide the ARC with evidence and assurance as to the extent to which each Committee has effectively discharged its remit and responsibilities during the period of 01 April 2022 to 31 March 2023. The reports form part of the evidence which the ARC considers as part of the whole system of internal control, when reaching a view as to the appropriateness of the Governance Statement contained within the Annual Report and Accounts.

9.3 Della Thomas went on to thank everyone involved in preparing the reports and in particular she thanked the Committee Secretaries. She advised that each report had been approved by the relevant Committee, with no changes other than a small change requested by the Staff Governance Committee as detailed in the cover paper.

a) Staff Governance and Remuneration Committees (NES/AR/23/37)

9.4 The ARC noted this report and were assured that the Staff Governance Committee (SGC) have effectively discharged their remit and responsibilities during the financial year 2022/23.

b) Remuneration Sub Committee (NES/AR/23/38)

9.5 The ARC noted this report had already been reviewed by the SGC. The ARC were assured that the Remuneration Sub Committee have effectively discharged their remit and responsibilities during the financial year 2023/24.

c) Education and Quality Committee (NES/AR/23/39)

9.6 The ARC noted and were satisfied with this report and were assured that the Education and Quality Committee have effectively discharged their remit and responsibilities during financial year 2022/23.

d) Technology and Information Committee (NES/AR/23/40)

9.7 The ARC noted and were satisfied with this report and were assured that the Technology and Information Committee have effectively discharged their remit and responsibilities during financial year 2022/23.

e) NHS Scotland Academy Joint Strategic Programme Board (NES/AR/23/41)

9.8 Della Thomas highlighted that the NHSS Academy Joint Strategic Programme Board (NHSSA JSPB) has now been dissolved and this will be the last piece of governance reporting required. She advised that the Annual Report had been considered by members of the NHSSA JSPB and received quorate approval by correspondence. She reported that this report is also being progressed through the NHS Golden Jubilee Audit and Risk Committee for their assurance.

9.9 The Committee asked how the NHSSA strategic risks are being monitored to provide assurance to both parent Boards. Karen Reid explained that the work of the NHSSA is well managed through the Joint NHSSA Executive Programme

Group, and that any strategic aspects of NHSSA work will be reported through both parent Boards.

9.10 The Committee were satisfied with this report and were assured that the NHSSA JSPB have effectively discharged their remit and responsibilities during financial year 2022/23 until the group was dissolved in November 2022.

10. Service Audit Reports Summary (NES/AR/23/42)

10.1 The Chair invited Janice Sinclair to introduce the report.

10.2 Janice Sinclair introduced the Service Audit Reports which provided the Committee with a summary of the four Service Audit reports received for the 2022/23 financial year. These reports relate either to business activity which NES outsources or to national systems used by NES. As NES is not responsible for managing these systems, these audits provide assurance that the design, implementation and maintenance of controls relating to these systems are effective.

10.3 The Committee noted that the Service Audit report for services provided by NHS Ayrshire and Arran for the National Single Instance Financial Ledger Services contained an unqualified opinion, highlighting that the controls related to the control objectives were suitably designed and operated effectively throughout the period from 01 April 2022 to 31 March 2023.

10.4 The Committee noted that the Service Audit reports for the services provided by NSS, contained an unqualified opinion, highlighting that the controls related to the control objectives were suitably designed and operated effectively throughout the period from 01 April 2022 to 31 March 2023:

- Payroll Services for all NES employed staff, including doctors in Training through the Lead employer model;
- Practitioner Services Payments to Primary Care Practitioners in Medicine, Dentistry and Pharmacy; and
- IT Services including ePayroll

10.5 Carole Gant informed the Committee that the external auditors have identified an assurance gap in relation to the eFinancials system, which is operated by Atos. She informed the Committee that the IT Services audit only examined services provided by National Services Scotland. She assured the Committee that this does not affect the final accounts and that a paragraph has been added to the external audit report regarding this. Karen Reid added that this will be brought into the Service Audits, however as we are already in financial year 2023/34, this may not come into effect until service audits are conducted in financial year 2024/25.

10.6 The Committee noted that they had access to the full reports for scrunty. The Committee were assured that the services provided operated effectively, and that there was no impact on the financial reporting in the NES accounts from these qualifications.

11. Procurement Report

a) Annual Procurement Report (NES/AR/23/43)

11.1 The Chair welcomed Kenny McLean to present summary results of the 2022/23 financial year and an update on procurement activity during Q3-Q4 of 2022/23.

11.2 Kenny McLean informed the Committee that contracts are agreed under a pricing structure that is locked in for the next 6 years and that NES exceeded the savings targets set by Scottish Government (SG) as well as target dates to pay suppliers.

11.3 The Committee noted that the procurement team continue to engage with small to medium enterprises (SMEs) and that the number of contracts with SMEs has slightly increased on the previous financial year. Kenny McLean informed the Committee that SMEs can struggle to meet the terms of tenders and that discussions are taking place with national procurement colleagues regarding how to improve this.

11.4 The Committee thanked the procurement team for their work and noted the report highlights a range of work with significant savings made. The Committee noted their satisfaction at the contract for the Psychology doctoral and MSc programmes, which they felt was an excellent example of partnership working.

11.5 The Committee asked who sets the targets for savings in relation to the national leadership programme and executive recruitment and requested further information on the savings associated with the executive coaching programme. Kenny McLean advised that NES sets the target. Jim Boyle added that there is an internal duty to drive Best Value. He commented that if a contract is set over a longer period of time there are associated savings, but once the contract expires a larger increase could be noticed at renewal. Karen Reid confirmed that as we baseline performance measures the savings targets will be transparent and members could recommend an increase or decrease.

11.6 The Committee were content with the information in this report which provided assurance that procurement activity within NES is being conducted in line with appropriate legislation and with the principles of best value.

b) Annual Procurement Equality Duties Report (NES/AR/23/44)

11.7 The Chair invited Kenny McLean to present results of the Annual Equality Duty Report, which updated the Committee on governance and delivery of the equality and diversity actions relating to NES' Procurement Duty.

11.8 Kenny McLean informed the Committee that NES has a strong ethical procurement policy that suppliers must meet on top of the Scottish Government Procurement Act.

11.9 The Committee commented that the report demonstrated that ethical procurement is strongly embedded into processes. The Committee asked how the standards for sustainability are set. Kenny McLean explained that the standards are set by the National Boards and NES also has an internal sustainability steering group to advise and take an overview.

11.10 The Committee asked if there was specific training in relation to ethical procurement and if this could be shared with other Boards and suppliers. Kenny McLean confirmed that there is National training available to all Boards. Karen Reid added that some suppliers, for example, some of the Universities may be ahead of what we currently use. She suggested that our top three suppliers are already well versed, but for other suppliers the availability of the training through Turas Learn could be explored.

Action: Kenny McLean

11.11 The Committee were content with the information in the report and with the processes and activities in place to deliver the Procurement Duty and Equalities priorities.

11.12 Kenny McLean left the meeting.

12. ARC Self-Assessment (NES/AR/23/45)

12.1 The Chair invited Jim Boyle to present the draft ARC Self-Assessment.

12.2 Jim Boyle presented the ARC Self-Assessment response for financial year 2022/23 which had been prepared on behalf of the Committee by Director of Finance and Deputy Director of Finance.

12.3 The Committee noted the proposed scoring and narrative and requested the following changes:

- To clarify that the Committee has been quorate for every meeting and that the Chair of NES is not a formal member of the Committee. He is however a regular attendee.

- Add information regarding inviting senior members of staff to be in attendance for Internal Audit items.
- Add information regarding the ongoing development of the risk framework.
- Remove first two sentences on page 13.
- Review and confirm the number of private meetings that took place between Committee members and auditors.
- Review and confirm if the review of external audit took place via the self-assessment process.
- Include information regarding the standing item on the agenda to review Committee effectiveness.

12.4 The Committee approved the Self-Assessment following the agreed minor amendments. **Action: Jim Boyle**

12.5 James Lucas and Syed Shah left the meeting.

13. 2022/23 Board Annual Accounts

a) External Audit Report 2022/23 Accounts and Letter of Representation (Audit Scotland) (NES/AR/23/46)

13.1 The Chair welcomed Christina Bichan to the meeting and invited Carole Grant and Christopher McClelland to introduce the External Audit Report for Assurance.

13.2 Carole Grant advised the Committee that the External Auditors intend to issue an unmodified audit opinion for the financial year ending 31 March 2023. NES operated within its Revenue Resource Limit of £622 million for the 2022/23 financial year.

13.3 The Committee noted that no issues have been identified with the systems of internal control and that NES has appropriate budget monitoring and fraud detection arrangements in place, and effective and appropriate financial arrangements in place to continue to deliver services and ensure financial sustainability.

13.4 Carole Grant informed the Committee that there have been no unadjusted misstatements to be corrected and no new significant risks were identified. Overall materiality was revised on receipt of the unaudited annual report and accounts to £14.5 million. Performance materiality was set at 65% of overall materiality, reflecting the scale of previous year's adjustments. Total gross misstatements identified were £0.31 million. One misstatement was amended in the revised financial statements. The remaining two misstatements were below the reporting threshold and were not adjusted.

13.5 Discussion took place regarding the on-going negotiations in relation to pay awards for Junior Doctors and Dentists in training. The Committee asked if a narrative disclosure was sufficient or if specific provision should be made in the annual accounts. Carole Grant advised that at this stage a standard line applicable for all NHS Boards will be sufficient. Carole Grant and Jim Boyle will follow up on this with SG to confirm the narrative and add this to the report.

Action: Jim Boyle and Carol Grant

13.6 The Committee noted the three recommendations made to: review the provisions for dilapidations; set and monitor climate change targets; and review the performance report process. The Committee were content with the recommendations and noted that work was already underway to make improvements in these areas.

13.7 The Committee noted that the two open recommendations from previous External Auditors regarding dilapidations and performance targets, would now be closed as the new recommendations supersede them.

13.8 The Committee noted the report and the assurance provided and thanked the External Auditors and the NES Finance team for their work. The Committee also noted that the Letter of Representation will be signed at the June Board meeting.

b) Draft Annual Report of the Audit and Risk Committee and Associated Reports (NES/AR/23/47)

13.9 The Chair invited Della Thomas to present the report which included the following appendices:

- ARC Annual Report Narrative – Appendix 1
- ARC Discharge of Remit – Appendix 2
- 2023-24 ARC Schedule of Business – Appendix 3
- Internal Audit Reports - Appendix 4
- Best Value Statement – Appendix 5

13.10 Della Thomas introduced the reports, which summarise how the respective Committees have discharged their remit and the responsibilities as delegated by the Board during financial year 2022/23. Della Thomas thanked the Jenn Allison (ARC Committee Secretary) and Leanne Neill (Executive Officer, Finance) for their work in assisting with the production of the reports. She advised that for consistency with the corporate governance statement, the attendance record for the CEO/Accountable Officer and Executive Director of Finance will be added to section 3 Membership and Meetings of Appendix 1.

13.11 The Committee noted that the Schedule of Business attached as Appendix 2 is the version approved at the ARC in January 2023 and that a rolling changes version has been saved to record agreed changes throughout the year.

13.12 The Committee noted the report and appendices including the best value report and discharge of remit. The Committee remarked on the robust and comprehensive nature of the reports. The Committee requested the following amendments:

Appendix 1

- Section 7 Schedule of Business (SoB). Add a sentence to reflect that this is an annual embedded process.
- Section 8.4 Risk Management. Remove paragraph that details the previous work associated with the KPMG audit from 2020/21 and add a paragraph to explain the detail of the change and improvement that took place over the 2022/23 period.

Appendix 2

- 9.2.1 Update the discharge and impact sections to more actively reflect the role of the ARC in the scrutiny and assurance of the development of risk over the 2022/23 period.
- 9.3.9 Revise to detail the ARC Annual report process as opposed to the Annual Report and Annual Accounts of the Board.
- 9.4.5 Add a sentence to detail the role of ARC in delegating the Internal Audit management actions for oversight by the relevant standing Committee.
- 9.5.1 Amend to confirm the financial strategic approach was detailed in the update on the annual budget paper that came to 19 January 2023 meeting
- 9.5.4 Update with the dates of the annual accounts/annual report informal workshops that took place on 4 occasions during May/June 2022.
- 9.6.4 Correct typographical error corrected to confirm the Equality Duty Report came to the 6 October 2022 ARC meeting.

13.13 Discussion took place regarding the Best Value report. The Committee noted that this is a lengthy document and asked if this could be streamlined. Jim Boyle informed the Committee that conversations have already taken place with the NES Executive Team regarding this and that this document will be streamlined in advance of next years Annual Committee report.

Action: Jim Boyle

13.14 The Committee approved the submission of the annual report of the Audit and Risk Committee to the Board, following the agreed amendments. Della Thomas will circulate clean versions of relevant appendices with agreed changes made to ARC members. Della Thomas will ensure the revised versions are prepared ready for submission to the 29 June 2023 Private Board meeting. **Action: Della Thomas**

c) Annual Report and Accounts for year-end March 2023 (NES/AR/23/48)

13.15 The Chair invited Jim Boyle to present the Annual Report and Accounts.

13.16 Jim Boyle introduced the paper, which presented the draft annual accounts for the financial year 2022/23. Jim Boyle gave particular thanks to the Finance team for their work on the Annual Accounts and to Directorate colleagues for their input. He advised that in the past Annual Accounts and Annual Report informal workshops had been held for all Board members to attend. This year the Workshops didn't take place as the Board agreed that scrutiny should take place formally within the June ARC and the Private Board meeting.

13.17 He went on to give a short PowerPoint presentation. This provided high level background on the documentation used in preparation of the accounts and the changes to the size of the budget in comparison to previous years.

13.18 The Committee noted that NES' budget has increased by 9.8% since last financial year due to NES' expanding role supporting Health and Care in Scotland and that employee costs have gone up by 16%, which is due to the growth of the lead employer and pay increases.

13.19 The Committee noted that the outturn figure reflects an underspend against the total Revenue Resource limits of £2.01m which represents 0.32% of the limit and that minor changes have been made to the Governance Statement since they were reviewed at the April Audit and Risk Committee meeting.

13.20 The Chair opened the meeting to questions. The Committee remarked on the clear nature and high standard of the annual report and annual accounts. The Committee highlighted that reporting throughout the year had been excellent and as such there are no surprises in the information, or the figures presented. There were no questions, and the Committee thanked the finance team and all the others involved for their hard work and congratulated them on the standard of the annual report and annual accounts.

13.21 Karen Reid thanked the Committee for their positive feedback. She advised the Committee that discussions are ongoing with SG in relation to reviewing re-occurring non-recurring funding for future bundling. She offered assurance to the Committee, as Accountable Officer, that the governance of this funding has been strengthened at Executive Team level where it is closely monitored.

13.22 Jim Boyle informed the Committee that discussions had been taking place with the External Auditors regarding their suggestions to streamline the annual report and accounts in the future to make the reports more succinct.

13.23 Karen Reid remarked that this was all about the balance of information, as the annual accounts and annual report currently provide a level of detail that

is used by the Minister to prepare for the Annual Review and also informs the Scottish Parliament Information Centre (SPICe) briefings.

13.24 The Committee confirmed that they were satisfied with the 2022/23 Annual Report and Accounts and recommended them to the Board for approval. **Action: Jim Boyle**

14. Climate Emergency and Sustainability update (NES/AR/23/49)

14.1 The Chair invited Jim Boyle to introduce the report to update the Committee on the activity, both within NES and nationally on the Climate Emergency and Sustainability agenda and highlight any areas of significance, for assurance.

14.2 The Committee noted that the NHS Scotland Climate Emergency and Sustainability National Report is due to be published at the end of June 2023 and that NES are working with National Services Scotland (NSS) to prepare the annual National Sustainability Assessment Tool exercise.

14.3 The Committee noted that the internal NES sustainability group has membership from clinical areas and that the biggest difference NES can make towards the climate emergency is within education. The Committee remarked that varying terminology and descriptors were used for the climate change agenda and asked if this could be standardised. Jim Boyle confirmed that we should adopt the SG terminology of “climate emergency and sustainability” for consistency.

14.4 The Committee noted the information in the report and confirmed it provided them with adequate assurance.

15. Review Effectiveness of Committee

15.1 The Chair invited the Committee to provide feedback regarding the effectiveness of the Committee meeting and processes.

15.2 The Committee agreed that it had been a good meeting, covering a broad range of the ARC remit through quality papers, which provided an ability to drill down into further detail as required. There was a comment that some of the reports were long and could potentially be condensed and streamlined, for example the Best Value Report.

15.3 The Committee agreed that there were helpful and appropriate contributions from both members and attendees.

15.4 The Committee reflected that there had not been any scrutiny questions in relation to the Annual Report and Annual Accounts. Discussion took place in relation to the types of questions that might have been expected by the Executive Director of Finance and the External Auditor. The Committee remarked that the PowerPoint presentation added to the efficiency of the meeting, as it clarified key points. The Committee agreed that the annual report

and annual accounts were clear and understandable, the new members in particular noted this. It was suggested that in the future it may be useful to include a backward look from the previous year and forward look to the next year.

16. Audit Scotland Reports

16.1 The Committee noted the Audit Scotland report: How the Scottish Government is set up to deliver Climate Change Goals Report.

17. Date and time of next meeting

17.1 The next meeting of the Audit and Risk Committee will be held on Thursday 05 October 2023 via Microsoft Teams.

18. Private Meeting between Committee members and Auditors

18.1 A private meeting between the Committee members and External and Internal Auditors was held after the ARC meeting.

NES
June 2023
JA/DT/JB/JF

Approved at TIC meeting 30 October 2023

TECHNOLOGY AND INFORMATION COMMITTEE **NES/TI/23/33**

DRAFT Minutes of the Ninth NES Technology and Information Committee held on Tuesday 29 August 2023 10:15 – 12:45 via Microsoft Teams.

Present:
David Garbutt, Non-Executive Director and Chair of the Technology and Information Committee (TIC)
Ally Boyle, Non-Executive Director
Jean Ford, Non-Executive Director
Douglas Hutchens, Non-Executive Director
Angus McCann, Ex-Officio Member and Non-Executive Director, NHS Lothian

In attendance:
Jenn Allison, Senior Officer, Board / CEO Office
Paula Baird, Principal Lead, Workforce (item 10)
Jim Boyle, Executive Director of Finance
Shona Cowan, Non-Executive Director (appointed to from 01 September 2023) (observing)
David Felix, Director of Dental and Caldicott Guardian
Heather Kilfara, Senior Finance Manager
Daniel McCafferty, Associate Director, Data, Security and Software Engineering, NES Technology Service (NTS) (observing)
Della Thomson, Board Secretary & Principal Lead - Corporate Governance
Greg Thomson, Associate Director of Data and Assurance, NTS (observing)
Marisa Wedderspoon, Manager, NTS
David Wilson, Associate Director of Infrastructure and Operations, NTS (observing)
Christopher Wroath, Director of NTS (from 10:50, item 9)

1. Welcome and introductions

1.1 The Chair welcomed everyone to the meeting. He particularly mentioned Douglas Hutchens, who was attending his last Technology and Information Committee (TIC) meeting before retiring as a Board member on 31st of August 2023.

1.2 The Chair thanked Douglas Hutchens for his significant contributions to the TIC and also to the NES Board. Douglas Hutchens said he felt that the Committee had developed considerably since its early inception as the Digital Committee and thanked NES colleagues for all their work to support productive Committee meetings.

1.3 The Chair also welcomed Shona Cowan, who was in attendance to observe the TIC. Shona Cowan will become a member of the NES Board from the 01st of September 2023 and a member of the TIC from 01st October 2023.

1.4 Greg Thomson, David Wilson and Daniel McCafferty, Associate Directors of NTS were also welcomed to observe the Committee as part of their new roles in NES.

It was noted that Tracey Baxter, also an NTS Associate Director will be in attendance at the next TIC. The Associate Director's introduced themselves.

1.5 Paula Baird was welcomed for the Digital Skills and Leadership item.

2. Apologies for absence

2.1 The Committee noted that apologies were received from Karen Reid and Tracey Ashworth-Davies.

2.2 The Chair informed the Committee that due to unavoidable travel delays, Christopher Wroath would be joining the meeting late. In order to allow Christopher Wroath time to join, the Chair proposed that the Executive Lead Report would be moved further down the agenda. He suggested that after reviewing the draft minutes and action log from the previous meeting, we would take the Caldicott Guardian Report and the Digital skills and Leadership Programme items, by which time Christopher Wroath should have joined the meeting. The Committee noted that there were two other executive directors in attendance, Jim Boyle and David Felix, and agreed this resequencing of papers.

3. Declarations of interest

3.1 The Chair asked Committee members if there were any declarations of interest in relation to the business of today's meeting and if so, to clarify which item this related to.

3.2 There were no declarations of interest in relation to the business on the agenda of the meeting.

4. Notification of Any other Business

4.1 There was no other business raised for discussion.

5. Minutes of the meeting 26 May 2023 (NES/TI/23/20)

5.1 The minutes were approved as an accurate record.

5.2 A query was raised regarding progress of the joiners, movers, leavers project. Marisa Wedderspoon informed the Committee that NTS work is complete in this area and workforce procedures will be updated on the Intranet in September and that an update will be included in the Executive report to the next meeting.

Action:MW/CW

6. Committee Rolling Action Log (NES/TI/23/21)

6.1 The Committee noted that 4 of the 10 actions have been marked as complete or have been closed. The Committee noted that the paper provided updates on 6 of the 'in progress' actions.

6.2 The Chair updated the Committee that in relation to action number 9.3, he had discussed the development of the non-executive director roles to enhance digital knowledge and expertise with the NHS Board Chairs group. In relation to action 10.3, the Chair highlighted that he also had raised NHS Scotland Identity management at the NHS Board Chairs meeting. He advised that there are were no further updates in relation to these areas at present and the actions should remain open.

6.3 The Committee noted that the action in relation to progress of the National Information Governance Agreement had been closed as an information slide from Scottish Government (SG) had been forwarded to the TIC to inform them that this work is in progress. However, the TIC agreed that it is important to ensure updates regarding further progress of this work come back to a future Committee and it was agreed that updates in relation to this area of work should be added to the Schedule of Business. **Action: DT**

6.4 Jim Boyle suggested that the action 11.4 from the TIC meeting on the 15 March 2023, regarding Committee risk reports being aligned with new Strategic Risk format, could be closed as this will now develop as part of the new risk approach and will in due course be part of business as usual. The Committee agreed to close this action.

6.5 The Committee approved the completed actions and noted the updates regarding the actions in progress.

7. 2022/23 Caldicott Guardian Annual Report (NES/TI/23/30)

7.1 The Chair invited David Felix to present the report to provide the Committee with assurance around NES compliance with the Caldicott Principles.

7.2 David Felix provided assurance to the Committee that the Caldicott principles had been upheld across NES during 2022/23 and that all appropriate measures were in place.

7.3 David Felix informed the Committee that no new patient identifiable data processing was undertaken within NES in 2022/23, and that 41 incidents and information breaches were reported which is an increase of 1% from 2021/22.

7.4 The Committee suggested that a development to enhance next year's report would be to include the length of time data was exposed during data breaches, as well as including lessons learned and highlighting the actions taken place to prevent similar breaches in future. **Action: DF**

7.5 David Felix thanked Tracey Gill, (Principal Analyst, Information Governance and Security, NTS) and her team for their work in producing the report.

7.6 The Chair thanked David Felix for the report. The Committee confirmed they were satisfied that NES was compliant with the Caldicott Principles. The Committee approved the annual report for onward consideration and final approval by Public Board on 28th September 2023.

8. Digital Skills and Leadership (NES/TI/23/24)

8.1 The Chair welcomed Paula Baird to the meeting and invited her to provide an update on progress of the Digital Skills and Leadership Programme.

8.2 Paula Baird informed the Committee that work is continuing well, on track and on budget. She reported that governance structures relating to delivery of the Digital Health and Care Delivery Plan are currently under review by Scottish Government (SG) and information on the impact to governance of this programme is pending.

8.3 The Committee asked if work was being carried out to assess the impact on Boards after staff have attended training. Paula Baird explained that evaluation and impact measurements are in place for the Masters programme and from Executive sponsors.

8.4 The Committee expressed interest in reviewing the content of the webinar series. Paula Baird will share this with members and attendees. **Action: PB**

8.5 Paula Baird was asked to provide more information regarding the central library for Digital Skills and she explained that the development of a central library of resources was part of the SG commission. She remarked that this will be developed in collaboration with the Turas Refresh Programme. Paula Baird added that preparatory work has been conducted to map learner journeys.

8.6 The Committee asked if Boards have an understanding of their digital skill needs and if this feeds into the more strategic needs for Scotland. Paula Baird explained that Boards are required to conduct a Digital Maturity Assessment which helps to identify the required needs.

8.7 The Chair thanked Paula Baird for the report and she left the meeting.

9. Executive Lead Officer's Report (NES/TI/23/22)

9.1 The Chair welcomed Christopher Wroath to the meeting and invited him to make any additional comments in relation to his report.

9.2 Christopher Wroath informed the Committee that work continues to progress prioritisation of activities on the Annual Delivery Plan and the Executive Team have been working to drive agreement on the final delivery plan. This process has allowed NTS to ensure the workplan is aligned to strategic prioritise and will be conducted for future operational planning exercises.

9.3 Christopher Wroath highlighted that SG have been looking for efficiencies within this financial year which has led to prioritisation work within the SG Digital Health and Care Directorate for the remainder of the 2023/24 financial year and the subsequent 2024/25 year planning. He remarked that this, in turn, has been reflected in the NES NTS workplan. Christopher Wroath reported that Digital Front Door, emergency summary record replacement, and identity management remained key priorities.

9.4 Christopher Wroath reported that as part of the wider National Boards savings targets, each NES Directorate has been asked to identify further savings. Jim Boyle added that National Boards have been asked by SG to consider the risks and implications of reducing in year SG commissions in response to wider funding pressures and forthcoming winter pressures. Directorates have been asked to identify 2% savings on SG commissions, which will be fed back to SG for final decision.

9.5 The Committee highlighted that improving the NHS digital infrastructure could have a spend to save element and in the longer term could reduce costs by creating efficiencies. The Committee suggested that digital Front Door and digital prescribing were key. Jim Boyle informed the Committee that the Digital Health and Care Directorate has been set up to support pressures and NES has requested that SG do not de-invest in this area.

9.6 The Committee asked for some additional information relating to the identity access management work. Christopher Wroath explained that identity access management is controlled at Board level via the Active Directory database, which controls access to Microsoft Office 365. He remarked that in the future this is to be amalgamated into National control and eventually NTS will be responsible for access to local systems and what information users can see at a record level. Christopher Worth highlighted that access to workforce data is key for this and discussions are currently ongoing regarding this.

9.7 The Committee discussed the approach to quantifying spend to save and noted the NTS Directorate risks and asked if governance is captured significantly on the risk register. The Committee also requested that due dates are included for all actions. **Action: CW**

9.8 Jim Boyle added that strategic risks in relation to uncertainty of funding will be reviewed in light of the ask from SG to find additional savings. The Committee suggested that engaging with a Health Economist may be helpful to help identify the return on investment of Digital transformation. Jim Boyle informed the Committee that he is already in discussion with Health Economists at Public Health Scotland regarding this and this will be reported to the Committee and the Board for awareness in due course. **Action: JB**

9.9 The Committee asked Christopher Wroath to confirm what the role of the NES Assurance Forum is. Christopher Wroath informed the Committee that this is the new name of the former Information Governance and Security Forum. The Chair asked that the role of the TIC in seeking assurance be maintained and that this be recognised by the new assurance forum. **Action CW**

9.10 Christopher Wroath highlighted to the Committee that the NHSS Business Systems Portfolio group are working to define a roadmap for business systems change across the NHS in Scotland. He remarked that there was agreed support for service redesign of business services with a stepped approach to implementation. Christopher Wroath advised that a single Electronic Workforce Record approach is preferred. He added that longer-term timescales meant that

NES will continue to access the current business systems at source to improve data quality, ensuring engagement with the NES Transformation Programme. Christopher Wroath reported that this will ensure that standardised, consistent, high-quality data captured once and used many times is foundational to these future systems. He referenced the NES Digital Maturity Assessment and advised that this would be circulated to members by correspondence. **Action CW**

9.11 The Committee discussed the advantage of using a single source workforce data system and the need to update the current system which has been in use for many years. The Chair of the TIC advised the meeting that he would raise this within the Board Chairs Group. **Action DG**

9.12 The Chair thanked Christopher Wroath and his team for the report. The Committee confirmed the report provided satisfactory assurance.

10. Cyber Security (NES/TI/23/23)

10.1 The Chair invited Christopher Wroath to introduce this report.

10.2 Christopher Wroath informed the Committee that through Organisational change, the existing Cybersecurity capability is to be expanded through appointment of two senior cyber roles, subject to available funding.

10.3 Christopher Wroath highlighted that NES are currently a pilot Board working with the NHS Scotland Cyber Centre of Excellence and Microsoft to implement the Microsoft Defender for Cloud product. Integrating with a national monitoring solution, this will provide additional insight and security posture management into all NES Cloud based workloads/developments.

10.4 The Committee asked if there were any training implications in relation to new laptop upgrade to Microsoft Windows 11. Christopher Wroath confirmed that no training will be required for the windows 11 upgrade. He stressed the importance of using the latest operating system for cyber security reasons.

10.5 The Committee raised a query regarding NES' level of involvement of future Microsoft Office 365 (MS O365), upgrades. Christopher Wroath informed the Committee that meetings are taking place with Microsoft at a National level to ensure that the National group is informed in advance of up-and-coming upgrades to MS O365 applications, so that any changes can be communicated to staff.

10.6 The Committee noted that the Network Information Systems (NIS) Audit took place in June 2023 and requested to see requirements of the NIS Audit specification. Christopher Wroath informed the Committee that NES' NIS Audit score has increased by 1-2% and that the final NIS 2022/23 report will be submitted to the next TIC meeting. **Action: CW**

10.7 The Committee noted the update on work relating to Cyber Security in NES and confirmed the report provided satisfactory assurance.

11. TIC Assurance Framework and Performance Reporting

a) Draft "Test" Committee Assurance Framework (NES/TI/23/25)

11.1 The Chair invited Della Thomas to introduce the "test" draft TIC Assurance Framework.

11.2 Della Thomas reported to the Committee that this is a development piece of governance work, and the report was for illustrative purposes. She remarked that it links to the approval of the new Strategy, Strategic Key Performance Indicators (SKPIS) and strategic risk by the Board. Della Thomas advised that all the Board Committees would need to determine how their remit fits with the new Strategic approach. She reported that the Committee Assurance Framework is intended for active use by the Committee linked to the 3 lines of assurance or 3 lines of defence approach.

11.3 Della Thomas highlighted the discussion areas outlined in the body of the paper which broadly cover four themes:

- Are the headings included in the Committee Assurance Framework table the right ones and is anything missing?
- Do the SKPIS included match with the existing remit of the TIC or should this be expanded?
- Are the Strategic Risks allocated to the Committee the right ones?
- Learning from the process to date, next steps to be confirmed.

11.4 The Committee discussed the draft Committee Assurance Framework and suggested some changes to the format and presentation might be required to include owner for the actions and develop the format to enable actions to be recorded. The Committee suggested that the Assurance Framework should specify up front what the Assurance Framework is measuring against, is it the SKPIS, the Strategic Outcomes or the Committee ToRs? **Action: DT**

11.5 The Committee discussed the allocation of strategic risk to the Committee and suggested that risk 13 should be co-owner with the Education and Quality Committee. **Action: JB**

11.6 A question was raised if Business Continuity should it sit entirely with the TIC, as Business Continuity extends widen than just technology. Christopher Wroath responded to advise that this should remain solely with the TIC. He explained that as the Senior Information Risk Owner (SIRO) and the Director of NTS, he is responsible for the Business Continuity Plan.

11.7 The Committee noted that this is emergent and developmental work and suggested that in order to complete work on the partially completed Assurance Framework it would be helpful to convene a separate meeting with the TIC Chair, TIC Executive Lead, Board Secretary, key Associate Directors in NTS and the Director of Planning and Performance. **Action: DT**

11.8 The Chair thanked Della Thomas for her work to date and the committee noted the paper.

b) TIC Strategic Risk Report (NES/TI/23/26)

11.9 The Chair invited Christopher Wroath to introduce the five strategic risks considered relevant to the TIC.

11.10 Christopher Wroath highlighted that the Net Risk rating for several NTS risks currently sits outwith the agreed Board appetite. He remarked that these relate to governance risks for which the Board has a low risk tolerance. He assured the Committee that further actions to further control these strategic risks will be considered.

11.11 The Committee noted the report which provided them with satisfactory assurance.

c) TIC SKPI Report (NES/TI/23/27)

11.12 The Chair invited Christopher Wroath to introduce the first Strategic Key Performance Indicators (SKPIs) performance report to the TIC.

11.13 The Committee confirmed this report provides them with satisfactory assurance, noting as per item 11a, this is a developmental area.

11.14 Jean Ford left the meeting.

12. Information Governance

a) Annual Information Governance and Security Report (NES/TI/23/28)

12.1 The Chair invited Christopher Wroath to introduce the annual Information and Governance report.

12.2 Christopher Wroath informed the Committee that the Assurance Forum receive quarterly Information Governance and Security Reports. He remarked that these provide assurance and highlight key issues that the Forum needs to consider.

12.3 Christopher reported that the Information Commissioner's Office (ICO) undertook an audit of all NHS Scotland Boards (except for NSS) in 2022/23. The ICO produced a draft audit report stating that NES achieved a "High" assurance rating with only limited scope for improvement in existing arrangements.

12.4 The Committee raised a query regarding the Microsoft Azure networking issue that was reported in July 2022. Christopher Wroath explained that this had been a technical fault on Microsoft Cloud, not part of NES' architecture, and the fault was fixed by Microsoft within a day.

12.5 The Committee noted that there has been a steady increase in Freedom of Information (FOI) requests and asked if this was being seen across other Boards

and if the level in NES was manageable. Christopher Wroath remarked that he was unaware of the level of FOIs other Boards receive, however this information could be included in the next report. He informed the Committee that the level NES receive is at this time manageable. **Action: CW/Tracey Gill (TG)**

12.6 Jean Ford returned to the meeting.

12.7 The Committee requested that future reports include areas of improvement that have been implemented over the years. **Action: CW/TG**

12.8 The Committee confirmed the report provides them with satisfactory assurance and approved the report for onward sequencing to the 28 September 2023 Board.

b) Information Governance and Security Policies (NES/TI/23/29)

12.9 The Chair invited Christopher Wroath to introduce the NES Information Governance and Information Security Policies.

12.10 Christopher Wroath highlighted that Information Governance policy was approved by the Partnership Forum on 16 March 2023, and Staff Governance Committee on 17 August 2023. He remarked that no changes were required to the text of the Information Governance policy, however that there was a change to a new policy template style and layout.

12.11 Christopher Wroath reported that the Information Security Policy was approved by the Partnership Forum on 8 June 2023 and the Staff Governance Committee on 17 August 2023 with updates.

12.12 The Committee suggested that key posts discussed in the policies, such as the Caldicott Guardian, have the job title included for transparency.
Action: CW/TG

12.13 The Committee agreed that the policies provided them with satisfactory assurance.

13. Internal Audit – Workforce Planning (NES/TI/23/31)

13.1 The Chair invited Christopher Wroath to introduce the internal Audit, Workforce Planning report.

13.2 Christopher Wroath reported that the Audit report was submitted to the June 2023 Audit and Risk Committee (ARC). He remarked that it has also been issued to the Staff Governance Committee and Education and Quality Committee for noting. He advised that active governance of this Internal Audit has been delegated to the TIC by the ARC.

13.3 Christopher Wroath informed the Committee that the Audit focused on the governance arrangements regarding data analysis and publication of workforce analysis. This included the extent to which the territorial Health Boards are optimising their use of the workforce data in their local workforce planning.

13.4 Christopher Wroath asked the Committee to note the 3 medium priority findings and one low risk finding raised in the report. He remarked that actions are currently on track for completion by the agreed due dates.

13.5 The Committee raised a point that the Territorial Boards do not appear to be utilising the service to its full potential and emphasised the importance of being able to predict future service needs. Christopher Wroath informed that Committee that he and Karen Reid (Chief Executive) will continue to have conversations with SG colleagues regarding the importance of a National view of Workforce Planning.

13.6 The Committee noted that the report and the progress made with the management actions and agreed that this provided them with satisfactory assurance.

14. Identification of any new risks emerging from this meeting

14.1 No new risks were identified as a result of discussions during the meeting.

15. Any Other Business

15.1 There was no other business for discussion.

16. Review of Effectiveness of Meeting

16.1 The Committee were satisfied with the effectiveness of the meeting.

17. Date and time of next meeting

17.1 The next meeting of the Technology and Information Committee will be held on Monday 30 October 2023 via Microsoft Teams at 10:15.

NES
Sept 2023
JA/DT/DG/CW

Approved Minute

NHS Education for Scotland **NES/SGC/23/56**

Minutes of the Eighty-first Meeting of the Staff Governance Committee held on Thursday 17th August 2023 via Microsoft Teams

Present:
Anne Currie, Committee Chair, Non-Executive Director
Lynnette Grieve, Non-Executive Director and Employee Director
Nigel Henderson, Non-Executive Director
Gillian Mawdsley, Non-Executive Director and Whistleblowing Champion
James McCann, Ex-Officio member, Staff Side (Unison and item 16)

In attendance:
Tracey Ashworth-Davies, Deputy Chief Executive (Corporate)/ Workforce Director
Ameet Bellad, Senior Specialist Lead, Workforce (For item 17)
Nancy El-Farargy, Manager, Planning and Corporate Resources (For item 12)
Ann Gallacher, Senior Admin Officer / Committee Secretary (Minute-Taker)
Janice Gibson, Associate Director, Organisational Development, Leadership and Learning (ODLL) (For items 8, 9 and 11)
Patricia Matheson, Associate Director HR/Workforce
Alex Murray, Health & Safety Advisor (For items 14 and 15)
Karen Reid, Chief Executive
David Taylor, Principal Lead & Equalities Talent Management Lead, Leading to Change Delivery Team (Observer)
Della Thomas, Board Secretary and Principal Lead (Corporate Governance)

1. Chair's welcome and introduction

1.1 The Chair welcomed everyone to the meeting, she particularly welcomed Nigel Henderson, our new Non-Executive Director attending his first Staff Governance Committee (SGC) since his SGC membership began on 1st June 2023. The Chair also welcomed David Taylor, Principal Lead & Equalities Talent Management Lead, Leading to Change Delivery Team, attending the meeting as part of his personal development.

2. Apologies for absence

2.1 Apologies were received from regular attendee, David Garbutt, Board Chair and also from Christina Bichan, Director of Performance and Planning.

3. Notification of any other business

3.1 There were no notifications of any other business.

4. Declaration of interests

4.1 As per the new Model Code of Conduct, the Chair asked Committee members if there were any declarations of interest in relation to the business of today's meeting and if so, to clarify to which item this related.

4.2 There were no declarations of interest.

5. Draft minutes of the Staff Governance Committee meeting held on 4th May 2023

5.1 The Chair asked members if there were any comments or amendments in relation to the draft minutes of the last meeting. The Employee Director highlighted that the last sentence of paragraph 14.2, should be changed from 'Unison and BMA attend, and staff stewards from Royal College of Nurses (RCN) and Royal College of Midwives (RCM) are invited but do not always attend' to read as follows 'Unison and BMA attend and regional organisers from Royal College of Nurses (RCN) and Royal College of Midwives (RCM) have an open invitation'. The Committee agreed this change.

Action: Ann Gallacher

5.2 Linked to the review of the minutes, the Committee Chair asked if there was any progress with changes to the rotation of Junior Doctors to make them less frequent. Karen Reid advised that this is a decision for territorial NHS Boards to make and Emma Watson, Executive Medical Director and Lindsay Donaldson, Deputy Medical Director have raised this issue with the territorial Boards.

5.3 With this one small amendment, the Committee confirmed the minutes were an accurate record of the meeting and approved the minutes.

6. Action Status Report and other matters arising

6.1 The Committee noted that 8 of the actions were marked as complete on the action list, that action 12.8 Agenda for Change pay negotiation risk had been updated and action 9.5 the Staff Governance Committee (SGC) Ex-Officio member was still in progress.

6.2 The Committee approved the completed actions and noted the progress updates.

6.3 There were no matters arising.

7. Director of Workforce Report

7.1 The Chair invited Tracey Ashworth-Davies to introduce the Director of Workforce Report.

7.2 Tracey Ashworth-Davies introduced the report and highlighted the following keys topics to the Committee: The Organisation Development Plan, the Strategic Key Performance Indicators to align with the NES Strategy, the progress with the development of the Transformation Route Map, the Workforce Development Fund of £155,000 to be prioritised in alignment with the NES strategy , all staff have a corporate learning objective on anti-racism, equality and diversity during 2023/24, we have been successful in our application to move to an 'established' level of the Carer Positive award and that all actions from the KPMG Internal Audit report were now complete. She congratulated Karen Reid on the positive industrial pay negotiations outcome for Junior Doctors and Dentists in training.

7.3 She reported on the New Ways of Working (NWW) project work taking place and the proposed change of base to the Glasgow office. Tracey Ashworth-Davies said that the Executive Director of Finance and the Employee Director are involved in the property discussions. She reported that a verbal update on progress was intended to the Partnership Forum on 31 August 2023.

7.4 Tracey Ashworth-Davies praised the good work of the National Trainee Services Team on their performance in managing the onboarding processes related to Doctors and Dentists in Training for the August intake. A high completion rate of Certificates of Sponsorship and Protecting Vulnerable Groups (PVG) applications had been achieved minimising any delays to start dates.

7.5 The Chair thanked Tracey Ashworth-Davies for the detailed report and noted her appreciation of all the work she and the team had done. She opened up the meeting for questions.

7.6 The Committee asked if progress against sustainability targets could be reported in the Director of Workforce Report. Karen Reid responded that the NES electric vehicle scheme is linked to Scottish Government national net zero targets, not to NES. Tracey Ashworth-Davies responded that it is difficult to report sustainability in a measurable way but agreed to look into this, noting that the hybrid working approach may be an avenue to explore further in terms of sustainability impacts.

Action: Tracey Ashworth-Davies

7.7 The Employee Director thanked Tracey Ashworth-Davies for the report and welcomed her own involvement in the change of Glasgow NES office property discussions. She congratulated staff on the achievement of the Staff Carer Award and noted the good work of the staff network groups. She thanked Tracey Ashworth-Davies, Patricia Matheson, CarolAnne Keogh and the team, including the Trainee Services Team for all the work they had done. The Employee Director also thanked Karen Reid for the

work she had done on the Junior Doctor and Dentist in Training Pay negotiations.

7.8 The Committee raised a question in relation to the numbers we attract for the Supporting Armed Forces Employment Programme (SAFE) programme. Tracey Ashworth-Davies advised that this Programme provided a bridge for people from the Military to move into employment with NHS Boards. Janice Gibson reported that at this time, the numbers are unknown, however work is in progress to collate numbers and also to understand the potential impact. She added that this Programme includes military leavers' extended families. Janice Gibson agreed to report back to SGC with approximate numbers once the numbers were available.

Action: Janice Gibson

7.9 The Chair thanked Tracey Ashworth-Davies, Karen Reid, the PVG work that had taken place and noted the report is indicative of collaborative working.

7.10 The Committee approved the Director of Workforce report and confirmed that it provided assurance.

7.11 The Chair thanked Tracey Ashworth-Davies for her report.

8. Widening Access Framework for NES

8.1 The Chair invited Janice Gibson to introduce the Widening Access Framework report.

8.2 Janice Gibson introduced the report which detailed the background and purpose of establishing a NES Widening Access Framework. This would enable effective and efficient reporting of the wide range of activity taking place across NES directorates.

8.3 The Chair opened the meeting for questions.

8.4 The Committee noted that it might be helpful to include a sentence in the report if there was anything of relevance in relation to climate change and sustainability.

8.5 The Employee Director remarked that she supported the approach taken to provide career progression from for example band 2 to band 7 and suggested that this data would be worth capturing to determine how this could be contributing to the reduction of inequalities. Janice Gibson responded that she is working with Katy Hetherington, Principal Lead, Equality, Diversity and Human Rights and Kevin Kelman, Director of NHS Scotland Academy, Learning and Innovation in relation to the Youth Academy to develop an approach to measure this and will report back to the SGC in due course.

Action: Janice Gibson

8.6 Some Committee members remarked that they had difficulty viewing the diagram on page 11 of the report and asked if the colour coding had any significance. Janice Gibson clarified that the use of colours in the diagram did not have any significance. It was agreed that the diagram would be circulated to members after the meeting.

Action: Ann Gallacher

8.7 The Committee asked if there were any different or additional approaches in place to widen access for the health and social care workforce. Karen Reid responded that the NHS Scotland Academy is developing an approach to international recruitment and working with the Convention of Scottish Local Authorities (COSLA) and the Scottish Social Services Council (SSSC) to develop career progression conversations in social care.

8.8 The Chair thanked Janice Gibson for the report and Staff Governance Committee approved the report.

9. Succession Planning

9.1 The Chair asked Tracey Ashworth-Davies and Janice Gibson to introduce the Succession Planning report which updated the Committee on the approach taken to assess and manage succession planning risk in relation to executive level roles within NES.

9.2 Tracey Ashworth-Davies introduced the report and the approach taken to identify potential successors in relation to the cohort of executive level roles. She explained that the aim was to identify succession risk by using Red, Amber, Green (RAG) rating to indicate the potential number of internal successors likely to be ready to take up the role within a 2yr period. Each potential successor would be assisted to develop a tailored Individual Development Plan intended to enhance their readiness for applying for roles, whilst clearly not being 'promised' roles. Readiness would be reviewed, at least, annually in alignment with the annual performance review process. An updated risk matrix would be produced on an annual basis. This action intended to mitigate risk SR3 in the NES Strategic Risk Register. Tracey Ashworth-Davies advised that a progress update will be brought to the November SGC meeting as part of her Director of Workforce report.

Action: Tracey Ashworth-Davies

9.3 The Committee noted the good progress made by NES and asked if the succession planning approach is part of a Once for Scotland (OFS) approach. Tracey Ashworth-Davies responded that it had been developed in alignment with the approach expected nationally but that this was still awaited. For good governance and risk management, NES had proceeded with the approach described, intending that this would be further aligned with the national approach once this was available. She updated that as a result of the process, a number of NES senior

management had been nominated to attend the Scottish Government Aspiring Chief Executives programme.

9.4 The Employee Director added that it is good to see the progress NES has made and noted this opportunity does not guarantee the candidate a role but will assist in supporting people for progression.

9.5 The Committee asked if the inclusion of a buddying process had been considered. Janice Gibson reported that it had, and that job shadowing is the most requested experiential based learning.

9.6 The Committee noted that a Workforce Development Fund of £155,000 had been developed to support NES staff personal development and asked how this funding would be allocated in a fair and proportionate way across the organisation. Tracey Ashworth-Davies responded that this would be allocated taking into account strategic priorities aligned to the NES strategy, previous years rolling commitments and the relevant considerations of the team reviewing the requests. The Employee Director added, for example, that she had been involved and working in partnership with Janice Gibson and colleagues to assist more junior colleagues to develop and progress.

9.7 The Chair thanked Tracey Ashworth-Davies and Janice Gibson for the report and the Committee confirmed the report provided satisfactory assurance.

10. Workforce Plan Annual Report

10.1 The Chair asked Patricia Matheson to introduce the Workforce Plan Annual Report.

10.2 Patricia Matheson introduced the report which aims to provide a status update on the key actions from the Strategic Workforce Plan covering Year 1 and the commencement of Year 2 actions. She advised that as part of the 2022-25 Strategic NES Workforce plan approved and published in October 2022, NES is required to provide an annual report to Scottish Government detailing progress on key actions undertaken in the annual reporting period.

Patricia Matheson reported that the 17 strategic actions are being progressed and will inform future workforce planning processes across the organisation. Realignments of the Strategic Workforce Plan were made to adhere to the Annual Delivery Plan calendar timeline.

10.3 The Chair thanked Patricia Matheson and everyone for their work on the report and opened the meeting to questions.

10.4 The Committee asked in relation to page 9 of the report how is the assessment done, and was this by self-assessment. Tracey Ashworth-Davies replied that the self-assessment of digital confidence and capability

had been completed by staff using a tool selected by the NES Technology Enhanced Learning (TEL) Team.

10.5 The Committee praised the format of the revised Health and Safety module which was much more relevant and modern in style to the previous separate modules. The Committee asked if there was a target for apprenticeships. Patricia Matheson responded that there is no target for the number of apprenticeships, but work is underway to identify where we can maximise the role of apprenticeships. The Employee Director added that it was good to see this happening and suggested that we identify any new or emerging roles with appropriate potential for an apprentice. Tracey Ashworth-Davies added that we had retained some of the previous apprentices in the organisation.

10.6 The Non-Executive Director and Whistleblowing Champion thanked Janice Gibson for the report and remarked that there were inconsistencies with the whistleblowing essential learning statistics training figures between reports presented. Janice Gibson responded that this was due to capturing data at different times. The Learning and Development report is for June 2023 and the Workforce Planning report was April 2023, thus both are correct and show an increase in compliance rates over that period.

10.7 The Employee Director asked if we encourage work experience from school pupils in NES. Karen Reid responded that we participate in "bringing your child to work" day and some Directorates host work experience.

10.8 The Chair thanked Patricia Matheson for the Workforce Plan Annual report and the Committee confirmed that the report provided satisfactory assurance.

10.9 Alex Murray joined the meeting at 11:30am.

11. NES Staff Learning and Development Themed Annual Report

11.1 The Chair asked Janice Gibson to introduce the Staff Learning and Development Themed Annual Report.

11.2 Janice Gibson introduced this report which aimed to provide the SGC with an overview of the learning and development opportunities offered to the NES workforce and the associated outcomes from the period 01 April 2022 to 30 June 2023. She reported that the 2022 Workforce Development Fund was allocated by directorates in accordance with centralised guidance and co-ordination by Organisational Development, Leadership and Learning (ODLL). She said that, with regards the 2023 Workforce Development Fund allocation, Directorates had been proactively engaged in identifying key priorities, in alignment with the new NES strategy, which were then categorised within learning themes by ODLL.

11.3 The Non-Executive Director and Whistleblowing Champion thanked Janice Gibson for the detailed report and suggested alignment of the timings for the whistleblowing completion training rate figures on this report and the Workforce Annual Plan report. She remarked that she was aware that the whistleblowing training is lengthy. Janice Gibson responded that she would amend the timeframes accordingly.

Action: Janice Gibson

11.4 The Committee noted the different levels of the Institute of Leadership and Management (ILM) courses reported and asked what sort of level of learning this relates to; how does it align to Scottish Credit and Qualifications Framework (SCQF) and what level of staff were engaging with these qualifications. Janice Gibson noted for future reporting.

11.5 The Employee Director appreciated the good work of the Learning at Work week and said staff had asked for the sessions to be spread over a longer period. She added that staff across all bands praised Karen Reid's inspirational leadership journey shared as part of the NES Year Ahead session. Janice Gibson reported that work was underway to consider how Learning at Work could be offered for more than a week per annum.

11.6 The Chair thanked Janice Gibson for the report and the Committee approved the report.

12. Quarter 1 Whistleblowing Report

12.1 The Chair welcomed Nancy El-Farargy to the meeting and asked her to introduce the Whistleblowing Report.

12.2 Nancy El-Farargy introduced this report which provided an update on whistleblowing activities for the quarter one period from 01 April 2023 to 30 June 2023.

12.3 Nancy El-Farargy reported that during this period NES received no formal whistleblowing concerns. She remarked that an updated induction resource (PowerPoint presentation) was produced for the newly appointed Non-Executive Directors. This presented a high-level source of whistleblowing information and signposted them to other learning resources.

12.4 Nancy El-Farargy highlighted some key points from the report including increasing the number of confidential whistleblowing contacts; increased whistleblowing training figures; the Scottish "speak-up" conference taking place in September and the second Scottish "speak-up" week taking place in October 2023.

12.5 The Committee thanked Nancy El-Farargy for the report and asked if we benchmarked ourselves against other similar bodies e.g., Public Health Scotland and asked how we assure ourselves that we have the necessary processes in place. Karen Reid responded that the iMatter report and

trainee survey from General Medical Council (GMC) allow us to compare against other NHS Boards. Tracey Ashworth-Davies added the Junior Doctors and Dentists in Training (DDiT) Joint Local Negotiating Council actively picks up any themes or concerns and any themes from the investigated concerns.

12.6 The Non-Executive Director and Whistleblowing Champion added that we have no direct comparison with other Boards. She went on to remark that NES identified 2 concerns last year which allowed us to test our processes. The Non-Executive Director and Whistleblowing Champion highlighted that the Confidential Contact and the Line Manager are best placed to steer direction if the concern is raised as a whistleblowing or as a grievance.

12.7 The Chair asked the Non-Executive and Whistleblowing Champion if she had any additional remarks to add.

13. Non-Executive Whistleblowing Champion Remarks

13.1 The Non-Executive Director and Whistleblowing Champion thanked Nancy El-Farargy for providing the update in Christina Bichan's absence. She thanked Christina Bichan for the work she had done on the whistleblowing information presentation that was given to the Non-Executive Directors and for all the work that has taken place behind the scenes including identifying assurance systems and putting them in place. She remarked that the Scottish "speak-up" conference is taking place in September, and that she was looking forward to the learning that will come from it and to the "speak-up" week in October.

13.2 There were no further questions raised from members.

13.3 The Chair thanked Nancy El-Farargy for the report and asked that she pass on thanks to Christina Bichan. She also thanked the Non-Executive Director and Whistleblowing Champion for her comments.

13.4 The Committee noted the Quarter 1 Whistleblowing Report and the Non-Executive Whistleblowing Champion Remarks and confirmed both reports provided satisfactory assurance.

14. Health and Safety Annual Report

14.1 The Chair welcomed Alex Murray to the meeting and asked him to introduce the Health and Safety Annual Report.

14.2 Alex Murray introduced this report which showed the annual health and safety performance across NES for the 2022/23 period which resulted in a 2023/24 action plan to address and identify areas for improvement. He reported that 7 actions were complete, and 2 actions were not achieved. Alex Murray reported that the essential learning module figure had increased to 93%, but it had narrowly failed to reach the 95% target figure.

The Healthy Working Lives (HWL) Gold Award was closed in 2022 (so that action could not be achieved) but the NES HWL Steering Group have continued to benchmark NES against the awards criteria and delivered a programme of events during 2022/23.

14.3 The Chair opened the meeting to questions. The Committee asked how the First Aid and Fire Warden provision was progressed and understood given the hybrid working. Alex Murray responded that he had carried out the necessary research and concluded that NES was able to review its arrangements in a way which would more appropriately reflect the organisations ways of working. NES was, in his view, previously over providing on the necessary amount of First Aid and Fire Warden provision. It was important to ensure staff know what to do if first aid is required or a fire occurs, and he was confident that the arrangements in place would allow this. Tracey Ashworth-Davies thanked Alex Murray for the work he had done over the previous year to improve the Health and Safety training module, in particular, noting the improvement in staff uptake.

14.4 The Chair thanked Alex Murray for the report.

14.5 The Committee approved the Annual Review of Health and Safety Performance 2022/23 and Action Plan 2023/24.

15. Health and Safety Policy Statement

15.1 The Chair invited Alex Murray to introduce the Health and Safety Policy Statement which was developed to ensure line of sight with the Health and Safety at Work Act 1974, the Management of Health and Safety at Work Regulations 1999, and to ensure as per the Staff Governance Standard, staff are provided with a continuously improving and safe working environment, promoting the health and wellbeing of staff, patients and the wider community.

15.2 Alex Murray introduced the report remarking that it served as an umbrella statement for a suite of 20 policies which detail specifically the arrangements that are in place for successful health and safety management at NES.

15.3 The Chair thanked Alex Murray for introducing the Statement and invited questions or comments from the Committee. The Committee offered some small suggestions for improvement and remarked that the Statement used rather formal language and perhaps a more inclusive language could be considered.

15.4 Karen Reid responded that she was grateful for the feedback and will take these suggestions into account before the Statement is published. Karen Reid asked if it was customary that this item came to SGC for approval. Tracey Ashworth-Davies responded that perhaps this was an historic practice. Della Thomas added that the SGC, aligned to the Staff Governance Standard, should receive reports on Health and Safety and

assurance that Health and Safety matters are progressed accordingly. However, as this statement is authored by the Chief Executive, it does not need to come to SGC for comment or approval, the SGC just require assurance that this is in place and updated annually as appropriate. Della Thomas will revise the SGC Schedule of Business in future years.

Action: Della Thomas

15.5 The Chair thanked everyone for their comments and confirmed we would change the way this item was handled in the future. She thanked Alex Murray for the papers he had brought to the SGC.

15.6 Alex Murray left the meeting at 12:27pm.

16. Corporate Information Security Policy and Information Governance Policy

16.1 The Chair asked James McCann to introduce the Corporate Information Security Policy and Information Governance (IG) Policy.

16.2 James McCann reported that the Corporate Information Security Policy was recently reviewed and minor updates to typographical errors, updated references and a change to a new policy template style and layout were made to the policy.

He reported that the Information Governance Policy was recently reviewed and there were no changes to the text of the policy. A new template style and layout had been applied to the policy.

James McCann advised the SGC that both policies have been approved by the Partnership Forum.

16.3 The Committee noted the reference to the Caldicott Guardian in the Information Security Policy and asked who this was and if the job title of the Caldicott Guardian should be included in the Policy. Karen Reid responded that David Felix, Postgraduate Dean of Dental Education is our Caldicott Guardian. We do not name him personally in the report, but the job title could be included.

Action: James McCann

16.4 There were no further questions raised.

16.5 The Chair thanked James McCann for the reports and the Committee approved both policies.

16.6 Ameet Bellad joined the meeting at 12:19pm.

17. People & OD Dashboard

17.1 The Chair welcomed Ameet Bellad to the meeting and asked him to introduce the People and Organisation Development (OD) Dashboard.

17.2 Ameet Bellad introduced the report which covered the Quarter 1 period from April to June 2023. The report collates information from a range of data sources in relation to the agreed Strategic Key Performance Indicators (SKPI)s.

The dashboard gives a snapshot of performance against the SKPIs and can be interrogated at organisational and directorate level. Currently the dashboard holds data for 15 of the 24 SKPIs, however it is transitioning to a revised set of strategic SKPIs. Therefore, future reports will reflect the new People SKPIs not already covered.

17.3 The Committee noted the excellent sickness absence rate of less than 1% and asked how many days is considered when using the definition “long - term absence”. Ameet Bellad responded that sick leave is considered “long-term” after 20 working days or 28 calendar days. He agreed that the absence rate is low, and this could be partly due to under reporting of sickness.

The Employee Director added work is underway to explore the low absence rate. She agreed that this could be due to under reporting as due to hybrid working staff may be more likely to work during sickness from home. She remarked that benchmarking ourselves against another National Board with similar hybrid working arrangements might be helpful.

Karen Reid responded that the lower absence rate could be due to both under reporting and as a factor associated with hybrid working, but more work is needed to better understand this. Tracey Ashworth-Davies added that she was aware that generally hybrid organisations are reporting lower sickness absence figures. It was agreed that NES would benchmark against other similar NHS organisations that work in a hybrid way as part of the work being taken forward to better understand the sickness and absence rates in NES.

Action: Ameet Bellad

17.4 The Chair thanked Ameet Bellad for the report and the Committee confirmed the report provided assurance on the progress made during the last quarter against the ‘people element’ of the NES Corporate Strategy 2023-26.

17.5 Ameet Bellad and Janice Gibson left the meeting at 12:29pm.

Identification of any new risks raised at this meeting

17.6 There were no risks identified at the meeting.

18. KPMG Internal Audit Report – Recruitment Processes

18.1 The Chair invited Patricia Matheson to introduce the KPMG Internal Audit Report on Recruitment Processes.

18.2 Patricia Matheson introduced the report which provides a status update on the actions from the KPMG Workforce Planning Internal Audit report. She advised that this internal audit has been delegated to the SGC by the Audit and Risk Committee (ARC) for the SGC to seek assurance that the management actions are progressing satisfactorily.

Patricia Matheson reported that the Recruitment Process Audit provided an overall rating of 'significant assurance with minor improvements required' (Green-Amber rating). She highlighted 5 areas of minor improvement were highlighted: one medium priority and 4 low priorities.

18.3 There were no questions raised by the Committee.

18.4 The Chair thanked Patricia Matheson for the report. The Committee noted the mitigating actions developed to address the Workforce Planning Internal Audit Report and the progress achieved to date.

19. NHS Scotland Workforce Policies – Supporting Work Life Balance

19.1 The Chair invited Patricia Matheson to give an update on the work taking place on NHS Scotland Workforce Policies – Supporting Work Life Balance.

19.2 Patricia Matheson reported that in November 2022 the current suite of 10 Once for Scotland (OFS) policies went out to consultation. These were approved by the Scottish Workforce and Staff Governance Committee (SWAG). She advised that a Central Group were reviewing the policies. Patricia Matheson reported that Human Resource (HR) and staffside in NES are reviewing the policies and a soft launch is planned on 1st November 2023. She advised that work would take place with line managers to ensure they are sighted on any changes.

The Employee Director confirmed staffside and HR are looking at the differences between the current and new policies, together, and highlighted the length of time this task is taking.

19.3 The Chair thanked Patricia Matheson for the update and asked that a verbal update be brought to the next SGC meeting. It was agreed that this would be added to the SGC Schedule of Business for the 02 November 2023 meeting.

Action: Patricia Matheson/Ann Gallacher

20. Employment Tribunals

20.1 The Committee noted the Employment Tribunals update.

21. Policy/Scottish Government Director Letters as appropriate to Staff Governance Committee

21.1 The Committee noted the Director Letters update.

22. Remuneration Committee redacted minutes of the June 2023 meeting

22.1 This Committee noted the redacted Remuneration Committee minutes.

23. Change Management Programme Board minutes

23.1 The Committee noted the Change Management Programme Board minutes.

24. Managing Health, Safety and Wellbeing Committee minutes

24.1 The Committee noted the Managing Health, Safety and Wellbeing Committee minutes.

25. Partnership Forum minutes

25.1 The Committee noted the Partnership Forum minutes.

26. KPMG Internal Audit report – Workforce Analysis

26.1 The Committee noted the KPMG Internal Audit report - Workforce Analysis and that the primary governance assurance for this audit will be through the Technology and Information Committee (TIC).

27. Any other business

27.1 There were no other items of business to discuss.

28. Review of Committee Effectiveness

28.1 The Committee Chair asked, do reports to the Committee communicate relevant information at the right frequency, time, and in a format that is effective? Has the Committee benefited from the right level of attendance from Lead Executive or Directors/Authors/Board Secretary/Others? Are there any areas where the Committee could improve upon its current level of effectiveness?

The Committee confirmed they were content with the quality of reports and overall, the papers were very good. The Committee noted in a couple of instances there appeared to be some overlap and in some cases an improvement could be to state if a number of events had been held, how did this match with our expectations of how many events should be held and what was the outcome. It was noted that this will develop as the

reporting on strategic risk, SKPIs and the Committee Assurance Framework is developed for the SGC.

Tracey Ashworth-Davies thanked the Committee for their comments and highlighted the amount of information the meeting had got through and that she would check any inconsistencies between reports e.g. whistleblowing essential learning compliance rates. She confirmed that performance reporting would include the SKPIs reported to the Board (and its delegated committees) as these were developed.

28.2 The Chair thanked everyone for their time and attendance at the meeting.

28.3 The meeting closed at 12:49pm.

29. Date and time of next meeting

29.1 The next meeting of the Staff Governance Committee will be held on Thursday 2nd November 2023, 10:15a.m.